

Transport for London

SAFETY, HEALTH & ENVIRONMENT COMMITTEE

Meeting No. 30 to be held on 15th November 2006 at 1400hrs
in the Boardroom, 14th Floor Windsor House,
42-50 Victoria Street, London SW1H 0TL

AGENDA

- | | | |
|-------|---------------------------------------------------------------------|--------------------|
| 14.00 | 1. Apologies for Absence | - |
| | 2. Minutes of Meeting No. 29 held on 7 th September 2006 | - |
| 14.05 | 3. Matters Arising and Outstanding Actions Report | - |
| 14.10 | 4. Health and Wellbeing (oral) | Dr Olivia Carlton |
| 14.30 | 5. LUL Tunnel ventilation (oral) | Tim O'Toole |
| 14.40 | 6. HSE Assurance Letters | |
| | 6.1 Surface Transport | David Brown |
| | 6.2 Corporate Directorates | Howard Carter |
| 14.50 | 7. TfL Annual Environment Report | Richard Stephenson |
| 14.55 | 8. Influenza Pandemic Update | Richard Stephenson |
| 15.00 | 9. Business HSE Reports | MDs |
| | 9.1 LUL | Tim O'Toole |
| | 9.2 Surface Transport | David Brown |
| | 9.3 TfL Corporate | Howard Carter |
| | 9.4 Rail | Ian Brown |
| 15.20 | 10. Proposed SHEC Agenda Items | Richard Stephenson |
| 15.25 | 11. Sustainability Update | Richard Stephenson |
| 15.30 | Any Other Business | |

Date of next meeting
6th March 2007 at 1400 hours,
Windsor House, 14th Floor, Boardroom

Transport for London

MINUTES OF THE SAFETY, HEALTH & ENVIRONMENT COMMITTEE MEETING No. 29 held on 7th September 2006 in the Boardroom, Windsor House at 14.00 pm

OPEN SESSION

Present:

Members: Dave Wetzel Chair
Kirsten Hearn (part time)
Paul Moore
Tony West
Toby Harris

Advisers: Richard Booth

In Attendance: Ian Brown Managing Director, London Rail
David Brown Managing Director, Surface Transport (part time)
Peter McGuirk Interim Director of Governance & Assurance
Howard Carter General Counsel
Tim O'Toole Managing Director, London Underground
Mike Shirbon Group HSE advisor
Richard Stephenson Director of Group Health, Safety & Environment
Mike Weston Operations Director, Surface Transport

Secretary: James Varley TfL Secretariat

ACTION

27/09/06 Apologies for Absence

Apologies were received from Stuart Natrass.

28/09/06 Minutes of the Previous Meeting

The minutes of Meeting No. 28 held on 6 July 2006 were **AGREED** and signed by the Chair as an accurate record.

29/09/06 Matters Arising and Summary of Action Points

Risk of Major Crowd Incidents in LUL station areas: Richard Booth thanked LUL for their detailed report and will forward his further question regarding emergency conditions to Richard Stephenson.

30/09/06 Health and Safety Content for the TfL Business Plan

Richard Stephenson introduced the draft 2007/08 health and safety plans for each of the modes and the draft health and safety content for the 2007/08 TfL Business Plan. It was noted that due to reporting deadlines the environmental content has not been included yet and will be circulated at a later date as part of the sustainability content.

In reply to a question from the Committee, Tim O'Toole explained that Tunnel Cooling is not currently on the list of key health and safety objectives as at present this is an issue that is being investigated in order to mitigate this risk in future as opposed to an existing problem. Tim O'Toole noted that there is nonetheless considerable work being undertaken to find and implement tunnel cooling measures. In response to a question from Kirsten Hearn, Tim O'Toole undertook to supply statistics on heat stress to the Committee. In addition, it was also agreed that a presentation on Tunnel Cooling would be made at the next meeting.

Tim O'Toole

The Committee **NOTED** the report.

31/09/06 **HSE Audit Plan**

In keeping with the revised assurance arrangements following the review of SHEC's functioning earlier in the year, the annual HSE audit plans for each of the modes were circulated detailing what HSE audits would be undertaken in 2006/07.

The Committee **NOTED** the report.

32/09/06 **HSE Assurance Letters**

Following the 'dry run' in 2005/06, the modes circulated their first Chief Officer HSE Assurance Letters. Richard Stephenson explained that Assurance Letters had been received from Rail, Streets and LUL. The remaining letters from Surface and Corporate would be presented at the next meeting taking place on 15 November.

The Committee **NOTED** the report.

33/09/06 **Corporate Directorates Quaterly SHEC Report**

The Chair thanked Peter McGuirk for his contribution to the panel and welcomed his replacement, Howard Carter.

Members **NOTED** the report from Peter McGuirk.

34/09/06 **Surface Transport Quarterly SHEC Report**

David Brown introduced the report. Mike Weston explained to the Committee that there had been an adverse trend in pedestrian fatalities and work was being undertaken to look at trends and common causes. David Brown informed the Committee that forward facing CCTV on buses can help with investigation of incidents. Paul Moore asked David Brown to examine the possibility of having investigations into all pedestrian fatalities, not just those associated with buses. David Brown agreed to report back on the matter at the next meeting.

David Brown

David Brown drew the Committees attention to two separate incidents involving the same bus driver. In response to a question from the Chair, David Brown undertook to speak to the DVLA about the possibility of informing them of drivers that have been assessed by a Doctor as medically unfit to drive.

David Brown

On environmental issues, the Chair asked to be provided with information about the “clusters” identified as part of the traffic noise action plan.

David Brown

Members **NOTED** the report.

35/09/06 London Rail Quarterly SHEC Report

Ian Brown introduced the report and highlighted that there had been no reported assaults on the DLR this quarter.

Kirsten Hearn requested that the demographic information relating to the Staff Assaults presentation by Paul Crowther at the previous meeting be circulated to the attendees of the meeting and that opportunities be sought to take further action to disseminate the information to those who would find it useful.

Secretariat /
Richard
Stephenson

The Committee **NOTED** the report.

36/09/06 London Underground Quaterly SHEC Report

Tim O'Toole introduced the report. He explained that the number of signals passed at danger reports in the quarter was greater than that of the previous quarter and that this was being investigated as part of an existing piece of work..

There had also been an increase on Platform Train Interface incidents and this was being investigated. Further information would be provided when it became available.

Tim O'Toole

Tim O'Toole also reported that a new sickness and attendance policy was pending and assured the Committee that the policies would be fair and equitable and were taken from the ACAS

model.

The Committee **NOTED** the report.

37/09/06 Any Other Business

There being no further business the meeting closed.

Signed: _____ **Chair**

TRANSPORT FOR LONDON

OPEN SESSION
SAFETY, HEALTH & ENVIRONMENT COMMITTEE
OUTSTANDING ITEMS REPORT AND ACTION LIST 29
AS AT 26 OCTOBER 2006

OUTSTANDING ITEMS:

| Target Meeting Date: | Description: | Action By: | Minute No. |
|-----------------------------|-----------------------------------------|--------------------|-------------------------------------|
| 15.11.06 – On Agenda | Tunnel Cooling Presentation | Tim O’Toole | Meeting No. 29 30/09/06 |
| 15.11.06 – On Agenda | Provide report on Pandemic Flu Planning | Richard Stephenson | Meeting No. 29 C17/09/06 |

ACTION LIST:

| Status: | Description: | Action By: | Minute No: |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------|
| 15.11.06 – On Agenda | Dr Olivia Carlton, LU Head of Occupational Health, would be invited to a future meeting of SHEC to give a detailed presentation on sickness figures in TfL. | Tim O’Toole | Meeting No. 41/11/05 |
| 15.11.06 | To provide Richard Stephenson with a request for further information regarding the risk of major crowd incidents in LUL station areas. | Richard Booth | |
| 15.11.06 - Ongoing | Examine possibility of having all pedestrian fatalities subject to investigation | David Brown | Meeting No. 29 34/09/06 |
| 15.11.06 - Ongoing | Speak to DVLA about access to medical information | David Brown | Meeting No. 29 34/09/06 |
| 15.11.06 - Ongoing | Provide further information about “clusters” identified in the traffic noise action plan. | David Brown | Meeting No. 29 34/09/06 |
| 15.11.06 - Completed | Circulate Staff Assault information to attendees | Secretariat | Meeting No. 29 35/09/06 |
| 15.11.06 – Ongoing | Provide further information on Platform Train Interface incidents | Tim O’Toole | Meeting No. 29 36/09/06 |

AGENDA ITEM 6

Meeting: Safety Health and Environment Committee

Date: 15th November 2006

Title: HSE Assurance Letters

Version: 1

| | | |
|-----------------------------------|---------------------------|--|
| Author | Mike Shirbon | |
| Sponsor | Richard Stephenson | |
| For queries please contact | Richard Stephenson | |

1. PURPOSE

To communicate to the Members the findings from the first formal 'Chief Officers HSE Assurance Letters' process.

2. BACKGROUND

An assurance process has been developed with the modal HSE teams whereby each of the modes will sign off against 10 statements regarding the status of their HSE management systems. Where the mode is unable to sign off against a particular statement, the mode will be required to record what work is underway to implement the requirements of the statement.

After initial consultation with the Chief Officers, a 'dry run' of the process was completed in 2005/6 to determine that the process works, by what means will assurance be obtained and the format and content of the letters. The pilot also provided the modes with the opportunity to review the status of their HSE management systems.

Following the 'dry run' a structure and format for the HSE Assurance Letters was decided and it was agreed that the letters process will be formally undertaken in quarter 1 of 2006/7 and that the completed letters will be sent to the Commissioner and copied to SHEC as a means of assurance. The letters will form the basis of future audits of the HSE management systems.

The modal HSE Assurance Letters for London Rail, Surface Transport 'Streets' and London Underground have been previously submitted to SHEC. The Surface 'public' Transport and Corporate Directorates letters are appended to this document

3. IMPACT ON FUNDING

There is not anticipated to be any direct impact on funding over and above funding already identified for HSE Management System improvement across TfL.

4. RECOMMENDATIONS

The SAFETY HEALTH AND ENVIRONMENT COMMITTEE is requested TO NOTE the content of the HSE Assurance Letters.

