

# Transport for London

## SAFETY, HEALTH & ENVIRONMENT COMMITTEE

Meeting No. 29 to be held on 7<sup>th</sup> September 2006 at 1400hrs  
in the Boardroom, 14<sup>th</sup> Floor Windsor House,  
42-50 Victoria Street, London SW1H 0TL

### AGENDA

- |       |  |               |
|-------|--|---------------|
| 14.00 | 1. Apologies for Absence                                       | -             |
| 14.05 | 2. Minutes of Meeting No. 28 held on 6 <sup>th</sup> July 2006 | -             |
| 14.10 | 3. Matters Arising and Outstanding Actions Report              | -             |
| 14.15 | 4. HSE Plans   | MDs           |
|       | 4.1 Business Plans   |               |
|       | 4.2 Audit Plans  |               |
| 14.30 | 5. HSE Assurance Letters                                       | MDs           |
| 14.50 | 6. