

TRANSPORT FOR LONDON

SAFETY, HEALTH AND ENVIRONMENT COMMITTEE

SUBJECT: HSE ASSURANCE LETTERS

DATE: 22 JULY 2008

1 PURPOSE AND DECISION REQUIRED

- 1.1 To inform members of the status of Health, Safety and Environment (HSE) Management in TfL and the status of the Health, Safety and Environmental Management Systems (HSEMS) in the Modes at the conclusion of 2007/08 as reflected in the HSE Assurance letters.
- 1.2 The Committee is requested to NOTE the content of the paper and the HSE Assurance Letters.

2 BACKGROUND

- 2.1 TfL introduced an annual HSE Assurance Letters process in 2005/06 whereby each Mode makes an assessment of the status of its HSEMS in relation to the requirements set out in the TfL Group HSEMS. The letters are reviewed and signed off by the Chief Officer for each Mode or Directorate.

3 INFORMATION

- 3.1 A summary of the status of the HSE Management process in TfL based on a review of the 2007/08 HSE Assurance Letters is attached as Appendix 1.
- 3.2 The 2007/08 Health, Safety and Environment Assurance Letters from each of the Modes are attached as Appendices 2-11 to this paper.
- 3.3 Since mid 2003, when Group HSE was established, there has been significant progress in the development of a systematic approach to HSE management across TfL, based on the introduction of an aligned approach to the development and implementation of HSEMSs.
- 3.4 The current status of HSE management in TfL can be summarised as follows:
 - a) A Group HSE Policy has been adopted by all parts of TfL and a Group HSEMS is in place.
 - b) All parts of TfL have in place HSEMS that are aligned and meet the requirements of the Group HSEMS, and all address the Environment.
 - c) The Safety, Health and Environment Committee (SHEC) is functioning effectively with:
 - revised terms of reference that now encompass Sustainability and Resilience Matters.

- regular attendance by MDs.
 - a structured annual programme of agenda items.
 - structured performance reporting.
 - established assurance processes, including annual HSE Assurance Letters and audit. The HSE Assurance Letters are reviewed by the Commissioner at Business Management Reviews (BMRs) and subsequently submitted to SHEC.
 - the Commissioner reviewing the Quarterly HSE Reports to SHEC at BMRs and other significant reports.
 - the Commissioner attending the SHEC meeting at which the Annual Health and Safety Report and the HSE Assurance Letters are agenda items.
- d) A TfL Group Health and Safety Performance Report and an Environment Report are produced annually.
- e) Independent audits/reviews have been carried out on all TfL HSEMS during the previous three years.
- f) Information on breaches of HSE legal compliance is collected through a formal, structured, twice yearly process and are reported to SHEC.
- 3.5 Principal plans for further improvements in HSE management and performance in TfL are:
- a) Continued development and improvement of HSEMS to ensure they meet the changing needs of the Modes (e.g. inclusion of London Trams into London Rail systems and further embedding of the environment into Surface Transports HSEMS).
 - b) Increased focus on Health and Wellbeing.
 - c) The development of a more coherent and structured approach to HSE competency management across the Group.

4 RECOMMENDATION

- 4.1 The Committee is recommended to NOTE the content of the overview and the Modal HSE Assurance Letters.

Subject: Summary of Health, Safety and Environmental Management in TfL 2007/08

Date: 22 July 2008

1 Introduction

This summary is based on the Health, Safety and Environment (HSE) Assurance Letters provided by each Chief Officer for 2007/08.

2 Status of the Health and Safety Management System

2.1 Health, Safety and Environment Policy

All parts of TfL have adopted the Group HSE Policy as updated in August 2006 and reviewed without change in March 2008.

2.2 HSE Management Systems

HSE Management Systems (HSEMSs), aligned with the TfL Group HSEMS are in place across all parts of TfL.

There is structured reporting on HSE matters through the Business Management Review process and to the TfL Board, through the Safety Health and Environment Committee (SHEC) of the Board.

2.3 Management Competence

In general, across the Group management roles that have significant HSE accountabilities or responsibilities are identified in the HSEMSs and recorded in job descriptions.

Outside of LU the assessment of training needs and the delivery of training are still developing with good progress having been made with senior management.

2.4 HSE Objectives / KPIs

There are HSE improvement plans in place across TfL and KPIs are monitored and reported on. In general, outside of LU, KPIs are reactive, rather than proactive and the setting of improvement targets should be improved in some areas.

Each Mode reports quarterly on HSE Performance through their BMRs and subsequently to SHEC. In addition, a TfL Annual Health and

Safety Performance Report and a TfL Environment Report are produced and submitted to SHEC.

2.5 Risk Assessments

Programmes of risk assessments are in place for staff, customers and assets and the results of assessments are monitored and reviewed. Where risks are judged not to be as low as reasonably practicable, action is taken to reduce the risk.

2.6 Meetings

The approach to management consideration of HSE matters is formalised to varying extents across the Modes, with a more structured and comprehensive approach being followed where risks are greatest. Where less formal processes are in place these are generally being improved.

Similarly with regard to employee consultation, more formalised and structured processes are in place in LU than in the other Modes but improvements are in train in the other Modes.

2.7 Incident Reporting and Investigation

Incidents and accidents are recorded. Investigations are proportionate to the severity of the event with immediate and root causes identified. Where necessary action plans are produced to ensure close out of recommendations from investigations.

2.8 Assuring HSE Performance

Audits for both TfL and principal contractor activities are carried out to agreed plans, with performance against plan, and close out of significant recommendations monitored and reported on.

Independent HSEMS audits or reviews have been carried out on all modal HSEMS within the last three years.

For two years now, HSE Assurance Letters have been produced by each MD for their Mode. These are presented to the Commissioner at a Business Management Review and subsequently submitted to SHEC.

2.9 Procurement Management

Goods, works and services are procured in compliance with TfL procurement processes, including the Responsible Procurement Policy, and compliance with all applicable health and safety legislation is a standard contractual requirement.

2.10 Review of HSE Management Systems

Adequate processes are in place to review HSEMSs, though these differ across the organisation, to a significant extent reflecting the maturity of the HSEMS. Those HSEMSs that are still being implemented are subject to a more frequent review of elements, while the more mature ones (e.g. LU's) are subject to more structured review at longer intervals.

3. Future Developments

All Modes have presented plans for improvement to their management of HSE processes and performance, in line with the HSE Policy requirement for continuous improvement.

London Underground

Subject: 2007/08 Health, Safety and Environment Assurance Statement for London Underground

Date: 10 April 2008

1 Introduction

This Statement documents the status of the Health, Safety and Environmental Management System for London Underground as at 31 March 2008.

2 Status of the London Underground Health Safety and Environment Management System(s)

2.1 Health Safety and Environment (HSE) Policy

LU has adopted a Health, Safety and Environmental Policy that mirrors the TfL HSE policy. This policy was endorsed by the LU Board and came into effect in January 2007.

The policy is widely available on the LU Intranet, is contained within the safety certification and authorisation documentation required by the Railways and Other Guided Transportation Systems (Safety) Regulations (ROGs), and is on display on notice boards in all LU stations, depots, offices and other premises.

2.2 HSE Management Systems

The LU Health, Safety and Environmental Management System (HSEMS) is fully implemented. The LU HSEMS and the relevant standards and procedures within it cover all of LU and its business activities and are in accordance with the criteria within the TfL Group HS&E Management System.

In 2006 the LU HSEMS was subject to a comprehensive review in accordance with LU standards. The recommendations arising from the review have been addressed as part of a programme of improvements during the last year.

2.3 Management Competence

Those management roles within LU that have significant health, safety and environmental accountabilities or responsibilities have been identified, recorded in job descriptions and reflected in LU's Safety Certification and Authorisation document.

LU has established and implemented a range of internal health and safety training courses for junior, middle and senior management/directors. The

emphasis in respect of these courses is on those managers whose roles have the greatest impact on risk in the LU operational environment.

2.4 HSE Objectives / KPIs

LU has had a comprehensive improvement programme in respect of health, safety and environment over the last year. These programmes are developed on an annual basis and the 2007/08 programme, which follows-on from previous programmes, was endorsed by the LU Health, Safety and Environment Committee in April 2007. The detailed project delivery plans, milestones and accountable managers have been entered on the LU Safety Action Tracking System (LUSATS). This has enabled the visibility and status of actions to be the subject of on-going monitoring and review.

LU has also established a comprehensive set of Health, Safety & Environmental Key Performance Indicators (SKPI's) which we use to help measure our performance. Our SKPI's include active and reactive indicators and pre-cursor events. Performance is reported by a number of means at local and higher levels within LU. Our main health, safety and environmental performance report has been published every quarter and subject to detailed review by the LU Health, Safety and Environment Committee.

2.5 Risk Assessments

LU has established comprehensive arrangements for the assessment of health and safety risk in respect of our customers, employees and others affected by our operations. These arrangements are set in place via the LU standards that have been implemented for the assessment and control of risk.

LU standards require that our risk assessments are subject to thorough review periodically, at times of change and following significant events, as appropriate. Our on-going programme of review has been adhered to. In this way we have ensured that our health and safety risks are maintained at levels that are as low as reasonably practicable.

2.6 Meetings

The LU Health Safety and Environment Committee (of the LU Board) has continued to meet, broadly, 4-weekly. This is chaired by the Director of Safety with members being drawn from LU Directors and senior management representatives. Metronet and Tube Lines have standing invitations for their Managing Directors and Safety Directors as non-members, the latter attend on a regular basis.

The above Committee has been supported by the LU Directors' Assurance Review Team (DART) in order to provide an effective peer review function. Meetings have continued to be held at least every 4 weeks with a provision for special meetings when necessary. The remit of the Group encompasses the peer review/validation of change where this has significant health and safety implications, peer review of all Formal Investigation Report recommendations

and actions in advance of their implementation and overseeing the tracking and completion of safety improvements in LUSATS.

In addition, health and safety has been a standing agenda item at LU's various directorate management meetings.

In respect of employee involvement and consultation LU has established and implemented a health and safety consultation framework at three levels that facilitates employee involvement and consultation at strategic, operational and working levels. The LU HSEMS has been designed to ensure that the statutory rights of employees and their representatives are met in terms of involvement and consultation in respect of matters of health and safety.

2.7 Incident Reporting and Investigation

Through the implementation of the HSEMS LU has established standards and processes for the reporting and investigation of incidents that facilitate the identification of the root causes of incidents and the development and monitoring of corrective actions.

In respect of the investigation of significant incidents LU has a dedicated incident investigation team which can also call upon a number of safety managers/advisers and engineers trained in specialist investigation techniques. All Formal Investigation Reports (FIR's) issued over the last year have been subject to peer review by the LU DART and corrective actions and programme details/accountabilities have been entered on to LUSATS and are being monitored through to completion. Progress with the implementation of the recommendations from FIR's in respect of the most serious incidents is reviewed at the HSEC.

2.8 Assuring HSE Performance

LU has established and implemented standards and processes for the audit of the LU HSEMS. LU's standards require that the audit plan is risk-based and the programme is developed against set criteria and subject to wide consultation in draft before approval. The SQE and Technical audit programme for 2007/08 was approved by the LU Health, Safety and Environment Committee and has covered key LU health and safety processes, operational risk controls and specific topic areas. The audit programme also covers LU's PPP and other suppliers.

Audit results and actions have been reported in specific audit reports and in the quarterly LU Health Safety and Environmental Performance Report. In addition to audit work undertaken via SQE a programme of HS&E System checks has been carried out across LU as part of local management assurance checks.

2.9 Procurement Management

The majority of LU's major suppliers have been procured via our PPP and PFI arrangements, and as such, have been subject to an extremely thorough process of evaluation in terms of overall capability including health, safety and environment aspects. These are supported by robust contractual provisions relating to health safety and Environmental management.

For non-PPP, PFI suppliers, including the PPP Suppliers supply chain, LU has implemented standards and processes for procurement that ensure that suppliers meet our requirements at all stages of the procurement process.

2.10 Review of the HSE Management System

LU has established and implemented a standard for the review of the adequacy and effectiveness of the HSEMS, and related arrangements, that have the potential to affect health, safety and environment. The LU HSEMS was subject to a full review in 2006. The next full HSEMS review will be carried out in 2009. In between these prescribed review points individual elements of the system have been subject to review in response to legislative changes or incidents. Such changes have been controlled through the LU standards regime change management provisions.

3. Future HSE MS Developments

LU also has a commitment to continuous improvement in health, safety and environmental management and performance and this means we are continuously looking at how we can improve these further. This is achieved through our respective health, safety and environmental improvement programmes each year. These programmes are endorsed by the LU Health, Safety and Environment Committee and progress is monitored and reviewed throughout the year.

Our detailed health, safety and environmental improvement programmes are available on the LU Intranet.

Some of the key areas where we will be making further improvements over the next year are:

- Improvements to the quality, consistency of safety critical communications and the monitoring of this by management
- The improvement and simplification of our contract quality, environment, safety and health (QUENSH) conditions
- Improvements to our arrangements for providing protection on the operational railway
- The ongoing review and updating of our top event risk models
- The expansion of our health fair programme
- The five year programme focusing on a range of improvements including mental health, back pain, cardiovascular and musculo-skeletal issues as

well as improvements in respect of the health related elements of long term absence continues.

- Various environmental improvement actions that will allow us to continue to improve our performance and meet our obligations under the Mayor's Environmental Strategies.

Tim O'Toole
Managing Director, London Underground

Surface Transport

Subject: 2007/08 Health, Safety and Environment Assurance
Statement for Surface Transport, Non-Operational
Directorates

Date: 14 May 2008

1 Introduction

This Letter documents the status of the Health, Safety and Environmental Management System for the Surface Transport non-operational Directorates including London Streets, Strategy, Congestion Charging and Finance, at the end of 31 March 2008.

2 Status of Surface Transport non-operational Directorates Health Safety and Environment Management Systems

2.1 Health Safety and Environment (HSE) Policy

The non-operational Surface Transport modes/Directorates of London Streets, Congestion Charging and Finance have adopted the TfL Group Health and Safety Policy which was amended in August 2006. The policy has been made available to staff via the intranet and is drawn to their attention in various manners including at induction and the prominent display on notice boards.