Appendix 1

SURFACE TRANSPORT CHIEF OFFICER'S HSE ASSURANCE LETTER

To: The Safety Health and Environmental Committee

Subject: HSE Management System Assurance Letter

Meeting Date: 15th November 2006

1. Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for Surface Transport's operational public transport units as of August 2006, thereby giving assurance to SHEC of Surface Transport's commitment to the management of HSE. Surface Transport comprises of the following modes, London Bus Services Limited, Victoria Coach Station, Public Carriage Office, London Trams, TPED, London River Services and London Buses Limited incorporating East Thames Buses and Dial-A-Ride. Attachment 1 to this paper makes generic comments against all modes of Surface Transport.

2. Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Surface Transport during the reporting year 2005/2006. During this year we have made progress in resourcing further the safety team and implementing specific actions. There is also now more focus on the strategic direction with regard to HSE for Surface Transport.

Following detailed and careful consideration of the implementation status of the Surface Transport modal HSEMS, statements made in Attachment 1 can be fully endorsed.

3. Future HSEMS Developments

As part of the ongoing review and development of HSEMS, the following improvements have been identified to be taken forward:

- Improvement of each modal HSEMS against key findings of the internal review, and simplification against good practice models
- Development of safety improvement programmes for each mode based on the findings of the reviews
- Integration of environment into our HSEMS
- Formalising relationships between procurement and contracts managers and Surface Group Safety
- Improved communication between Surface Group Safety and modal contacts

Submitted by:

**David Brown
Managing Director, Surface Transport**

SURFACE TRANSPORT HSE ASSURANCE STATEMENTS

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

All modes have adopted the TfL Group Health and Safety Policy. The policies are available to staff via the intranet and are drawn to the attention of staff in various manners including the prominent display on notice boards.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

A HSEMS is in place across the modes, and with the exception of London Trams this is based on a standard Surface framework and TfL requirements. London Trams HSEMS, whilst meeting TfL Group's HSE requirements, follow a different model. This will be addressed under the current review of Surface Transport's HSEMS.

The HSE Management Systems have been in place for approximately 3 years and have provided some structure and consistency. The review has identified some duplication of effort, varying levels of implementation, lack of communication and procedures that have not kept pace with legislation.

Surface Transport is generally compliant with core legislation, but we can improve how to reflect this and how to maintain legal compliance. A programme is being established with each mode to ensure this happens. The review will be translated into individual safety improvement programmes for each mode which will be in place by December 2006.

Surface Transport has also recently recruited additional resource in the Environmental Team to lead on integrating environment into the HSE management systems.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The gaps in the HSEMS (see above) have meant there has been some lack of clarity regarding roles and responsibilities. This has made it difficult to fully define the HSE competence required for some roles. Surface Group Safety is a lead point of contact for each mode and is working with them to ensure this is effectively defined, and that appropriate implementation actions are established and agreed.

In each mode task specific HSE training is generally established and supported by additional programmes which Surface Group Safety has commissioned. These include manual handling assessment, incident investigation and safe lifting. Surface Group Safety has also commissioned the British Safety Council to complete a series of courses to provide further

training for Surface Transport managers in HSE. These courses started in September 2006 with a rollout programme through 2006/07.

There has been some HSE training for senior managers/ directors. The need for further training is being reviewed by the Surface Group Safety Team.

4. HSE Objectives / KPIs

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

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

In most cases objectives have supporting plans and targets. Surface Transport has been working on improving the 'SMARTness' of the targets but there is still some way to go in this area. Health and safety KPIs are reported annually to SHEC.

The modes are aware of the Mayor's Emission Strategy and have initiated plans to meet the relevant applicable targets. This year we have started to collect data on Surface Transport's energy usage as part of a preliminary environmental review. This will be used to establish energy efficiency objectives and targets in future years.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

Risk assessments exist in all modes and are subject to review and updating. Surface Group Safety has driven the risk assessment programme centrally for most modes. This has helped to provide a consistent approach but in some modes local ownership can be improved to ensure that identified actions are taken and that communication and understanding is enhanced.

There is a full suite of standard procedures that are repeated across the modes. These will be reviewed and updated as part of our HSEMS development.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

All modes have management and employee meetings (typically committees) that discuss and review health and safety. This year Surface Group Safety have assisted two modes with the introduction of health and safety governance meetings. Surface Transport needs to ensure that all modes have information (training) at senior level and have a forum that satisfies the roles of Directors as defined in Turnbull and HSE guidance.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Each modal HSEMS includes a procedure that documents the current arrangements for reporting and investigating accidents. Each mode is able to demonstrate informal investigations and actions taken to prevent recurrence, but recording and tracking of investigations can be improved.

This year Surface transport has undertaken a series of accident investigation training courses for managers.

Surface Group Safety Services undertake investigations for some accidents involving any Surface Transport staff, incidents on premises for which we have landlord responsibilities, significant passenger incidents and any other serious incident considered worthy of investigation. A project is in place to improve the incident reporting database which is used by bus operators.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

Across the modes assurance of HSE is undertaken through a combination of planned general inspections, operational inspections, independent audits by LUL Safety and physical condition surveys. Each mode reports HSE performance information on a regular basis – typically each period to senior management meetings and quarterly to SHEC.

Each modal HSEMS has procedures for planned general inspections, audits and review. The arrangements for audit and review have not been fully implemented.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

There is no approved suppliers list, although there is some misunderstanding in the modes that SAP fulfils this function. For major infrastructure/maintenance contracts the process in place is to consider and plan for health and safety issues through the PQQ, tender and contract appointment stages. This process requires a strong link between Surface Group Safety and the contracts managers, and a Contracts Safety Manager has been appointed to develop this area.

Most modes have a standard procedure for contractor management in their HSEMS. These will be reviewed and updated as part of the HSEMS development programme.

10. Actions from the review of the HSEMS

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

A procedure exists for all modes documenting the arrangements for review. The HSE Management System Assurance process has been the first review to cover all Surface Transport modes. The findings from this review are summarised in this paper, and Surface Group Safety is translating these into the safety improvement programmes with specific accountabilities, actions and dates for delivery by the relevant mode.

Appendix 2
Corporate Directorates Chief Officer's HSE Assurance Letters

Group Communications

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance for Group Communications

Date: August 2006

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates within Group Communications thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Group Communications during the reporting year 2005/06:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of Group Communications with the Corporate Directorate's HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

PART 1:

Group Communications 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was approved in July 2004 and issued to all Directorates for communication. It is available on notice boards and via 'Source', although further work is required to communicate the policy. A new Policy Statement will be released during 2006/07 and actively communicated.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports. Directorates' Business Plans from 2006/07 onwards will contain HSE Objectives and KPIs.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger Directorates.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

HSE performance is reviewed within operational parts of Finance and Planning and Group Services where consultation and communication with employees also takes place.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, can be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

There has been no Corporate Directorates HSEMS audit to date.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

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

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS. The findings will be incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2:
Group Communications Specific HSE Responsibilities

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

Currently, the Corporate Directorates HSE Management System does not contain requirements for Group Communications Directorate's wider HSE responsibilities. Two important 'wider responsibility' commitments within the Group Communications 2006/07 Business Plan may be noted:

- 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.
- Ensure relevant HSE standards are integrated as appropriate into guidance, criteria and appraisal for plans, programmes and projects for which the Directorate has a responsibility (notably Local Implementation Plans and Borough Spending Plans).

Group Services

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance for Group Services

Date: August 2006

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates within Group Services thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Group Services during the reporting year 2005/06:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of Group Services with the Corporate Directorates HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

PART 1

Group Services 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was approved in July 2004 and issued to all Directorates for communication. It is available on notice boards and via 'Source', although further work is required to communicate the policy. A new Policy Statement will be released during 2006/07 and actively communicated.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competences or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports. Directorates' Business Plans from 2006/07 onwards will contain HSE Objectives.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger Directorates.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

HSE performance is reviewed within operational parts of Finance and Planning and Group Services where consultation and communication with employees also takes place.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, can be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

There has been no Corporate Directorates HSEMS audit to date.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

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

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS. The findings will be incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

Group Services Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates, these are addressed below for Group Services.

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.

Work to ensure HSE competencies meet the HSEMS 'responsibility matrix' is included within the Group Services 2006/07 Business Plan. Job Descriptions do not define HSE competences or cross-reference the HSEMS Responsibilities Matrix. Addressing HSE competence issues is included within Group Services 2006/07 Business Plan.

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

Further work to communicate the HSE Policy Statement through local line manager induction has been noted to HR Business Partners and is captured in the Group Services 2006/07 Business Plan. The issue of HSE consultation has also been identified to HR Business Partners and is captured in the Group Services 2006/07 Business Plan.

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**

Work is underway within Group Property and Facilities (GPF) to write 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, one procurement policy and processes. Mode-specific procurement standards and procedures are applied to meet business specific needs. HSE requirements within Procurement have been identified as an area for further work across TfL. This is to ensure that a suitable level of HSE assurance can be obtained from 3rd party suppliers. Group HSE and Group Procurement are working jointly to explore working practices which enable this work to progress.

General Counsel

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance for General Counsel

Date: August 2006

Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates in General Counsel thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of General Counsel during the reporting year 2005/06:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of General Counsel with the Corporate Directorates HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

PART 1

General Counsel 'General' HSE Responsibilities

1. HSE Policy

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The TfL Group HSE Policy Statement was approved in July 2004 and issued to all Directorates for communication. It is available on notice boards and via 'Source', although further work is required to communicate the policy. A new Policy Statement will be released during 2006/07 and actively communicated.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports. Directorates' Business Plans from 2006/07 onwards will contain HSE Objectives and KPIs.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger Directorates.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

HSE performance is reviewed within operational parts of Finance and Planning and Group Services where consultation and communication with employees also takes place.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

All incidents are reported and investigated, in line with the HSE MS procedure, to identify root cause and corrective action.

Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, can be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

There has been no Corporate Directorates HSE MS audit to date. An audit of the Corporate Directorates HSE MS is planned for 2006/07.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

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

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS. The findings will be incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

General Counsel Specific HSE Responsibilities

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

Support the development of HSE policy and strategy

The Group TfL HSE Policy Statement was signed off by the Commissioner, SHEC and the Chief Officers in July 2004. The Policy Statement has been communicated to the modal senior managers and adopted. A revised Policy Statement is in the process of being put in place. Once signed-off it will be adopted by the modes as the sole TfL HSE Policy Statement.

The TfL Group HSEMS was signed off by the TfL Board in July 2004, setting a structure for all HSEMS across TfL and implementing the Group HSE Policy. The TfL modal HSEMS have been reviewed against the TfL Group HSEMS which was itself reviewed in August 2005

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. Assurance is provided via aligned modal HSEMS and Quarterly reports to SHEC detailing incident trends, audit activity, sickness absence and HSEMS status updates. An HSEMS audit has been developed with the modal HSE teams. An HSE Assurance Letters process has been developed and implemented by all modes. There has been no audit of the Group HSE MS but one is planned for 2006/07.

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 consult with representatives across TfL on forthcoming and proposed legislative change and provide a TfL response.

Assess compliance with HSE legislation

General Counsel undertakes a sixth monthly legal compliance review where Chief Officers are required to sign off against any known breaches or enforcement action relating to HSE legislation. This is reported to SHEC.

Maintain HSE legal support

The Dispute Resolution Team within TfL Legal Services provides HSE legal support.

Finance and Planning

To: The Commissioner / The Safety Health and Environment Committee

Subject: HSE Management System Letter of Assurance for Finance and Planning

Date: August 2006

4. Introduction

The purpose of this paper is to document the status of the health, safety and environmental management system for the Corporate Directorates in Finance and Planning and thereby giving assurance to The Commissioner/SHEC of my personal commitment to the management of HSE in line with TfL's HSE Policy.

5. Status of HSE Management Systems

This HSE Assurance Statement relates to the business activities of Finance and Planning during the reporting year 2005/06:

I confirm that the attached statements in Part 1 and those in Part 2 reflect the status of compliance of Finance and Planning with the Corporate Directorates HSE MS requirements and where compliance is not achieved indicate the corrective actions planned.

PART 1

Finance and Planning 'General' HSE Responsibilities

1. HSE Policy

The TfL Group HSE Policy has been adopted, along with a business specific HSE policy statement, and communicated to all employees

The TfL Group HSE Policy Statement was approved in July 2004 and issued to all Directorates for communication. It is available on notice boards and via 'Source', although further work is required to communicate the policy. A new Policy Statement will be released during 2006/07 and actively communicated.

2. HSE Management Systems

HSE Management Systems (HSEMS) are implemented in accordance with the criteria laid down in the TfL Group HSE Management System and cover all business activities.

The current suite of standards and procedures that comprise the TfL Corporate HSE Management System are 'in place' and implement the Group HSEMS.

3. Management Competence

Roles which require HSE competence have been identified and the level of HSE competence defined and assessed. Training programmes have been developed where required.

The 'responsibility matrix' in the HSEMS summarises key HSE responsibilities for employees. HSE competencies have not been defined. Job Descriptions do not address HSE competencies or cross-reference the Responsibilities Matrix.

Business Plans include work to build up HSE competencies

4. HSE Objectives / Key Performance Indicators

HSE objectives have been set for the year with KPIs and targets used to monitor performance for the purpose of reporting to senior management.

No Key Performance Indicators or targets have as yet been set to monitor performance against objectives. Reactive measurements, including injury rates and sickness absence are reported via the Business Management Review process and to SHEC through Quarterly and Year End Reports. Directorates' Business Plans from 2006/07 onwards will contain HSE Objectives and KPIs.

5. Risk Assessments

A programme of risk assessments is in place to ensure all risks are reduced to ALARP through implementation of control measures and ongoing review.

A programme of risk assessments, updated annually, addresses workplace and specialist risk assessments. The programme is largely executed by Corporate HSE Advisors within Group HSE although some specialist risk assessment support takes place within the larger Directorates.

6. Meetings

A schedule of meetings is in place for the purpose of reviewing HSE performance and to communicate and consult with employees on HSE issues.

HSE performance is reviewed within operational parts of Finance and Planning and Group Services where consultation and communication with employees also takes place.

Work is in hand with Group Employee Relations to optimise consultation as it relates to HSE and to put into place machinery that delivers closer working with trade union partners and compliance with the 1977 and 1996 Regulations.

7. Incident Reporting and Investigation

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Accidents are recorded in accident books. Additionally, to aid real time reactive measurement, an electronic Accident and Incident Report, made available on SOURCE, can be completed and emailed to the Corporate HSE Advisor. Full compliance with electronic reporting is yet to be achieved across the Mode. Investigations of incidents take place where warranted and actions closed out in an auditable manner.

8. Assuring HSE Performance

An annual HSE audit programme is in place and monitored by management with reports communicated and actioned.

There has been no Corporate Directorates HSEMS audit to date.

9. Procurement Management

Contractors and suppliers are procured using a process that provides adequate assurance that HSE risks will be appropriately managed and environmental benefits realised.

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

10. Actions from Review of Management System

The suitability and effectiveness of the HSE MS is regularly reviewed by senior management and the findings of the review communicated at senior management meetings

The Corporate Directorate HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS. The findings will be incorporated into future revisions of the Corporate Directorate HSEMS.

PART 2

Finance and Planning's Specific HSE Responsibilities

The Corporate Directorate HSEMS contains requirements relating to the wider HSE responsibilities specific to each of the Directorates, these are addressed below for Finance and Planning.

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

Strategic objectives for health and safety are set by Group HSE and Group Transport Policy and Planning coordinate the setting of environmental objectives. As of the beginning of 2006/07 responsibility for setting environmental objectives passed to Group HSE in General Counsel.

Communicate TfL HSE strategic objectives using the Business Planning Guidelines.

Strategic objectives for HSE are set in the Business Planning Guidelines. As of the beginning of 2006/07 responsibility developing these passed to Group HSE in General Counsel.

Incorporate TfL strategic environmental targets within the TfL performance score card

Following a baseline exercise, targets and projections are being set. As of the beginning of 2006/07 responsibility for this passed to Group HSE in General Counsel.

Summarise HSE objectives within the TfL business plan.

This is done.

Take heed of HSE matters when determining allocation of funds

This is addressed with the businesses in the business planning process.

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

Progress against environmental objectives is reported to SHEC and the GLA via the TfL annual Sustainable Development budget report for the GLA. As of the beginning of 2006/07 responsibility for this passed to Group HSE in General Counsel.

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. As of the beginning of 2006/07 responsibility for this passed to Group HSE in General Counsel.

Address HSE risks in a systematic manner in the Major Business Project Unit

The Major Projects Business Unit is systemising its approach to HSE management within the overall context of the Corporate Directorates HSEMS.

AGENDA ITEM 7

Meeting: Safety Health and Environment Committee
Date: 15th November 2006
Title: TfL Annual Environment Report

The final version of the report is posted under the following link:

<http://www.tfl.gov.uk/tfl/downloads/pdf/about-tfl/report-library/Environment-Report-2006.pdf>

AGENDA ITEM 8

Meeting: Safety Health and Environment Committee

Date: 15th November 2006

Title: Pandemic Flu - TfL Response Planning

Version: 1

| | | |
|-----------------------------------|---------------------------|--|
| Author | Richard Stephenson | |
| Sponsor | Richard Stephenson | |
| For queries please contact | Richard Stephenson | |

1. PURPOSE

The purpose of this paper is to inform SHEC of the findings from a recent assessment of the status of TfLs planning for an influenza pandemic.

2. BACKGROUND

This document has been prepared by working group made up of representatives from across TfL; it has been reviewed by the Chief Officers who support the principles within it. TfL continues to refine and extend its planning in this area to take account of external developments as they arise. This is achieved through working closely with the GLA, other functional bodies and London Resilience partners.

The full text of the report is attached as an appendix to this paper.

3. IMPACT ON FUNDING

There is not anticipated to be any direct impact on funding over and above funding already identified for resilience improvement across TfL.

4. RECOMMENDATIONS

The SAFETY HEALTH AND ENVIRONMENT COMMITTEE is requested TO NOTE the content of this paper.

Appendix

Pandemic Flu - TfL Response Planning

Background

In 2005 the World Health Organisation announced that an influenza ('flu) pandemic was "inevitable" and could happen within a year but might not occur for 10 years or more.

The Department of Health currently estimate that during the next pandemic up to 25% of the UK population will be affected over a period of some 12 weeks with individuals typically being absent from work for 5-8 days. A similar percentage of TfL staff and key contractors may be away from work during a flu pandemic and this has formed the basis of the scenario against which TfL is planning.

This paper outlines preparations that are taking place to respond to a flu pandemic

GLA Pandemic Flu Response Plan

TfL is working with the GLA to develop a response plan for the GLA group. This work recognises the need for the GLA and functional bodies to address their business continuity issues but focuses on the delivery of the GLA stock of the anti-viral drug (Tamiflu), as a treatment. The GLA plan, due to be published this summer, describes how the anti-viral medication will be made available to staff and essential contractors within the GLA and its functional bodies, including TfL.

TfL Preparations and Plans

The focus of activities across TfL is on being able to maintain the effective functioning of the organisation whilst safeguarding the health and wellbeing of staff, contractors and customers.

Operational planning is focussed on minimising potential disruption to services due to reduced levels of staffing, and ensuring staff become familiar with the response required of them.

Assessments have also been made of the risks to business critical non-operational management and support activities and, if necessary, steps to mitigate the risks will be put in place.

Broader HR and health issues which might arise have also been considered.

It is proposed that a TfL wide, pandemic 'flu management team be identified, with appropriate backups, so that in the event of a pandemic TfL will have the capability to co-ordinate across the businesses where necessary and in particular to ensure internal and external communications and broad policy matters are aligned appropriately. This team would be centred on the current

TfL Gold structure with the addition of appropriate representation from HR, Occupational Health, Communications, etc.

Maintaining service levels

TfL will seek to maintain its usual levels of service during a pandemic, however service levels may need to be adjusted in line with staff availability. Modal and Corporate assessments of the likely impact of a pandemic and plans for enabling the business to continue to operate as effectively as possible during a 'flu pandemic continue to be developed and reviewed.

The Government's current 'most likely scenario' is that some 25% of staff may succumb to pandemic 'flu over a period of some 12 weeks and as a result be absent for some five - eight days. In this scenario peak absences are expected to be of the order of 7% of staff, 5% due to illness and 2% due to people caring for sick. Based on this scenario, the Modes and Corporate directorates have assessed the potential risks/impacts on different areas of the business.