2.2 HSE Management Systems

A Health, Safety and Environment Management System (HSEMS) addressing the base requirements of the TfL Group HSE framework and requirements is in place across all areas. Following an independent audit of the whole system a full review of the HSEMS was completed in 2007 in-line with the audits recommendations. As a result of this review, where appropriate, environmental considerations were included and two new procedures (Planning and Training & Competency) were introduced. Additional documentation covering detailed environmental issues have been developed by the Surface Transport Environment Team. In preparation of the forthcoming independent audit the system has been internally audited against the RoSPA standard. All documentation forming the HSEMS is available to staff through Source.

Within London Streets the HSEMS is mid way between *'implemented'* and *'fully implemented'*; within Congestion Charging and Finance it is considered to be *'in place'*.

Surface Transport continues to be compliant with core legislation and improved Governance arrangements have been or are in the process of being established within the modes/Directorates to ensure legal compliance is maintained. Each mode/Directorate is monitoring the implementation of the actions arising from the recommendations of the previous audit and are satisfied that these actions are being progressed in a timely manner.

2.3 Management Competence

The Surface Transport and London Streets Organisation and Arrangements documents describe the roles and responsibilities of both managers and staff. These roles and responsibilities are further supported through the HSEMS procedures which give detail on responsibilities enabling specific functions to be fulfilled.

Job descriptions for individual technical positions contain defined health and safety responsibilities; the job descriptions for non-technical positions contain general HSE responsibilities. These have recently been reviewed and expanded to be more explicit.

The London Streets Directorates have identified specific health and safety training requirements for staff, each producing a training matrix; these matrices have been implemented. Congestion Charging and Finance are working towards the development of training matrices and the delivery of training programmes.

A range of internal health and safety training courses are available to managers and staff covering both specific and general health and safety topics.

2.4 HSE Objectives / KPIs

Each of the London Streets Directorates have set objectives enabling them to move health and safety culture and awareness forward. Progress with/against these objectives is monitored at Directorate Health and Safety Committees and where appropriate reported to management meetings. Safety objectives for the financial year 2008/2009 at both strategic and Directorate level are being developed.

Information on the number, type and cause of accidents/incidents reported relating to both staff and contractors are noted/monitored at each Directorate Health & Safety Committee and at the London Streets Health & Safety Consultative Committee. A report providing information on accidents/incidents, comparing them with previous year's statistics is produced on an annual basis. The detail of this report is discussed at

the first available Chief Officers Operations meeting following publication. Health and safety KPIs on staff and contractor incidents are reported quarterly to SHEC.

Service Performance and Service Level Indicators have been set against each contractor engaged under term contracts managed by London Streets Directorates. These indicators cover the contractor's health, safety and environmental performance and are monitored at regular review meetings.

KPI's have not yet been established for Finance and Congestion Charging but are being considered for inclusion in 2008/2009 safety objectives.

2.5 Risk Assessments

Comprehensive arrangements have been established for the assessment of risks to staff and customers affected by the operations of each mode/Directorate. The results of these assessments are subject to regular review and periodic internal and independent audit. Further arrangements exist through the HSEMS procedures for specialist risk assessments to be undertaken by the Surface Transport, Streets H&S Team at the request of individual managers or members of staff.

2.6 Meetings

Each Directorate within London Streets have established Health and Safety Committees that meet either monthly or quarterly, depending on individual Directorate requirements. Meetings are co-ordinated to correspond with meetings of the London Streets H&S Consultative Committee. All meetings have an agreed terms of reference and are attended by management and where appropriate, available staff representatives. The Consultative Committee meets quarterly and is attended by management representatives from each Directorate and Trade Union representatives. Health and safety is an agenda item at senior management meetings and is a standing agenda item at the monthly COO meetings.

Cascade/team meetings are held with London Streets staff at regular intervals where health and safety messages are communicated and where staff are encouraged to raise any health and safety concerns. Each Directorate has a regular 'newsletter' which is used to publicise/raise general H&S awareness.

No formal arrangements exist within Finance for consultation with staff but regular team meetings take place where staff can raise health and safety concerns. Congestion Charging have recently established formal management/staff consultation meetings taking place twice yearly.

2.7 Incident Reporting and Investigation

As part of the HSEMS, procedures are in place for the reporting and investigation of accidents/incidents involving both staff and contractor's staff.

Information on accident/incident data is reported to and monitored by Directorate safety committees, the Streets H&S Consultative Committee, management/contractor review meetings and is noted at monthly COO meetings. Statistical information on accidents/incidents is also reported at BMR and SHEC. An annual report is prepared for senior management measuring current year's performance with previous.

Procedures covering the reporting of major incidents as defined by the Group HSE standard are in place, however since introduction this procedure has not needed to be activated.

2.8 Assuring HSE Performance

Procedures are in place for the auditing, monitoring and review of the HSEMs and working environments occupied by staff. An annual programme combining internal audits, external audits and general inspections is agreed at management meetings and health and safety consultative committees before delivery. Each mode/Directorate reports HSE performance information on a regular basis, typically to senior management meetings and SHEC. The results of internal and external audits feed into the mode/Directorate H&S plans and progress against plans is reviewed/monitored at safety committees and COO - Streets management meetings. Internal audits are formally reviewed after six months with agreed actions closed out.

The arrangements for audit and review are implemented across London Streets, Finance and Congestion Charging.

2.9 Procurement Management

A well established procedure for the evaluation of contractor health and safety competency exists within London Streets, administered by the London Streets Contract and Procurement Team. Contractors are checked in the first instance against the Contractors Health and Safety Assessment Scheme (CHAS), a national assessment scheme managed on behalf of Local Authorities by Merton Council. Documentation of contractors not registered under the scheme is forwarded to the London Streets H&S Team for evaluation using similar criteria to CHAS.

For major contracts such as the recently awarded Traffic Control Equipment Maintenance contract a 'panel' from across a number of

TfL/Streets areas, including health and safety, is established to undertake a review of submitted tenders.

Congestion Charging have their own Procurement Team in place which has a process in place for the formal evaluation of proposed contractor's health and safety competency during the bidding process, again making use of the in-house health and safety team. Finance does not procure operational contractors and therefore do not have procedures in place for evaluating contractor competence.

2.10 Review of the HSE Management System

Elements of the HSEMS are internally audited on an annual basis; an independent audit of the entire HSEMS is undertaken two-yearly; a review of the HSEMS is undertaken annually through the Group Assurance Letter process with the findings from all processes feeding into mode/Directorate action plans, monitored through Directorate safety committees, the Streets H&S Consultative Committee, the COO-Streets meetings and Directorate management meetings.

3 Future HSE MS Developments

Each mode/Directorate undertakes to identify key areas of improvement which feed into individual Directorate/team objectives, with the results of internal and external audits feeding into the process. These objectives are agreed at management meetings with progress regularly monitored.

David Brown
Managing Director, Surface Transport

Surface Transport

Subject: 2007/08 Health, Safety and Environment Assurance Statement for Surface Transport, Operational Directorates

Date: 14 May 2008

1 Introduction

This Letter documents the status of the Health, Safety and Environmental Management System for Surface Transport, Operational Directorates, covering LBSL, LRS, LBL, PCO and CSEP at the end of 31st March 2008.

2 Status of Health Safety and Environment Management System

2.1 Health Safety and Environment (HSE) Policy

All modes have adopted the current TfL Group Health, Safety and Environmental Policy. The policies are, where applicable, branded to their own mode and authorised at modal level, available to staff via the intranet and are included in HSEM documentation. Additionally they are drawn to the attention of staff in various manners including display on notice boards.