- **Surface Transport (Buses and Trams)** have reviewed their resilience planning and because generally staffing numbers are low, the predicted loss of up to 25% of staff would have an effect on their ability to operate totally normally. The Network Control room (CentreComm) would be managed to ensure that it remained operational. Contracted bus operators would be asked to supply as near normal as possible bus services throughout the London area. (Source: Chris Edney)
- **Surface Transport (Victoria Coach Station, London River, Public Carriage Office and TPED)** - have all reviewed their resilience planning in their individual modes. All except Transport Policing and Enforcement Directorate (TPED) have small management teams and all could put into operation their plans for deferring non essential work and redeploying staff to cover core activities. In many cases managers in locations such as the Victoria Coach Station are multi skilled and would be able to keep departments open even if queues in places such as the ticket hall might increase. On the river only a minimum number of staff would be required to keep the piers open for use. At the Public Carriage Office reduced staff numbers would be able to keep the mode functioning and some core work would be delayed or postponed. Within the TPED a reduced staffing level would affect their day to day operations, but they have built into their resilience plans some redeployment of staff to keep London's roads moving. (Source: Chris Edney)
- **Street Management** is currently reviewing their resilience planning for the key critical processes, with particular focus upon the London Traffic Control Centre (LTCC) and other key ancillary functions within Streets. Additional focus will be on reviewing key suppliers and third parties to assess their preparation and commitment to provide services. A review of existing shift patterns and non-shift work groups (09:00 - 17:00) to identify key functions will be completed, after which team rotas may be produced. This will include

dedicated backup teams in the event of a team member(s) becoming unavailable to work. A review of remote working will also be completed with a focus on delivering non-critical business activities. (Source: Mike Murphy)

- **London Underground** has reviewed the resilience across the Network. This has indicated that the overall plans which exist for other reasons of shortage of staff are applicable for the service contingency plans in a 'flu pandemic. The plans indicate the core services and stations which would need to be available in the event of significant loss of staff. The loss of up to 25% of staff over a 14 week period will clearly place enormous strain on resources. Resources for the provision of train and station staff have to be in possession of Safety Critical Licenses, and the supply of these staff is being boosted short term by training of office staff in non-vital roles to fill significant gaps in the station staffing. Control Rooms on the Underground give particular problems, because of the licensed environment and the limited numbers of staff who have the capacity to work there. In a pandemic, the numbers of staff across the Network will be managed to provide the service to customers. There are a number of contractors which LU rely on for the provision of services. In particular, the Infrastructure companies have to supply specialist engineering staff for track, signalling and rolling stock. The Infracos are currently working on plans to enable the minimum provision to allow the service to operate. Contractors for the supply of Power, Radio and other services are similarly ensuring the vital services can be maintained. (Source Andy Barr)
- **London Rail** - it has been assessed that if DLR (i.e. DLRL, Serco, CGLR & CARE) were to lose 25% or more of its staff it would be unlikely be able to maintain a totally normal service. The DLR control room is the main area for concern, which requires three staff to operate a normal service and a minimum of two for a reduced service. Plans are in place that when necessary 12 hour shifts would be introduced thus reducing staffing requirements by 33%. The level and frequency of train service will be adjusted according to the availability of train staff, with certain routes being given priority over others in relation to service frequency.

ELLP – potential problems exist in that the build programme may be delayed if 25% or more of the staff contracted the 'flu virus, and technical acceptance of assets may be deferred if those with delegated powers were absent. Contingency plans are being put place to minimise disruption in both cases. (Source: Jim Medway)

- **Corporate directorates** have indicated that whilst there would be some disruption and delays this is anticipated to be manageable and it is not expected that there would be impacts requiring significant advance planning to mitigate. This view will be tested more rigorously by asking the directorates to document the risks/impacts considered. Head offices will remain open with buildings services and systems

(heating/ventilation/air conditioning) operating normally with no specific changes anticipated. (Source: Richard Stephenson/Keith Nainby)

Broader HR and health issues for staff

A number of guiding 'principles' regarding HR and health issues are proposed:

- TfL has a duty of care to all staff, especially those who might be particularly at risk during a pandemic
- TfL will follow Government advice whenever possible
- TfL will follow established policies and practices unless there is a sound rationale for a modification
- Risk management interventions will only be made where there is a significant additional work related risk and then
 - If possible the intervention will be on Government advice
 - If no Government advice is available sound Health based assessments will be used
- Personal responsibility through the application of personal hygiene will be important in minimising the risk of infection at work and in the community
- Some advice may be better developed/given later when more is known of the nature of the pandemic
- Plans should maintain an appropriate level of flexibility particularly given the lack of specific knowledge of the nature of the pandemic at the present
- Communications will be key to the acceptance and successful deployment of the strategy and plans.

Attendance

While staff will be expected to make every effort to attend their normal place of work if fit enough, arrangements may need to be made to support individual circumstances.

TfL's Attendance at Work Policy and Procedure will continue to apply during a 'flu pandemic. However, specific interventions may be needed, such as changes in ways of working, including adjustments for particularly vulnerable staff or arrangements to work from home while caring for sick dependents. Any alternatives to normal ways of working would need to be agreed with line managers, who will be briefed, in advance, on attendance policies during a pandemic.

Unions will be briefed, in advance, on TfL policy regarding attendance at work during a 'flu pandemic and arrangements for continuing to operate during a pandemic by Employee Relations. (Source Judith Yapp/Jo Page; see 'HR Pandemic Outbreak Policy' for additional details)

Staff at risk

Risks to many staff will be similar or the same as those to the general public and they will be advised to follow government advice to the public with the

emphasis expected to be on sound personal hygiene. However, some groups may face higher risks.

Exposure to customer facing transport employees will be similar in nature to that facing the travelling public, but risks will be higher as many may face the travelling public throughout part, or all, of their shift. It is considered that this additional risk to customer facing staff can most effectively be addressed through individuals following the generic personal hygiene advice e.g. keeping a distance of at least 3 feet from others where possible; using tissues/handkerchiefs when coughing/sneezing; regular hand washing; keeping hands that may be contaminated away from the mouth etc.

The questions around the possible provision of personal protective equipment such as mask and gloves and of hand cleaning materials such as alcohol wipes are being considered as part of a risk assessment and taking full account of current government advice.

There are also specific groups of staff who may be particularly vulnerable; these are likely to be those who have:

- Chronic respiratory conditions eg asthma, bronchitis, emphysema
- Chronic medical conditions including heart, kidney and liver diseases
- Immuno-compromised conditions eg HIV/Aids, cancers, rheumatoid arthritis, those with cancers and those recovering from treatment
- Older workers – over 65s
- Young workers

Consideration will need to be given to any risk mitigations that might be needed for particularly vulnerable staff but specific information is unlikely to be available until information on the pathogenicity of the pandemic virus is available. Once this information is available Occupational Health and HR will prepare communications for staff and managers to ensure additional risks to employees are managed in line with Government recommendations.

Internal communications

The strategy is to prepare staff to deal with a 'flu pandemic and to treat it as an integral part of their core health and safety management planning and business continuity preparedness responsibilities.

The strategy is consistent with the communications strategy within the draft GLA Pandemic Flu Response Plan. It will encourage appropriate personal hygiene through proactive briefing, education and cyclical reminders based on Government advice.

An internal communications action plan covers the pre alert, alert, outbreak and post outbreak phases of a pandemic, including communications goals, audiences, principles, messages, media, timing, distribution, feedback, accountabilities and review. A comprehensive set of questions and answers are being developed, where appropriate in conjunction with the GLA and other functional bodies. (Source: Mary Strydom)

Next steps

Businesses will continue to develop and refresh plans and there will be ongoing liaison with Trades Unions on them. Internal communication will be co-ordinated with the launch of the GLA Response plan, with supplementary TfL-specific information being prepared for release following it.

Working Group Members:

Andy Barr (LUL), Chris Edney (ST Buses), Mike Murphy (ST Streets), Jim Medway (Rail), Olivia Carlton/Swee Gun Healey (Occ. Health), Janet Croissant/Mary Strydom (Group Comms), Keith Nainby/Dennis House (Group facilities), Judith Yapp/Jo Page (HR) and Richard Stephenson (Group HSE)

AGENDA ITEM 9.1

Meeting: Safety Health and Environment Committee
Date: 15th November 2006
Title: Business HSE Reports - LUL

1. Summary

1.1 What went well

- Implementation of Competence Assurance in the Engineering Directorate was completed;
- LU and the PFIs had no overdue LUSATs actions at the end of the quarter. This is the second successive quarter this target has been achieved.
- The Drug and Alcohol Assessment and Treatment service saw 75 individuals in 2005/6. Of the 45 off work for treatment, 35 have returned to work and are still working, a success rate of 78%.
- Improvements in sickness absence due to back pain and stress, anxiety depression have been sustained in the first half of 2006/7.
- Following a successful Train Operators and Instructor Operators' Medical Assistance Programme (MAP), of the 160 referrals over the 8 months of the trial, 140 (87%) returned to work, resulting in a quicker return to work than any other medical intervention. LU policy has now been changed so that all musculoskeletal cases referred via MAP have an assessment specified by LU before the treatment plan is agreed.
- 305 periodic medical examinations were undertaken against a target of 292.
- A review of precursor and safety key performance indicator trends shows continued stable or improving trends for the majority of indicators/precursors, with the exception of those noted in 1.1.2 below. Of particular note are:
- Zero employee major injuries were recorded for the first time since 2004/5 and
- Q2 was the first time there have been consecutive periods with no incidents involving platform edge doors. This is attributable to Tubes Lines improvement work.

1.2 Areas for improvement

- There were two fire contraventions this quarter: one at South Kensington due to out of date fire extinguishers, missing guards on escalator trays, missing hydrant valve restraining strap and the other at Euston due to accumulation of combustible materials. Corrective actions has been taken at both locations.
- An increase in the number of falls on escalators due to slips and trips has occurred this quarter. There were 237 reported incidents of customers falling on the escalators this quarter. This is an increase above the average of 75 reported in the previous quarter. More accidents occur during the summer months; this coincides with the holiday season.
- MRBCV have a significant number of un-regularised track non-compliances that, if not brought under control, places them at risk of enforcement action by HMRI/ORR.
- A number of falsified contractor licences (track, entry permits, fire) were found via audits. British Transport Police are fully involved and one person has been jailed, investigations are continuing.
- 8 derailments occurred at Ruislip depot, the majority of these are due either to the poor condition of tracks in depots or to errors by Infracore shunting staff. Metronet and Tube Lines have developed a series of actions to improve shunting procedures and track condition both in the short and longer term.

1.3 Significant plans for next quarter

- The findings of the audit of OPO CCTV maintenance will be reported, together with actions to ensure assurance around consistent management and fault fixing of the equipment is improved.

2. Progress against LU Safety Improvement Plan (SIP)

- LU has continued to monitor the Tube Lines (TLL) and Metronet track improvement programmes. In April 2006, HMRI issued an Improvement Notice on MRSSL requiring action to address un-regularised track non-compliances on the District Line and ensure full conformance to the agreed Compliance Recovery plan by 4th Sept 2006. Metronet reported that they have met the requirements of the Notice and HMRI confirm that the Notice is withdrawn. MRBCV have a significant volume of un-regularised track non-compliances that, if not brought under control, places them at risk of enforcement action by HMRI. Some of these reported un-regularised non-compliances are due to delays in recording details of regularisation and risk mitigation in the Asset Management System (Ellipse). TLL continue to make good use of their Asset Management System to minimise the occurrence of non-compliance and to ensure that unavoidable non-compliance is, and remains, regularised.
- 10 derailments were reported this quarter, Ruislip Depot (8), Stonebridge Park depot (1) and Hammersmith depot (1). There were no in-service derailments. The majority of these derailments are due either to the poor condition of tracks in depots or to errors by Infracos shunting staff. Overall, the trend is on a decline. In response to the derailments at Ruislip, Metronet and Tubelines are implementing a series of actions to improve shunting procedures and track condition both in the short and longer term. Similarly, improvement programmes are being developed to reduce the risk of derailments in other depots. These are being prioritised on a risk basis.
- An audit of OPO CCTV maintenance was completed at the end of August 2006. This is the final stage of the programme to improve assurance around consistent management and fault fixing of OPO CCTV equipment. The findings are under review; actions of a significant nature will be monitored through to an assured completion.
- All activities associated with the 2005/6 corporate SPAD reduction programme have been completed or are longer-term actions, which continue to be implemented in 2006/7. Signal Sighting improvement work has commenced in the SSR and JNP service delivery units. Work within the BCV service delivery unit is currently 4 months behind schedule as a result of challenges to the estimates provided by Metronet. The development of a course to improve the way SPAD investigations are conducted is almost complete. A pilot course is to run 12th /13th October with courses for duty managers planned to start in late October 2006.
- The programme of training for Duty Station Managers in managing workplace violence was completed in Q1. The requirement to maintain this course for future use is now under review. Work related to re-focusing operational managers' performance goals and in turn encouraging development of a more supportive culture continues until April 2007. An audit of available support systems currently in place is scheduled to be completed during Period 7.
- Review and updating of the LU Quantified Risk Model continues and is on target for the revised completion date of December 2006. The main work streams include updating of the models for derailment, collision between trains or with objects and to update passenger-loading data. During the last quarter, meetings were held with all the relevant asset engineers to review the models and further meetings are planned for October 2006. The work to review and develop the ventilation hazard top event model remains

on hold. The Tunnel Cooling project have undertaken some validation of their modelling against real incidents. This is documented in a draft report that is currently being reviewed by stakeholders. Progress on this element of the QRA should be clearer by the end of Period 7.

Objective 2: Ensure security arrangements are strengthened as far as reasonably practicable

- Progress against this confidential element of the programme is reported separately

Objective 3: Continue to streamline health and safety standards and assurance arrangements

- The centralisation of all LU technical and safety audit within LU was completed in April. The mapping of assurance roles, responsibilities and interfaces with associated processes is now complete. The improvement options were presented to the LU Assurance Improvement Governance Group in July 2006. Action is now being taken to implement the chosen options. The main programme for the implementation of the Technical Assurance improvements is on-going and has in the last 3 months been subsumed into one action under the responsibility of the Director of Engineering.
- The programme to ensure a consistently high quality of audit continues until March 2008. During Q2, development of a common approach to raising corrective actions and monitoring their completion, a standard audit report format and implementation of regular performance liaison meetings with Infracore audit managers have been achieved.
- During Q1, the programme to revise and update LU operational standards was modified to take into account the consultation requirements with service control health and safety representatives. Consultation has continued during Q2. Over the next quarter, the strategy for the communications campaign will be published.
- Following the completion of the three yearly review of the Health Safety and Environment Management System in Q1, work is now underway to implement the necessary changes. The consultation stage of this programme has commenced; the output of review was communicated to Trains and Stations & Revenue H&S Council on 1 August 2006 and the Managers, Administrative, Technical and Operational Managers, MATS, Council on 21 September 2006.

Objective 4: Further enhance the health and safety competencies of LU managers and staff

- Competence Assurance (C/A) was introduced to LU as part of the 2000/01 Safety Improvement Plan. The final activity to be implemented from the original programme was the introduction of C/A into the Engineering Directorate. All the relevant staff have now been assessed and a standard has been developed to ensure that competence is maintained.
- The programme to develop a generic competence management process is progressing to target. Phase 2; system development of a generic process in trains, stations and service control operations was completed during Q2. Phase 3: Jubilee Line specific System Development, is scheduled to be completed in Q3.

- The Proposals for the communication of the 2006 LUQRA models were presented to the Health Safety and Environmental Committee in June 2006. The purpose and use of the QRA Model will be communicated to the Engineering Directorate and Chief Operating Officers, COO, line management teams in the remainder of the year. From 2007/8, to ensure that the visibility and understanding of the LU QRA is raised, this communication will be expanded to cover briefings to COO Operational Managers, Operational Support Managers and the Engineering Directorate, through Team Talk; S&E Update; The SQE Intranet site.

3. Health of the Management System

- London Underground and PFI's once again achieved the target of zero overdue improvement actions. This is the second quarter the target has been met.
- The number of overdue actions within Tube Lines has increased slightly on the Q1 figures; from 6 to 7 in Q2. The total number of actions being monitored has reduced; through closures (40 in total) and the revision to the programme to implement the new Self Testing Current Rail Indicating Device.
- Monitoring of Metronet's Incident Investigations actions via LUSATS has increased their total number of actions. The number of overdue actions (8) remains unchanged.
- Stations and trains operations audits were updated in April 2006, making the audits more challenging. Despite this, improving trends continue, emphasising the robustness of HSEMS implementation across the business.

4 HSE Performance Statistics

4.1 Health

- There was an improvement of 12% (2510 days 'saved') in the number of days lost due to back pain and sickness absence for stress, anxiety and depression compared to the same quarter last year. However, Signal Operators and Service Control staff had shown an increased absence (of 223 days or 61% over Q1) for two consecutive quarters in relation to stress, depression, anxiety and back pain. It is also of note that this quarter, there has been an increase in absence (of 197 days/95%) due to stress, depression and anxiety amongst Operational Managers.
- Recent evaluation of all cases referred on the Medical Assistance Pilot from August 2005 until the end of April 2006 for train operators and Instructor Operators shows a positive outcome. Of the 160 cases referred over the 8 months of the trial, 87% (140) returned to work. Physiotherapy has been seen to provide a more reliable, cheaper and quicker return to work than any other medical interventions. LU policy has now been changed so that all musculoskeletal cases referred via MAP have an assessment specified by LU before the treatment plan is agreed.
- 306 drugs and alcohol tests were undertaken in the quarter with three positive results. (One drug related on the Northern line and 2 alcohol related on the Victoria and Hammersmith & City lines.)

- 75 individuals were seen by the Drug and Alcohol Assessment and Treatment service in 2005/6. 45 were off work for treatment, of these, 35 returned to work and are still working, a success rate of 78%.

4.2 Safety

- Overall, the number of Category A (operator) and B (technical) SPADs has stabilised. Category A SPADs is stable at an average of 76 per period and Category B SPADs remained stable at an average of 14 per period. However, during period 6 fourteen incidents occurred at signal OP2/3 between Baker Street and Edgware Road (westbound) due to either a defective signal relay on OP2/3 JCSR or a defective fix position detector circuit. At the time of writing Metronet Rail Technical Officers continue to investigate.
- There were two section 12 contraventions this quarter
 - 1 at High Street Kensington - Fire fighting equipment not correctly maintained and tested, faulty oven in tenants accommodation. All have been corrected.
 - 1 at Euston - accumulation of combustible refuse or matter. Tube Lines are producing good practice guidance (including photographs) for their cleaning contractors to prevent a reoccurrence and to ensure consistent cleaning.
- The upward trend in the number of Platform Train Interface incidents seen over the last quarter and at the beginning of Q2 has reversed with a significant decrease occurring in the last two periods of Q2. However, the number of persons caught in/struck by doors is still high and a significant number of falls between the train and platform occurred in period 4. This has resulted in a 30% increase in the numbers of minor injuries were reported during the quarter.
- Overall, all workplace violence incidents were down by 10% compared with the same quarters of 2005/6 and 2004/5. The percentage of ticket related disputes has fallen by 2% and anti-social behaviour by 3% compared with last year. However, verbal abuse in relation to train service disputes has increased by 7% compared to last year.
- 85% of all RIDDOR reportable incidents during Quarter 2 2006/07 were reported within the required 10 days. This is an improvement over the 82% of all RIDDOR reportable incidents by the end of the 2nd quarter in 2005/06, however further improvement is still required to reach the target of 95%.
- The increase in the number of falls on escalators has continued, most incidents occur at stations with high customer volumes. The majority of incidents were due to slips and trips, with 30% of incidents involving elderly customers.
- The number of Planned General Inspections, undertaken by non-operational directorates has decreased from the previous quarter from 7 to 6 but still falls short of the number 32, that should be completed.

5. Environment

- Northfields and Cockfosters depots reported on quarterly energy consumption for the first time
- The 2006/07 target energy saving for stations was increased to 22.5% (against the baseline figures set in 1996.) At the end of Q2, energy savings were running ahead of

target at 26.2%. This corresponds to a saving of 13.4% of electricity use compared to 2000/01 and an average saving of 2.7% each year.