2.2 HSE Management Systems

A HSEMS based on a standard Surface framework and TfL requirements is in place across the modes.

Following on from a project to review Health and Safety procedures at each mode, programmes are now in place to update these and integrate environmental procedures into each mode's HSEM System. All modes are now at the 'implemented' stage and are progressing to be 'fully implemented' by the end of October 2008.

Surface Transport continues to be compliant with core legislation and the improved governance arrangements established last year, continue to ensure legal compliance is maintained.

2.3 Management Competence

The recently appointed HSE Training Manager for Surface Transport has been a catalyst for improved internal communication and coordination of training across all of Surface Transport. Following on from a programme of Training Needs Analysis across all modes, general safety awareness training provided by IOSH and the British Safety Council has been implemented to improve management competence in this area.

General risk assessment and more specialist CDM, defensive driving, accident investigation and Banksman training programmes have been completed. Courses currently under development include personal safety, roadside safe working and management of contractors.

Environmental awareness training currently being delivered in Strategy and London Streets Directorates is being evaluated in order to be rolled out across all of Surface Transport.

2.4 HSE Objectives / KPIs

Health and Safety objectives are signed off annually at the various modal safety governance meetings, and progress is reviewed through the same process and reported to SHEC.

Health and safety KPIs on staff and contractor incidents are reported quarterly to SHEC.

Health and Safety KPIs and targets are reviewed at modal governance meetings to monitor performance against targets set.

Data continues to be collected to provide performance information against TfL's Environmental KPIs. The current review to incorporate Environmental management into the HSEMs will allow for targets to be set.

2.5 Risk Assessments

Programmes of risk assessments continue to be carried out within the modes and assessments are monitored and reviewed under existing guidelines.

Risk assessment procedures are being revised as part of the ongoing HSEMS update and risk assessment training is being carried out in some modes allowing greater local management.

2.6 Meetings

The Governance process has recently been strengthened within the modes by the creation, where necessary, of specific modal Health Safety and Environmental Governance Meetings to review HSE performance. In some modes Environmental issues are also considered at the same meeting but in other modes separate governance meetings have been established to reflect the level of input required.

These are regularly attended by members of the Surface Transport Safety and Environmental Teams to assist in this process and provide assurance that they continue to be effective.

Safety Committees are active in operational modes and work continues to improve compliance in non operational areas.

2.7 Incident Reporting and Investigation

Further improvements to the reporting database, which is used by bus operators, have been put on hold pending the outcome of a review of an IM application strategy for pan modal workflow products. The existing reporting system is now generally stable and performing better.

A programme of 3 day accident investigation, lead investigator and 1 day accident investigation courses have been provided by the Institute of Industrial Accident Investigators. Further training has been undertaken to allow the 1 day course to be delivered internally.

Procedures covering the reporting of major incidents as defined by the Group HSE standard are in place.

2.8 Assuring HSE Performance

Assurance of HSE continues to be undertaken across the modes, through a combination of planned general inspections, operational inspections, independent audits by LUL SQE and Physical Condition Surveys.

Plans are in place to roll out the RoSPA audit process employed by Streets, to gain further assurance in operational areas.

Each mode reports HSE performance information via governance meetings as well as each period to senior management meetings and quarterly to SHEC.

Safety is also reviewed by Surface Transport Directors at the Strategy Board Meetings, held four weekly, with a report submitted by the Operations Director.

2.9 Procurement Management

A review of the possible application of the Contractors Health and Safety Assessment Scheme (CHAS, a national assessment scheme in use at London Streets) is underway and is to be trialed at one mode with a view to rolling it out across other modes as applicable. As CHAS is updated to include Environmental compliance it can potentially be used to assess environmental performance.

For major contracts such as the procurement of hydrogen vehicles and infrastructure, health, safety and environmental expertise is added directly to the project team.

2.10 Review of the HSE Management System

The findings of the previous assurance letter review continue to be monitored and progressed in a timely manner by each mode.

The review of the HSEMS continues and includes the relevant documentation and issues associated with implementation of the revised system. The HSEMs review project board includes representation at Director level and progress is reported at modal governance meetings.

3 Future HSEMs Developments

As part of the ongoing review and development of HSEMS, each mode undertakes to identify key areas of improvement which input to individual modal objectives. Additionally, the results of internal and external assurance processes are used to provide further recommendations for improvements.

David Brown
Managing Director, Surface Transport

London Rail

Subject: 2007/08 Health, Safety and Environment Assurance Statement for London Rail

Date: 23 April 2008

1 Introduction

This Statement documents the status of the Health, Safety and Environmental Management System for London Rail as at 31 March 2008.

2 Status of Health Safety and Environment Management System(s)

2.1 Health Safety and Environment (HSE) Policy

London Rail has adopted the TfL Health, Safety and Environmental Policy. It has been in place since January 2007. London Rail reviewed this policy, along with the other modes in February 2008 and it remains in place unchanged.

The policy is widely available on the TfL Intranet and on the London Rail HSE intranet site (as part of the London Rail Management System). It is also on display on Health and Safety notice boards throughout our offices.

2.2 HSE Management Systems

The London Rail HSE Management Systems are made up of overarching London Rail documentation and then specific Management systems that relate to the two individual businesses.

Docklands Light Railways Limited has a fully implemented and Office of Rail Regulation (ORR) approved Safety Management System to govern its activities as Infrastructure Manager as required by the Railways and Other Guided Transportation Systems (Safety) Regulations (ROGs).

Rail for London Limited comprises of the London Rail headquarters functions and London Overground Operations and Infrastructure. The HSEMS for these parts of the business have been developed over the last year, in accordance with the criteria laid down in the TfL Group HSE MS.

2.3 Management Competence

Job Descriptions summarise the key HSE responsibilities for specific employees. HSE competencies or training requirements have been defined as part of the performance management process.

The majority of the senior management team at London Rail, DLRL and London Overground have attended the AD Little, Strategic Safety Management learning programme. In addition specific health and safety training courses and briefing sessions have been arranged for a broader selection of London Rail staff throughout the year.

2.4 HSE Objectives / KPIs

Each of the businesses within London Rail has in place separate HSE objectives that form part of their annual HSE improvement Plan. The progress of each of the plans is monitored and reported on in detail, period by period.

KPIs and targets are reviewed and set each year. KPIs and targets are monitored at a number of London Rail senior manager forums including the Executive Group meeting.

The status of HSE objectives and KPIs are reported to the period Business Management Review (BMR) and to the TfL Safety, Health and Environment Committee, quarterly and annually.

2.5 Risk Assessments

Programmes of risk assessment are in place to implement the requirements of the HSE Management System. Where risk assessments identify the requirement for further controls to bring risks to an ALARP level, these are highlighted to responsible managers. To ensure that risk assessments remain current, periodic reviews will take place at least every 3 years, where there is a reason to suspect that they are no longer valid, following an incident or where significant changes have occurred to the workplace, task or employees.

2.7 Meetings

London Rail has a well established programme of meetings that exist for the purpose of reviewing HSE performance. Each of the businesses has Board sub committees that meet regularly to review HSE performance. These include the Rail for London HSE Review Committee and the DLR Safety Committee. These Committees provide assurance to the appropriate Board, where SHE performance is a standing item and is always the first item discussed. The overall SHE performance is reported to the London Rail Executive Group that meets each period.