The leaders at the end of period 6 were:

| | |
|-------------------------|-------------------|
| Line | Bakerloo |
| Group | Charing Cross |
| Premiership Station | Charing Cross |
| Championship Station | Elephant & Castle |
| First Division Station | Chalk Farm |
| Second Division Station | Plaistow |

- The total number of environmental incidents reported this quarter is 69. This was a slight increase on last quarter's figure of 67, but a significant reduction compared with the quarterly totals in 2005/6. Noise and vibration environmental incidents increased significantly (to 18 or by 300%) compared to the last quarter (6 incidents). A significant number of these incidents were associated with noise of staff or contractors entering or leaving stations. Metronet and Tubelines now have procedures in place for contractors to meet at locations away from residential areas and be transferred by bus to the station.
- Pollution incidents increased in the quarter. A significant number resulted from contractors discharging waste/dirty water into surface drains. Appropriate methods of disposal are being identified at all stations to prevent this occurring in the future.
- Noise remains the single largest source of complaints although the number of noise complaints dropped slightly compared to the last quarter. Noise complaints related to contractors continued to account for the majority, although those associated with asset or contractor's activities were comparable to those recorded in Q2 2005/06. The number of complaints associated with the use of tannoys and whistles was significantly higher (142%) than the comparable period last year. Tannoy use in some locations has been restricted at certain times to reduce the number of complaints.
- The majority of actions within the Environmental Improvement Programme have been completed. Programmes in relation to the noise, Biodiversity Action Plan for the LU Network, establishing a methodology for target setting for construction, demolition and hazardous waste and documenting the sources of information and calculations supporting the environmental KPIs to ensure consistency over time are in progress.

6. Major Incidents

14th July 2006 - Trespass at East Acton. A 22- year- old male, apparently trying to recover property from the track was hit and killed by a train.

7. IMACT ON FUNDING

There is not anticipated to be any direct impact on funding over and above funding already identified for HSE Management System improvement across TfL.

8. RECOMMENDATIONS

The SAFETY, HEALTH AND ENVIRONMENT COMMITTEE is asked to NOTE the content of this report.

AGENDA ITEM 9.2

Meeting: Safety Health and Environment Committee
Date: 15th November 2006
Title: Business HSE Reports – Surface Transport

1: WHAT WENT WELL

London Buses

- The annual programme of unannounced LBSL bus station audits for 2006/2007, undertaken on behalf of London Buses by LUL, continued during this quarter. One audit was completed with a notable improvement in the overall scoring when compared with previous year.
- A review of the bus operator's health and safety assurance audit process has been completed. Some improvements have been identified and introduced in the 2006 / 2007 audit programme. As of the end of quarter two, around a third of the audit programme was completed.
- The Chief Officer Assurance Letter (separate agenda item) has been completed and accepted as a process for documenting the status of health and safety and environmental management system for Surface Public Transport. It is planned that this process will lead to a formalised health and safety monitoring of modal health and safety and environmental performance.
- Progress towards improving the performance of the 'ATLAS' incident database was achieved, this will further improve Group Safety Services ability to consistently record and analyse incident information on bus network. A revised version of ATLAS is due to be rolled out to garages during the next quarter. Work to underpin the robustness of garages and TfL IT infrastructures and support is underway.

Other Modes

- The British Safety Council health and safety 3 day course, Supervising Staff Safely, commenced during this quarter for Surface Transport modal staff. The course will lead to a nationally recognised Level 2 qualification.
- Following the submission of 05/06 environmental performance data in relation to energy, water usage, air emissions and waste for LBSL, VCS, LRS, Trams, PCO and ETB/DAR for reporting via the Business Plan, a number of gaps in the data were identified. Templates and guidance notes are therefore being developed to ensure the accurate and comprehensive collation of data for next year.
- TPED has created a Senior Safety Meeting to discuss safety matters with a view to ensuring Directors and Head of Departments are kept informed.
- Public Carriage Office (PCO) marshalled taxi rank pilot scheme at Cranbourn Street has now been made permanent and further pilot schemes continues to operate in Bromley and Kingston town centres and at Liverpool Street Station.
- London Trams - have completed their initial visual inspection of the system and handed over their reports. The reports were issued to Tramlink Croydon Limited (TCL) directors, shareholders and the enforcing

authorities and action has been taken to rectify the most serious highway defects.

- London Trams- have also completed their audit of point installation and maintenance and made recommendations for improvements in the way TCL manages the network. This report remains in draft pending TCL's comment.
- London River Service (LRS)- As part of the management agreement between TfL and London Borough of Greenwich, LRS have commissioned Group Safety Services to undertake a health and safety audit of the Woolwich Ferry, the audit has been carried out London Underground Ltd and the report is now imminent.

Streets

- The agreed Streets specific Organisation and Arrangements document has been made available to all staff through the intranet. A draft procedure covering consultation and communication is being consulted on. Papers on training and safety culture have been submitted to RISC for consideration.
- Streets new Term Maintenance Contract (RNM) includes improved specification for landscape, biodiversity and arboricultural management, obligation for contractor's vehicles to meet the developing ST emissions strategy criteria as well as improved environmental performance reporting requirements.

2. AREAS FOR IMPROVEMENT

London Buses

- The system in place to report and retrieve incident data need to improve further. ATLAS plays a pivotal roll in this, as such the latest version of ATLAS is being tightly project managed to ensure it is rolled out during the next quarter. The provision of adequate support to users of ATLAS needs to be made more robust and sustainability considered.

Other Modes

- LRS are to make progress towards tackling the initial teething problem with the recently introduced ramp rider. It was noted that efforts to rectify the problems were further hampered by heavy rainfall during this quarter.
- Relationship and expectation management between London Trams and TCL needs to be further developed as this is impacting on key tasks such as Clerk of Works carrying out inspections and sharing of regular safety data with LT.

Streets

- Environmental Management System – A review of existing environmental management procedures and general working practice in Streets has been undertaken. Where appropriate, environmental management standards

are being incorporated into the relevant sections of the existing SMS. Stand alone environmental procedures are being developed to cover other environmental standards applicable to Streets, in liaison with other business units.

3. SIGNIFICANT PLANS FOR NEXT QUARTER

London Buses

- To roll out the new and improved ATLAS systems across all garages. It is hoped that this version of ATLAS will further improve Group Safety's abilities to understand emerging trends in relation to incident and evaluates its performance towards meets the agreed safety objectives.
- To carryout another round of the British Safety Council Level 2 Health and Safety course for managers within Surface Transport modes.
- Discussions are ongoing with key stakeholders from LBSL and bus operators as to best way to communicate the hazards identified with on highway off-side bus stand
- Group Safety Services will be working with operators around sharing best practice in relation to their route risk assessment
- "Train the Trainer" training is planned for the next quarter for LBSL staff; this will enable them to deliver ATLAS training to bus operators as required.

Other Modes

- ETB is to undertake further improvements to the Safety Management System.
- DaR will be reviewing its security provision with a view to seeking improvement in its depots in line with the security audit undertaken.
- LT is to prepare a redraft of section 2 (Safety) and section 9 (performance) of the Tramlink Performance Specification to reflect recent changes in safety legislation and environmental reporting requirements.
- VCS will be undertaking a structural survey of the vehicle deck roof during October

Streets

- Audit of contractors arrangements for the notification of accident/incidents whilst undertaking work on behalf of Streets.

4. PROGRESS AGAINST HEALTH AND SAFETY OBJECTIVES

- Health and Safety objectives for all modes have been established. Progress against the objectives is managed either through the London Buses Safety Co-ordination Meeting or the appropriate Business Managers meetings.

5. HSE PERFORMANCE

Safety

- The number of customer and employee incidents on London Buses network remains constant at approximately 300 major and minor incidents reported per period. Technical faults were experienced with reporting period 5 data. Actions to improve the standards of reporting from bus operators are leading to a gradual improvement in period by period consistency.

6. ENVIRONMENT

- Environmental performance reporting – Surface Transport have been able to supply more environmental data as part of this year's business planning round, although the quantity and quality of data from some contractors is disappointing. Reporting requirements have been written into Streets' new term maintenance contracts (starting April 2007) and will be a requirement in all relevant new contracts.
- Work has commenced on the development of an environmental management system for all Surface public transport modes, which will be incorporated into the HSE management system. The EMS will seek to ensure compliance with environmental legislation, reduce environmental impacts in key areas, and strive for continual improvement. A work plan for the development and implementation of the EMS will be developed by the end December 2006.
- The three fuel cell buses operating on Route RV1 continue to perform well and the percentage availability (time in service) is over 90% on average. During June to September the buses also ran an additional Saturday service in order to increase awareness of the technology to a wider audience.
- Tenders for the provision of 9 -11 hydrogen buses and installation of a depot based hydrogen refuelling station, part of the Hydrogen Transport Action Plan, were received on 28 September and 6 October respectively. The tenders will be evaluated throughout October and November with a view to selecting successful contractors by the end of December 2006.
- The trials of Selective Catalytic Reduction (SCR) NOx abatement technology on 14 buses has been extended until the end of October to allow for six months durability testing. The 10 buses fitted with Exhaust Gas Recirculation NOx abatement technology are due to be decommissioned as the trials showed the technology was incompatible with the power rating of the engines. The decision to roll out a SCR retrofit programme will only be taken once the evaluation of the technology is completed and if the necessary budget is allocated in the Business Plan.
- The six hybrid buses currently operating on route 360 have suffered some initial teething problems and were therefore out of service for most of Q2 to enable upgrades and modifications to be carried out. These

modifications are now complete and reliability is expected to improve going forward.

7. MAJOR INCIDENTS

London Buses Major Incidents

Fatalities Involving Buses

There were two passenger fatalities during the quarter under review.

- An elderly female passenger sustained an unidentified injury following a fall on a route 132 bus at Blackfen Road DA15 on Friday 15 September 2006 and subsequently dying a few days later at Queen Mary's Hospital, Kent. The fall appears to have been brought on by sudden braking by the bus driver to avoid another car which was overtaking the bus. The bus was subsequently inspected by the vehicle inspectorate on the 21/09/06 at which time no defect is found.
- An elderly male passenger fell when alighting a route 134 bus in Muswell Hill Road N10 on Thursday 10 August 2006. The man, who was 90 years old, was taken to Whittington Hospital with head injury where he later died.

Pedestrian Fatalities Involving Buses

Five pedestrians were fatally injured in incidents involving buses during the quarter, details are provided below.

- A male pedestrian was fatally injured following a collision with a route 46 bus on the 14th April 2006 at 1646 on Pond Street NW3. The pedestrian was struck by the bus. No allegations have been made against the driver or the bus.
- An elderly female pedestrian was fatally injured following a collision with a route 8 bus along Oxford Street W1 on Tuesday 11 July 2006 at 16.10 hours. The pedestrian was taken to the Royal London Hospital with serious head injuries where she was later pronounced deceased. The incident continues under investigation.
- A male pedestrian was fatally injured following a collision with a route 16 bus on Edgware Road W1 on Sunday 23 July 2006. The pedestrian was taken to Royal Free hospital where he later died. The incident continues under investigation.
- A male pedestrian was fatally injured following an incident involving a route 157 bus at Crystal Palace Parade SE19 on 26th July 2006. The bus operator reviewed the CCTV and advised that the pedestrian approached the front doors at the final stop on the route, then approached the rear doors as they were closing. He put his hand between the doors which

automatically reopened. The bus had already started to move and as the male put his foot on the bus he lost his balance and fell away from the bus on to the roadway. The bus was checked by the vehicle Inspectorate and no defect was found.

- A female child was fatally injured following a collision with a route 192 bus on Hertford Road N9 on Thursday 17 August 2006. Witnesses have indicated that the driver was not at fault. The incident continues under investigation.

As SHEC is aware London Buses review all fatal accidents involving buses operating contracts on it's behalf and has identified an upward trend in bus v pedestrian fatal accidents. Work has now started to identify common trends to determine if measures can be implemented to reduce the number of this type of accident. Assistance is being sought from the London Road Safety Unit in interpreting STATS19 data. This database records jointly bus and coach fatalities in London. At this stage it is not possible to forecast the outcome of this investigation but initial consideration is being given to the content of general and BTEC training to raise awareness and to some form of safety campaign aimed at drivers and pedestrians. A further update will be provided to the meeting when the investigation is complete.

Accident involving a bus leaving the highway

A route E1 bus went off the road on Saturday 15 July 2006 at 20.52 hours. The bus was turning right from Otter Lane into Windmill Lane, Greenford when the driver lost control, collided with 2 parked vehicles, ruptured a gas main and ended up in the driveway of a house. There were no passengers on board at the time and the driver was taken to hospital for treatment.

Streets – Major Accidents and Incidents

None reported.

8. RECOMMENDATIONS

The Safety, Health and Environment Committee is asked to note the content of this report.

AGENDA ITEM 9.3

Meeting: Safety Health and Environment Committee
Date: 15th November 2006
Title: Business HSE Reports – TfL Corporate

1.0 SUMMARY

1.1 What went well

- A revised TfL Group HSE policy has been issued, signed by the Commissioner. All TfL modes have agreed to adopt the Group HSE policy to increase alignment across the modes.
- TfL Group HSE has now established its Sustainability Team (see 4.3).
- The DSeasy online training and risk assessment package continued its roll-out into Financial Services Centre and Human Resources Services.
- A Reasonable Adjustment Matrix covering workstations was compiled in consultation with Information Management, Occupational Health, LogicaCMG and Trades Union safety representatives.
- Strategic safety awareness training was delivered to London's Transport Museum (LTM) senior management team.
- Group Facilities confirmed its ownership of HSE arrangements for the full range of office buildings.

1.2 Areas for improvement

- Work is underway with Group Human Resources and others to ensure that HSE is addressed appropriately in the implementation of Organisational Change Policy.
- Work continues to ensure that compliance is built into workstation installation following office moves and that a standardised approach to call centre environments is applied in respect to ergonomic layout and noise management.

1.3 Other significant plans for next Quarter

- Work is underway with Group Human Resources to address agreed Internal Audit recommendations on leavers to ensure that adequate HSE competency remains in place.
- Work will proceed at London's Transport Museum Depot to identify and assess vibration risks arising from use of hand tools.
- Reports will be run on DSE (computer) users who use remote access or laptops as a first step to incorporating these into the Dseasy risk assessment programme.
- Audits of the Group and the Corporate Directorates HSEMSs are planned to commence before the end of 2006.

2.0 Progress against HSE Plan

- Workplace and Customer Risk Assessments were completed for Open Day and Educational School visits to the LTM Depot.
- Noise risk assessments involving the trial of headsets offering improved noise protection occurred at the Travel Information Contact Centre.

3.0 Health of management system

- HSE elements of Business Plans for 2007/08 were finalised.
- Work continues with Group HR Employee Relations to put together framework and guidelines for effective health and safety consultation.
- Group Facilities continues to implement its Departmental Safety Management System and to complete a training needs analysis for key managers.

4.0 HSE performance statistics

4.1 Health

- Staff within the 4 TfL Corporate Directorates had 3098 days of sickness absence, equivalent to 2 days per person and consistent with Q2 data from previous years.
- Mental illness (including stress, anxiety and depression) continued to be by far the largest single category of sickness absence. Musculo-Skeletal Disease was the next largest contributor.

4.2 Safety

- **Employee safety** - there were 15 minor accidents and incidents.
- **Customer safety** - there were no accidents or incidents.
- **Contractor safety** - there was 1 RIDDOR-reportable accident generating 5 days sickness absence involving a fall down the stairs.
- **Third Party safety** - there were no accidents or incidents.

4.3 Environment

- A Group-level Sustainability Unit with three staff became operational in September. This small Unit sits in Group Health Safety and Environment in General Counsel and will provide Director-level support on sustainability matters across TfL, in a way similar to that currently employed in the areas of Health, Safety and the Environment, and Resilience. It will be responsible for co-ordination on key aspects of sustainability across TfL, including climate change, environment, demand management and walking

and cycling and ensuring that sustainability is mainstreamed.

- The 2007/08 Business Plan contains a dedicated section ('Focusing on Sustainability') that highlights TfL activities with particular sustainability benefits, including Health, Safety and the Environment.
- A draft 2005 Environment Report has been prepared, reporting on TfLs environmental performance (including modal shift and climate change). The report is due for publication in the first half of November.
- Within Major Projects Business Unit (MPBU), a pilot study for West London Tram is now underway using the recently completed MPBU Environmental Management System (EMS). EMS training of key MPBU personnel is in progress.
- Integration of sustainability considerations into MPBU draft procurement documentation is in progress.
- The Head Office Carbon-Off Campaign came to an end and a 1.5% reduction in energy consumption was achieved in buildings monitored, even though it was during the hottest July on record.

5.0 Major Incidents

None.

6. IMACT ON FUNDING

There is not anticipated to be any direct impact on funding over and above funding already identified for HSE Management System improvement across TfL.

7. RECOMMENDATIONS

The SAFETY HEALTH AND ENVIRONMENT COMMITTEE is requested TO NOTE the content of the HSE Assurance Letters.

AGENDA ITEM 9.4

Meeting: Safety Health and Environment Committee
Date: 15th November 2006
Title: Business HSE Reports – Rail

1.0 SUMMARY

1.1 What went well

London Rail & Docklands Light Railway Ltd.

Positive progress being made in relation to reaching agreement on a ROGS integrated authorisation. Letter to HMRI/ORR sent 19th September confirming the DLR integrated approach.

East London Line Project

Issue 2 of the Rolling Stock Approvals Plan has been issued to Network Rail Acceptance Board for approval. Issue 2 included the North London Railway and acceptance of the rolling stock under the Interoperability Regulations. A letter has been received from DfT regarding the project's approvals under the Interoperability Regulations and it has been agreed that the infrastructure will be accepted under the ROGS Regulations.

The System Approvals Plan is being updated but is awaiting the decision from HMRI on whether the ELLP is considered a mainline railway or not and when the formal approvals under the ROGS Regulations have to be applied for.

1.2 Areas for improvement

Serco Docklands Ltd / City Greenwich Lewisham Rail Ltd

A Platform Train Interface incident review is being undertaken to establish any common causes or trends.

1.3 Significant plans for next quarter

- DLR: Review competence management system in line with ROGS requirements.
- London Rail: Roll out TfL Group Safety policy across London Rail.
- East London Line Project: Competence Management system for the engineering team being rolled out.

2.0 Progress against HSE Plan

DLRL (Docklands Light Railway Limited):

To date 2 objectives have been completed in full – Contingency Planning “develop a plan specifically targeted at dealing with health issues that could affect the operation of the railway e.g. pandemic influenza”, and CDM Regulations “review existing and proposed projects to ensure that all requirements of CDM regulations are being complied with”. The CDM objective although closed will continue to be monitored by DLR at various project review meetings.

One objective has missed its completion date – Change Control Process, this is primarily due to process undergoing a further review as a result of some shortfalls coming to light. Revised deadline set to end of quarter 3

- SD (Serco Docklands):
Milestones are developed for all objectives, 2 completed the rest progressing well.

- CGRL (City Greenwich Lewisham Rail Link):
Safety Improvement Plan objectives on target.
- CARE (City Airport Rail Enterprise):
Safety Improvement Plan objectives on target.

East London Line Project:

All safety-related activities are on target.

The ELLP Safety Plan will be reissued this period. A schedule of safety approvals and submissions will be produced this period.

3.0 Health of management system

Nil to report this period

4.0 HSE performance

4.1 Health

There were no significant staff occupational illness and/or sickness issues within London Rail this quarter.

Sickness absence figures for London Rail core, DLR and East London Line:

There were a total 33 instances of sickness during quarter 2, resulting in 99 days lost.

4.2 Safety

18th July – Permanent Way staff informed the CRT of the discovery of a number of rail continuity bonds missing and cut away in the Canning Town area. This is thought by BTP to be part of a bigger theft of copper from various sites in this area.

26th July – Vehicles 97/34 failed in the Thames tunnel between CUS and ISG. The problem could not be addressed and the decision was taken to de-train the passengers. The power was removed from the area and Short Circuit Devices were put in position. The passengers were detrained and power restored.

09th August – Vehicle 84 passed signal 422 which was set at danger in Poplar depot. A local investigation is currently underway into this incident.

10th August – Vehicle 95 would not confirm ADC whilst sitting (out of service) at the platform in Galleons Reach. The PSA went to investigate and found doors A5/A6 would not close. The PSA commenced the isolation of the doors with the doors open. The application of the locking bar caused the vehicle move off. The PSA inhibited the vehicle and completed the door isolation procedure.

29th August - Serco was requested to attend Cyprus station twice within 3 hours to attend to reports of fires on the station concourse. A witness indicated that the same group were responsible for the broken glass panels and the vandalised information boards. BTP have been informed.

4.3 Environment

Nil to report this quarter

5.0 Major incidents

Nil to report this quarter.

6.0 IMACT ON FUNDING

There is not anticipated to be any direct impact on funding over and above funding already identified for HSE Management System improvement across TfL.

7.0 RECOMMENDATIONS

The Safety, Health and Environment Committee is asked to note the content of this report.