In addition, health and safety is a standing agenda item at London Rails various directorate management meetings. Processes are in place to ensure that employees are consulted with regards to HSE issues and the minutes for the various committee meetings are displayed on Health and Safety notice boards.

2.7 Incident Reporting and Investigation

Incidents and accidents are recorded on incident report forms and in accident books as appropriate. Incident investigations take place commensurate to the event, identifying immediate and root causes. Where necessary, action plans will be produced to ensure recommendations are closed out in a timely fashion.

Where serious incidents/accidents occur, there are established procedures for reporting incidents and carrying out investigations. Depending on the type of incident that occurs - London Rail can utilize its own trained investigators to lead on investigations, or engage independent experts or appoint its own representatives to the investigation team of its operators or contractors.

2.8 Assuring HSE Performance

The component businesses within London Rail have established audit programmes in place. These range from the annual external independent audit of the DLR family of companies to the regular period audits carried out on the contractors on London Overground construction sites.

The results of the audits are published in reports and resulting actions/recommendations are monitored and tracked through to completion.

2.9 Procurement Management

Goods, works and services are currently procured in compliance with TfL procurement processes. Compliance with all applicable health and safety legislation is a standard contractual requirement.

2.10 Review of the HSE Management System

The London Rail HSE Management Systems have, through the last year, undergone significant review. Reviews have been generated by the growing nature of our business and by changes in legislation - mainly the Railways and Other Guided Transport Systems (Safety) Regulations (ROGs).

Significant changes or developments within the systems are approved by senior management – at the appropriate Safety Review Committee

and communicated in period reports to Board meetings and the London Rail Executive Group.

3 Future HSE MS Developments

As part of the ongoing review and development of HSE MS, the following significant improvement actions are scheduled for this year:

- The introduction of London Trams Management Systems into the London Rail systems.
- The development of the London Trams Management Systems to ensure compliance with ROGs.
- The development of the Rail for London Management Systems to include the role of Infrastructure Manager of the East London Line.
- Development of process maps into the Management System to make complex procedures easier to understand.
- Greater focus on health and well being issues.

Ian Brown
Managing Director, London Rail

Smarter Travel Unit

Subject: 2007/08 Health, Safety and Environment Assurance Statement for the Smarter Travel Unit

Date: 8 May 2008

1 Introduction

This Statement documents the status of Health, Safety and Environmental Management in the Smarter Travel Unit as at 31 March 2008.

2 Status of TfL Corporate Directorates Health, Safety and Environment Management System

2.1 Health Safety and Environment Policy

The TfL Group Health, Safety and Environment Policy Statement (HSEPS) was reviewed in March 2008. It is available on notice boards and via the intranet. The HSEPS is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities, changes in legislation and changed criteria within the Group HSEMS.

2.3 Management Competence

A process is in place to enable managers to record HSE competencies (and other qualifications) on SAP on the Qualifications Catalogue.

2.4 HSE Objectives / KPIs

Measurements, including injury rates and sickness absence, are in place. They are monitored and reported through the Business Management Review process and to the Safety Health and Environment Committee (SHEC) through Quarterly and Year End reports.

The Smarter Travel Unit Business Plan contains HSE Objectives. Key Performance Indicators and targets have been set to monitor performance against objectives.

2.5 Risk Assessments

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within Group HSE. Additional specialist risk assessments take place when required. The programme, as implemented, ensures that health and safety risks are maintained at levels that are as low as reasonably practicable (ALARP). Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings

In terms of employee participation and consultation, work involving Group HSE and Group Employee Relations was concluded during 2007/08 to agree HSE consultative arrangements to apply to TfL Corporate Directorates. This structure meets the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996.

Group Facilities has put in place a House Committee Meeting structure across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, HSEMS Standards require that an electronic Accident and Incident Report be completed and emailed to the Corporate HSE Advisor. Compliance with electronic reporting is improving but is yet to be fully achieved. Investigations of incidents take place as required under HSEMS Standards and actions are closed out in an auditable manner.

2.8 Assuring HSE Performance

HSE performance is reported quarterly at Business Management Reviews and Safety, Health and Environment Committee meetings.

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE are leading a programme to implement the recommendations.

An HSE Assurance Letter is completed annually and provided to the Commissioner and Safety, Health and Environment Committee.

2.9 Procurement Management

Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

2.10 Review of the HSE Management System

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates. A review took place during 2007/08. Group HSE is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of the HSEMS to address legislative change, to meet best practice and to improve future HSE performance were carried out.

2.11 Smarter travel Unit 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate.

These responsibilities are addressed below for the Smarter Travel Unit:

1. STU to ensure that safety is adequately addressed as part of the development of travel options for TfL Staff

3 Future HSE MS Developments

During 2008/09 the HSE MS will be updated to reflect changes in TfL's organisational structure and additional responsibilities. HSEMS Standards will be reviewed and new Standards created as necessary to address business activities, meet changes in legislation or changed criteria within the Group HSEMS.

Specific developments to be taken forward during 2008/09 involve:

- Competency assurance being strengthened through line managers (including HSE subject matter specialists) taking on responsibility for ensuring that the Qualification Catalogue is updated and HSE-related qualifications assigned to jobs and individual employees
- HSE Consultation arrangements being considered at Chief Officer level and then tabled with the recognised trades unions with a view to roll-out
- Recommendations from the Det Norske Veritas (DNV) external audit being applied
- Assisting with the incorporation of appropriate HSE Management Systems and Assurance arrangements for additional responsibilities in the TfL Group.

Ben Plowden
Programme Director, Smarter Travel Unit

Finance Directorate

Subject: 2007/08 Health, Safety and Environment Assurance Statement for the Finance Directorate

Date: 8 May 2008

1 Introduction

This Statement documents the status of Health, Safety and Environmental Management in the Finance Directorate as at 31 March 2008.

2 Status of TfL Corporate Directorates Health, Safety and Environment Management System

2.1 Health Safety and Environment Policy

The TfL Group Health, Safety and Environment Policy Statement (HSEPS) was reviewed in March 2008. It is available on notice boards and via the intranet. The HSEPS is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities, changes in legislation and changed criteria within the Group HSEMS.

2.3 Management Competence

A process is in place to enable managers to record HSE competencies (and other qualifications) on SAP on the Qualifications Catalogue.

2.4 HSE Objectives / KPIs

Measurements, including injury rates and sickness absence, are in place. They are monitored and reported through the Business Management Review process and to the Safety Health and Environment Committee (SHEC) through Quarterly and Year End reports.

The Finance Directorate Business Plan contains HSE Objectives. Key Performance Indicators and targets have been set to monitor performance against objectives.

2.5 Risk Assessments

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within Group HSE. Additional specialist risk assessments take place when required. The programme, as implemented, ensures that health and safety risks are maintained at levels that are as low as reasonably practicable (ALARP). Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings

In terms of employee participation and consultation, work involving Group HSE and Group Employee Relations was concluded during 2007/08 to agree HSE consultative arrangements to apply to TfL Corporate Directorates. This structure meets the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996.

Group Facilities has put in place a House Committee Meeting structure across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, HSEMS Standards require that an electronic Accident and Incident Report be completed and emailed to the Corporate HSE Advisor. Compliance with electronic reporting is improving but is yet to be fully achieved. Investigations of incidents take place as required under HSEMS Standards and actions are closed out in an auditable manner.

2.8 Assuring HSE Performance

HSE performance is reported quarterly at Business Management Reviews and Safety, Health and Environment Committee meetings.