AGENDA ITEM 10

Meeting: Safety Health and Environment Committee

Date: 15th November 2006

Title: Proposed SHEC Agenda Items

Version: 1

| | | |
|-----------------------------------|---------------------------|--|
| Author | Mike Shirbon | |
| Sponsor | Richard Stephenson | |
| For queries please contact | Richard Stephenson | |

1. PURPOSE

The purpose of this paper is to propose to SHEC a programme of agendas for the next 12 months.

2. BACKGROUND

The agendas for SHEC meetings are prepared by the TfL Group HSE Director in consultation with the Chair, incorporating actions arising from previous meetings. Standard agenda items such as modal quarterly reports and annual HSE business plans are supplemented with topic specific papers that arise either through request from SHEC Members or from programmes of work underway.

3. Proposed SHEC Agendas:

The following is a proposed programme of SHEC agendas for the next 12 months. It is not intended to provide complete agendas at this early stage to ensure sufficient flexibility to incorporate issues that arise during the year. SHEC members are requested to review and comment on the proposed programme of agendas.

6th March 2007

| Subject | Lead |
|------------------------------------------------------|--------------------|
| Report on Group & Corporate Directorates HSEMS Audit | Richard Stephenson |
| Q3 Modal Quarterly HSE Reports | MDs |
| Business Planning Guidelines Paper | Richard Stephenson |
| Resilience Review | Richard Stephenson |
| Climate change Fund Paper | Richard Stephenson |

5th July 2007

| Subject | Lead |
|----------------------------------------------|--------------------|
| Annual HSE Performance Report | Richard Stephenson |
| Annual Summary of HSE Audit Findings 2006/07 | MDs |
| Annual HSE Assurance Letters | MDs |
| Q4 Modal Quarterly HSE Reports | MDs |

6th September 2007

| Subject | Lead |
|-------------------------------------------------------|--------------------|
| Review of SHEC Against its ToR (interactive session) | Richard Stephenson |
| Annual HSE Audit Plans Paper | MDs |
| Sustainability (inc HSE) Content of the Business Plan | Richard Stephenson |
| Annual Road Safety Report | Chris Lines |
| Q1 Modal Quarterly HSE Reports | MDs |

13th November 2007

| Subject | Lead |
|--------------------------------|--------------------|
| Health and Wellbeing Update | Dr Olivia Carlton |
| Q2 Modal Quarterly HSE Reports | MDs |
| The Environment Report 2006/07 | Richard Stephenson |

- The executive summaries of HSE Management System audits will be reported to SHEC as and when they become available.
- Reports of major incidents (as defined in the Group HSE MS) will be reported to SHEC at the first available opportunity

4. IMPACT ON FUNDING

There is not anticipated to be any direct impact on funding other than that already assigned to the facilitation of the SHEC meetings.

5. RECOMMENDATIONS

The SAFETY HEALTH AND ENVIRONMENT COMMITTEE is requested TO COMMENT on the content of this paper.

Further details can be obtained from:
Richard Stephenson

AGENDA ITEM 11

Meeting: Safety Health and Environment Committee
Date: 15th November 2006
Title: Sustainability Update
Version: 1

| | | |
|-----------------------------------|---------------------------|--|
| Author | Helen Woolston | |
| Sponsor | Richard Stephenson | |
| For queries please contact | Richard Stephenson | |

1. PURPOSE

To provide the Committee with an update.

2. BACKGROUND

3. SUSTAINABILITY UPDATE

3.1 Climate Change

The Stern Review

On 30 October, former World Bank Chief Economist Sir Nicholas Stern published his report, commissioned by the Chancellor of the Exchequer, on the economics of climate change (see summary in Appendix 1). The report found that the risk of serious, irreversible climate change will damage global economic growth unless measures are put in place now to mitigate the impacts.

He quantified the economic effects of colder, wetter winters and warmer, drier summers, sea level rises, floods droughts and stronger, more frequent storms as costing up to 20% of world GDP. Poorer countries would suffer earliest and hardest and there would be large numbers of 'climate refugees'.

However, early investment at 1% of GDP would be sufficient to address the risks. Funding should be targeted at three main policy areas:

- Carbon pricing (such as taxes and trading systems),
- Technology programmes (such as energy efficiency, use of renewables and low carbon fuels and R&D into new solutions)
- Removing barriers to behavioural change through regulation (eg standards for buildings and appliances), information (eg labelling and best practice) and grants.

Climate Change Fund

As part of Transport for London's commitment to playing a full and leading role in supporting London in cutting CO₂ emissions and tackling climate change, we have for the first time, launched a dedicated climate change fund. This is designed to develop clean, green initiatives to mitigate the impact of transport related emissions and contribute to the Mayoral objectives and targets on climate change mitigation over and above those we are already taking forward. The level of the fund will be £25m over three years from April 2007. The fund will be coordinated by the Sustainability Unit within Group HSE. Applications will be via the normal business case development process. Projects are envisaged in three categories:

- Projects that deliver carbon savings in the short to medium term for buildings, operations and vehicles (e.g. through mode shift, fuel efficiency, alternative fuels, existing technologies such as hybrid engines or the development/delivery of driver training)
- Projects that are capable of delivering significant carbon savings in the longer term through a switch to renewable energy supply for buildings, operations and vehicles, but use renewable energy, flagship technologies or promote development of technologies (e.g. independent green energy generation or hydrogen engines)
- Projects that individually will deliver smaller carbon savings but offer excellent climate change awareness-raising or drive wider behavioural change (e.g. travel demand management opportunities, solar panels on flagship buildings or structures)

London Climate Change Action Plan

The Mayor has requested the TfL Policy Unit to produce a London Climate Change Action Plan (CCAP) that will:

- Create a single, shared climate change agenda for the GLA family
- Focus the GLA family organisations on delivering the biggest impact emissions reduction initiatives
- Ensure existing strategies and targets are translated into specific actions with timelines and owners

The Policy Unit has carried out baseline assessment and mapping of existing activities throughout the GLA family. Plan will be finalised at the end of November 2006.

3.2 Sustainability Unit

Staffing

The Sustainability Unit has been set up to help mainstream sustainability into key business processes such as forward planning, business case development and performance reporting. It provides advice on sustainability policy and a group-wide focal point for sustainable development issues,

Activities to Date

The Unit produced the sustainability content of the new TfL Business plan and as a result it now has a chapter dedicated specifically to the organisation's outputs and activities with sustainability benefits. The team has also written the 2005/6 Environment Report and is contributing to the current GLA Budget Submission. The unit has coordinated/led TfL's comments on the consultations such as the sustainability aspects of the Olympics Transport Plan, the London Health Commission Study on Actions To Address Health Inequalities and the UITP best practice guidelines on sustainability.

Planned Activities

As part of its work programme, the Unit plans to:

- Coordinate the sustainability aspect of the Business Planning process for 2007/08
- Manage the Climate Change Fund from April 2007. With a view to this, the team will review the contents of the Business Case Development guidelines to ensure they provide the correct assistance for projects with climate change and sustainability benefits.
- Undertake a review of environmental performance reporting, looking forward to the potential for full sustainability reporting.
- Coordinate a communications and awareness raising strategy to identify key stakeholders and engage them with the relevant key messages
- The Unit's Work plan and objectives will be published by the end of December 2006

4. IMPACT ON FUNDING

There is not anticipated to be any direct impact on funding over and above funding already identified for Group Sustainability and climate change activities.

5. RECOMMENDATIONS

The SAFETY HEALTH AND ENVIRONMENT COMMITTEE is requested TO NOTE the content of this paper.

Appendix 1 – Stern Report on the Economics of Climate Change

Former World Bank chief economist Sir Nicholas Stern, published his long-awaited report on the economics of climate change recently, attracting a great deal of media coverage. His reputation as an economist with a financial view of the impacts lent great support to previous assertions from climate and environmental specialists. He reported to the Chancellor and the Prime Minister, highlighting that the evidence warns of serious, irreversible impacts of climate change and ignoring it will eventually damage economic growth. The benefits of strong, early action considerably outweigh the costs.

The report took the global perspective. Poorer countries will take the biggest and earliest hit from impacts such as drought, flooding, and stronger, more frequent storms. Rising sea levels and other climate-driven changes could drive millions of people to migrate. For example, more than a fifth of Bangladesh could be under water with a 1m rise in sea levels, which is a possibility by the end of the century.

The findings show that there could be up to one fifth reduction in world Gross Domestic Product - available consumption or income. However, by investing 1% of GDP, to stabilise emissions at 500-550ppm CO₂e these impacts could be avoided or reduced. Costs of mitigation of around 1% of GDP are small relative to the costs and risks of climate change that will be avoided. However, for some countries and some sectors, the costs will be higher.

Welcoming the report, Environment Secretary David Milliband said, “the international community needs urgently to up its game on a number of fronts to ensure the necessary investment in low carbon energy and adaptation is accelerated globally.

The report found that unexploited energy efficiency potential offers the single largest opportunity for emissions reductions and pursuing alternative energy made economic and environmental sense

Policy Responses

The report found that policy responses to mitigate climate change should be in three main areas, carbon pricing, technology policy and removal of barriers to behavioural change.

- First and key element of a mitigation strategy = Carbon pricing
Putting an appropriate price on carbon – explicitly through tax or trading, or implicitly through regulation – means that people are faced with the full social cost of their actions. This will lead individuals and businesses to switch away from high-carbon goods and services, and to invest in low-carbon alternatives. Economic efficiency points to the advantages of a common global carbon price: emissions reductions will then take place wherever they are cheapest.

- Technology policy

Technology Policy includes making use of existing energy efficiency, and current and future low and no carbon technologies. For new technologies, this would cover a broad range from research and development, through piloting to early deployment.

- Behavioural change

This could include a programme of regulations (such as minimum standards for buildings or appliances), information, such as labelling and best practice and financing to help with the implementation of energy efficiency.

The choice of policy tool will vary across the world, according to regional and national needs. We now wait to see how influential the Stern Report will be on international debate and action, such as the United Nations session in Nairobi.

What Does this Mean for TfL?

The Mayor and other influential leaders in the UK and Europe already place climate change action at the heart of their policies and now need to look at how they can increase activity and influence others.

There are examples of good work taking place across TfL, such as investment in renewable energy, low carbon technologies for our fleet and to encourage a shift from car usage to public transport, walking and cycling.

We will build on this further by introducing a new £25 million climate change fund that will help to develop clean, green initiatives to mitigate the impact of transport related emissions, over and above those we are already taking forward.

http://www.hm-treasury.gov.uk/independent_reviews/stern_review_economics_climate_change/sternreview_index.cfm