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE are leading a programme to implement the recommendations.

An HSE Assurance Letter is completed annually and provided to the Commissioner and Safety, Health and Environment Committee.

2.9 Procurement Management

Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

2.10 Review of the HSE Management System

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates. A review took place during 2007/08. Group HSE is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of the HSEMS to address legislative change, to meet best practice and to improve future HSE performance were carried out.

2.11 Finance Directorate 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate.

These responsibilities are addressed below for the Finance Directorate:

Incorporate TfL strategic safety, security and environmental targets within the TfL performance score card.

Ten key business objectives, incorporating strategic environmental goals and targets, are set by Group Business Planning and Performance (GBPP).

Summarise HSE objectives within the TfL business plan.

HSE Objectives continue to feature in the business plan.

Take heed of HSE matters when determining allocation of funds.

This is addressed within the business planning process.

3 Future HSE MS Developments

During 2008/09 the HSE MS will be updated to reflect changes in TfL's organisational structure and additional responsibilities. HSEMS Standards will be reviewed and new Standards created as necessary to address business activities, meet changes in legislation or changed criteria within the Group HSEMS.

Specific developments to be taken forward during 2008/09 involve:

- Competency assurance being strengthened through line managers (including HSE subject matter specialists) taking on responsibility for

ensuring that the Qualification Catalogue is updated and HSE-related qualifications assigned to jobs and individual employees

- HSE Consultation arrangements being considered at Chief Officer level and then tabled with the recognised trades unions with a view to roll-out
- Recommendations from the Det Norske Veritas (DNV) external audit being applied
- Assisting with the incorporation of appropriate HSE Management Systems and Assurance arrangements for additional responsibilities in the TfL Group.

Steve Allen
Managing Director, Finance

General Counsel

Subject: 2007/08 Health, Safety and Environment Assurance Statement for General Counsel

Date: 8 May 2008

1. Introduction

This Statement documents the status of Health, Safety and Environmental Management in General Counsel as at 31 March 2008.

2. Status of TfL Corporate Directorates Health, Safety and Environment Management System

2.1 Health Safety and Environment Policy

The TfL Group Health, Safety and Environment Policy Statement (HSEPS) was reviewed in March 2008. It is available on notice boards and via the intranet. The HSEPS is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities, changes in legislation and changed criteria within the Group HSEMS.

2.3 Management Competence

A process is in place to enable managers to record HSE competencies (and other qualifications) on SAP on the Qualifications Catalogue.

2.4 HSE Objectives / KPIs

Measurements, including injury rates and sickness absence, are in place. They are monitored and reported through the Business Management Review process and to the Safety Health and Environment Committee (SHEC) through Quarterly and Year End reports.

The General Counsel Business Plan contains HSE Objectives. Key Performance Indicators and targets have been set to monitor performance against objectives.

2.5 Risk Assessments

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within Group HSE. Additional specialist risk assessments take place when required. The programme, as implemented, ensures that health and safety risks are maintained at levels that are as low as reasonably practicable (ALARP). Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings

In terms of employee participation and consultation, work involving Group HSE and Group Employee Relations was concluded during 2007/08 to agree HSE consultative arrangements to apply to TfL Corporate Directorates. This structure meets the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996.

Group Facilities has put in place a House Committee Meeting structure across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, HSEMS Standards require that an electronic Accident and Incident Report be completed and emailed to the Corporate HSE Advisor. Compliance with electronic reporting is improving but is yet to be fully achieved. Investigations of incidents take place as required under HSEMS Standards and actions are closed out in an auditable manner.

2.8 Assuring HSE Performance

HSE performance is reported quarterly at Business Management Reviews and Safety, Health and Environment Committee meetings.

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE are leading a programme to implement the recommendations.

An HSE Assurance Letter is completed annually and provided to the Commissioner and Safety, Health and Environment Committee.

2.9 Procurement Management

Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

2.10 Review of the HSE Management System

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates. A review took place during 2007/08. Group HSE is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of the HSEMS to address legislative change, to meet best practice and to improve future HSE performance were carried out.

2.11 General Counsel 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate. These responsibilities are addressed below for General Counsel.

Support the development of HSE policy and strategy

The Group TfL HSE Policy Statement was revised and signed off by the Commissioner in March 2008. The Policy Statement has been communicated to the modal senior managers and adopted as the sole TfL HSE Policy Statement.

The TfL Group HSEMS was agreed by the TfL Board in July 2004, setting a structure for all HSEMS across TfL and implementing the Group HSE Policy. The Corporate Directorates HSEMS has been reviewed against the TfL Group HSEMS as part of an external audit in 2006/07.

Maintain a process for providing assurance to the TfL Board

The primary means of assurance to the Board is through the Safety Health and Environment Committee (SHEC) that addresses TfL HSE performance on behalf of the Board. Corporate Governance and Group HSE work together to ensure delivery of aligned modal HSEMS and Quarterly reports to SHEC detailing incident trends, audit activity, sickness absence and HSEMS status updates. An external audit of the Group HSE MS concluded in 2006/07. The audit recommendations inform the provision of further support to the implementation of the HSE MS. Additionally, from time to time, Internal Audit carries out audits where health and safety themes have arisen within wider audit areas. Specific HSE reviews have also, on occasion, been scheduled as part of the Annual Audit Plan.

An HSE Assurance Letters process has been developed and implemented by all modes.

Keep up to date with new and changing HSE legislation

General Counsel maintains and chairs the Consultations Response Group (CRG) which Group HSE attends as a 'special interest member'. The role of the CRG is to co-ordinate TfL responses to consultations on proposed legislative change and facilitate a TfL response. TfL Legal monitors changes in relevant HSE legislation and case law and provides advice and training as appropriate.

Assess compliance with HSE legislation

TfL's legal compliance is monitored through a legal compliance report which is prepared on a bi-annual basis for the Audit Committee. The report is compiled by TfL Legal based on responses to a Legal Questionnaire completed by the TfL directorates. In addition, TfL directorates must complete a process of Controlled Self Assurance (CSA) whereby Managing Directors are asked to sign a Declaration assuring compliance with legal risk management processes. The CSA documentation is completed once each year.

With regard to any alleged breach of any Health & Safety legislation, TfL directorates must provide details of any formal warning or notice from the Health & Safety Executive. For any incident, the directorate must provide details on the nature of the alleged breach, how it came to their attention, the action taken to investigate, remedial steps and action taken to prevent further incidents. This section of the Legal Compliance Report is also reported to SHEC.

As well as reporting to the Audit Committee, the data obtained from the legal compliance process is used for taking corrective action (whether through training, policy or process review, additional resource, input on lessons learned) and informing TfL's Strategic Risk Register process.

Maintain HSE legal support

TfL Legal provides HSE legal support and training as required.

Communicate TfL HSE strategic objectives using the Business Planning Guidelines

Strategic objectives for HSE are set in the Business Planning Guidelines.

Set objectives that are consistent with the mayoral environmental strategies and reviewed annually.

Strategic objectives for health and safety are set by Group HSE. The Sustainability Unit (situated within Group HSE) coordinates the setting of environmental objectives.

Collate information on the progress against environmental objectives for reporting to SHEC

Progress against environmental objectives is reported to SHEC. It is also reported to the GLA via the TfL annual budget submission.

Report environmental performance in the TfL annual report and as part of the annual HSE performance report to SHEC

This is done and recorded in SHEC papers and minutes. Performance is also reported to internal and external stakeholders in the annual TfL Environmental Report.

3 Future HSE MS Developments

During 2008/09 the HSE MS will be updated to reflect changes in TfL's organisational structure and additional responsibilities. HSEMS Standards will be reviewed and new Standards created as necessary to address business activities, meet changes in legislation or changed criteria within the Group HSEMS.

Specific developments to be taken forward during 2008/09 involve:

- Competency assurance being strengthened through line managers (including HSE subject matter specialists) taking on responsibility for ensuring that the Qualification Catalogue is updated and HSE-related qualifications assigned to jobs and individual employees
- HSE Consultation arrangements being considered at Chief Officer level and then tabled with the recognised trades unions with a view to roll-out
- Recommendations from the Det Norske Veritas (DNV) external audit being applied
- Assisting with the incorporation of appropriate HSE Management Systems and Assurance arrangements for additional responsibilities in the TfL Group.

Howard Carter
General Counsel

Marketing and Communications Directorate

Subject: 2007/08 Health, Safety and Environment Assurance Statement for the Marketing and Communications Directorate

Date: 8 May 2008

1. Introduction

This Statement documents the status of Health, Safety and Environmental Management in the Marketing and Communications Directorate as at 31 March 2008.

2. Status of TfL Corporate Directorates Health, Safety and Environment Management System

2.1 Health Safety and Environment Policy

The TfL Group Health, Safety and Environment Policy Statement (HSEPS) was reviewed in March 2008. It is available on notice boards and via the intranet. The HSEPS is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities, changes in legislation and changed criteria within the Group HSEMS.

2.3 Management Competence

A process is in place to enable managers to record HSE competencies (and other qualifications) on SAP on the Qualifications Catalogue.

2.4 HSE Objectives / KPIs

Measurements, including injury rates and sickness absence, are in place. They are monitored and reported through the Business Management Review process and to the Safety Health and Environment Committee (SHEC) through Quarterly and Year End reports.

The Marketing and Communications Business Plan contains HSE Objectives. Key Performance Indicators and targets have been set to monitor performance against objectives.

2.5 Risk Assessments

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within Group HSE. Additional specialist risk assessments take place when required. The programme, as implemented, ensures that health and safety risks are maintained at levels that are as low as reasonably practicable (ALARP). Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings

In terms of employee participation and consultation, work involving Group HSE and Group Employee Relations was concluded during 2007/08 to agree HSE consultative arrangements to apply to TfL Corporate Directorates. This structure meets the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996.

Group Facilities has put in place a House Committee Meeting structure across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, HSEMS Standards require that an electronic Accident and Incident Report be completed and emailed to the Corporate HSE Advisor. Compliance with electronic reporting is improving but is yet to be fully achieved. Investigations of incidents take place as required under HSEMS Standards and actions are closed out in an auditable manner.

2.8 Assuring HSE Performance

HSE performance is reported quarterly at Business Management Reviews and Safety, Health and Environment Committee meetings.

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE are leading a programme to implement the recommendations.

An HSE Assurance Letter is completed annually and provided to the Commissioner and Safety, Health and Environment Committee.

2.9 Procurement Management

- 2.10 Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.
Review of the HSE Management System

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates. A review took place during 2007/08. Group HSE is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of the HSEMS to address legislative change, to meet best practice and to improve future HSE performance were carried out.

2.11 Marketing and Communications 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate.

These responsibilities are addressed below for the Marketing and Communications Directorate:

An important 'specific responsibility' to be referenced within the Corporate Directorates HSE Management System for Marketing and Communications is a commitment to work closely with relevant TfL businesses to ensure HSE matters are appropriately and effectively communicated to internal external stakeholders.

The main responsibility for determining the need for, appropriateness of, and scope of such activity lies with the relevant TfL business.

3. Future HSE MS Developments

During 2008/09 the HSE MS will be updated to reflect changes in TfL's organisational structure and additional responsibilities. HSEMS Standards will be reviewed and new Standards created as necessary to address business activities, meet changes in legislation or changed criteria within the Group HSEMS.

Specific developments to be taken forward during 2008/09 involve:

- Competency assurance being strengthened through line managers (including HSE subject matter specialists) taking on responsibility for ensuring that the Qualification Catalogue is updated and HSE-related qualifications assigned to jobs and individual employees
- HSE Consultation arrangements being considered at Chief Officer level and then tabled with the recognised trades unions with a view to roll-out
- Recommendations from the Det Norske Veritas (DNV) external audit being applied

- Assisting with the incorporation of appropriate HSE Management Systems and Assurance arrangements for additional responsibilities in the TfL Group.

Vernon Everitt
Managing Director, Marketing and Communications

Group Services Directorate

Subject: 2007/08 Health, Safety and Environment Assurance Statement for the Group Services Directorate

Date: 8 May 2008

1. Introduction

This Statement documents the status of Health, Safety and Environmental Management in the Group Services Directorate as at 31 March 2008.

2. Status of TfL Corporate Directorates Health, Safety and Environment Management System

2.1 Health Safety and Environment Policy

The TfL Group Health, Safety and Environment Policy Statement (HSEPS) was reviewed in March 2008. It is available on notice boards and via the intranet. The HSEPS is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities, changes in legislation and changed criteria within the Group HSEMS.

2.3 Management Competence

A process is in place to enable managers to record HSE competencies (and other qualifications) on SAP on the Qualifications Catalogue.

2.4 HSE Objectives / KPIs

Measurements, including injury rates and sickness absence, are in place. They are monitored and reported through the Business Management Review process and to the Safety Health and Environment Committee (SHEC) through Quarterly and Year End reports.

The Group Services Directorate Business Plan contains HSE Objectives. Key Performance Indicators and targets have been set to monitor performance against objectives.

2.5 Risk Assessments

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within Group HSE. Additional specialist risk assessments take place when required. The programme, as implemented, ensures that health and safety risks are maintained at levels that are as low as reasonably practicable (ALARP). Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings

In terms of employee participation and consultation, work involving Group HSE and Group Employee Relations was concluded during 2007/08 to agree HSE consultative arrangements to apply to TfL Corporate Directorates. This structure meets the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996.

Group Facilities has put in place a House Committee Meeting structure across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, HSEMS Standards require that an electronic Accident and Incident Report be completed and emailed to the Corporate HSE Advisor. Compliance with electronic reporting is improving but is yet to be fully achieved. Investigations of incidents take place as required under HSEMS Standards and actions are closed out in an auditable manner.

2.8 Assuring HSE Performance

HSE performance is reported quarterly at Business Management Reviews and Safety, Health and Environment Committee meetings.

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE are leading a programme to implement the recommendations.

An HSE Assurance Letter is completed annually and provided to the Commissioner and Safety, Health and Environment Committee.

2.9 Procurement Management

Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

2.10 Review of the HSE Management System

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates. A review took place during 2007/08. Group HSE is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of the HSEMS to address legislative change, to meet best practice and to improve future HSE performance were carried out.

2.11 Group Services Directorate 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate.

These responsibilities are addressed below for the Group Services Directorate:

Policy and process to address employee HSE competency at the recruitment stage and record competence requirements within job descriptions and employee specifications have been provided.

Manager Induction training and materials, issued to all employees appointed as managers (either new to TfL or new to role), includes a section dedicated to HSE which addresses HSE competence. A process and procedure is now in place to record competencies and other qualifications in SAP via the Qualifications Catalogue. HSE competency requirements are being developed.

Appropriate employee communications and consultation arrangements are in place in accordance with legal and HSEMS requirements.

Revised consultation arrangements, finalised between Group HSE and Group Employee Relations, will be ratified at Chief Officer level before being tabled with recognised trades unions and rolled out across the non-London Underground Modes.

Group Property and Facilities policies and procedures address HSE issues, providing safe working environments, specifically:

- Safe plant and machinery
- building specific HSE information for employees including emergency plans

- Cooperation and coordination on HSE matters at multi-occupancy sites.

Group Property and Facilities (GPF) have written policies and procedures to support existing Standards within the Corporate Directorates HSE Management System and otherwise to address GPF-specific issues not covered within the existing suite of HSE Management System Standards.

HSE risks are minimised and HSE benefits are maximised through the procurement process

TfL Procurement is aligned to a consistent set of Standing Orders, procurement policy and processes. Mode-specific procurement standards and procedures are applied to meet business-specific needs. A Group HSE /Group Procurement guidance document was produced to further improve HSE risk processes at key stages over the procurement cycle. This work is due to be progressed across the Mode during 2008/09.

3. Future HSE MS Developments

During 2008/09 the HSE MS will be updated to reflect changes in TfL's organisational structure and additional responsibilities. HSEMS Standards will be reviewed and new Standards created as necessary to address business activities, meet changes in legislation or changed criteria within the Group HSEMS.

Specific developments to be taken forward during 2008/09 involve:

- Competency assurance being strengthened through line managers (including HSE subject matter specialists) taking on responsibility for ensuring that the Qualification Catalogue is updated and HSE-related qualifications assigned to jobs and individual employees
- HSE Consultation arrangements being considered at Chief Officer level and then tabled with the recognised trades unions with a view to roll-out
- Recommendations from the Det Norske Veritas (DNV) external audit being applied
- Assisting with the incorporation of appropriate HSE Management Systems and Assurance arrangements for additional responsibilities in the TfL Group.

Valerie Todd
Managing Director, Group Services

Planning Directorate

Subject: 2007/08 Health, Safety and Environment Assurance Statement for the Planning Directorate

Date: 8 May 2008

1. Introduction

This Statement documents the status of Health, Safety and Environmental Management in the Planning Directorate as at 31 March 2008.

2. Status of TfL Corporate Directorates Health, Safety and Environment Management System

2.1 Health Safety and Environment Policy

The TfL Group Health, Safety and Environment Policy Statement (HSEPS) was reviewed in March 2008. It is available on notice boards and via the intranet. The HSEPS is provided to new employees as part of the Corporate Induction.

2.2 HSE Management Systems

A suite of standards and procedures that comprise the TfL Corporate Health, Safety and Environment Management System (HSEMS) are in place and implement the Group HSEMS. Existing HSEMS Standards undergo review and new Standards are included as required to address business activities, changes in legislation and changed criteria within the Group HSEMS.

2.3 Management Competence

A process is in place to enable managers to record HSE competencies (and other qualifications) on SAP on the Qualifications Catalogue.

2.4 HSE Objectives / KPIs

Measurements, including injury rates and sickness absence, are in place. They are monitored and reported through the Business Management Review process and to the Safety Health and Environment Committee (SHEC) through Quarterly and Year End reports.

The Planning Directorate Business Plan contains HSE Objectives. Key Performance Indicators and targets have been set to monitor performance against objectives.

2.5 Risk Assessments

A programme of risk assessments, updated annually, addresses workplace and specialist risks. The programme is led and largely executed by Corporate HSE Advisors within Group HSE. Additional specialist risk assessments take place when required. The programme, as implemented, ensures that health and safety risks are maintained at levels that are as low as reasonably practicable (ALARP). Risk assessments undergo periodic review and are revisited following significant events in conformance with relevant HSEMS Standards.

2.6 Meetings

In terms of employee participation and consultation, work involving Group HSE and Group Employee Relations was concluded during 2007/08 to agree HSE consultative arrangements to apply to TfL Corporate Directorates. This structure meets the requirements of the Safety Representative and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996.

Group Facilities has put in place a House Committee Meeting structure across the Head Office portfolio under which building-related HSE performance is a standing agenda item.

2.7 Incident Reporting and Investigation

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, HSEMS Standards require that an electronic Accident and Incident Report be completed and emailed to the Corporate HSE Advisor. Compliance with electronic reporting is improving but is yet to be fully achieved. Investigations of incidents take place as required under HSEMS Standards and actions are closed out in an auditable manner.

2.8 Assuring HSE Performance

HSE performance is reported quarterly at Business Management Reviews and Safety, Health and Environment Committee meetings.

During 2007/08, an independent audit of the Corporate Directorates HSEMS was carried out. Group HSE are leading a programme to implement the recommendations.

An HSE Assurance Letter is completed annually and provided to the Commissioner and Safety, Health and Environment Committee.

2.9 Procurement Management

Goods, Works and Services are procured in compliance with TfL Procurement Policy and processes. Compliance with all applicable health and safety legislation is a standard, contractual requirement.

2.10 Review of the HSE Management System

The Corporate Directorate HSEMS contains a Standard that requires the HSEMS to be reviewed against the requirements of the TfL Group HSEMS and to ensure it continues to meet the needs of the Corporate Directorates. A review took place during 2007/08. Group HSE is responsible for ensuring that findings from the review are incorporated into the Corporate Directorate HSEMS. In addition, reviews of the HSEMS to address legislative change, to meet best practice and to improve future HSE performance were carried out.

2.11 Planning Directorate 'Specific' HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each Directorate.

These responsibilities are addressed below for the Planning Directorate:

Develop and implement the Major Projects Business Unit (MPBU) Safety, Health, Environment and Quality Management System.

Major Projects Business Unit (MPBU) has developed and implemented a Safety, Health, Environment and Quality Management System.

The System has been developed in line with TfL's Group HSE Framework and consists of a set of policies, plans and procedures. Compliance with the system is assured by regular internal and external reviews. A presentation of MPBU's SHEQ system has been submitted to SHEC and accepted as best practice.

Address HSE risks in a systematic manner in Borough Partnerships.

Where Planning are responsible for plans or a programme of projects, notably with the boroughs in the LIPs and BSP processes, they will ensure relevant HSE standards are integrated into the appropriate guidance, criteria and appraisal.

3. Future HSE MS Developments

During 2008/09 the HSE MS will be updated to reflect changes in TfL's organisational structure and additional responsibilities. HSEMS Standards will be reviewed and new Standards created as necessary to address business activities, meet changes in legislation or changed criteria within the Group HSEMS.

Specific developments to be taken forward during 2008/09 involve:

- Competency assurance being strengthened through line managers (including HSE subject matter specialists) taking on responsibility for ensuring that the Qualification Catalogue is updated and HSE-related qualifications assigned to jobs and individual employees
- HSE Consultation arrangements being considered at Chief Officer level and then tabled with the recognised trades unions with a view to roll-out
- Recommendations from the Det Norske Veritas (DNV) external audit being applied
- Assisting with the incorporation of appropriate HSE Management Systems and Assurance arrangements for additional responsibilities in the TfL Group.

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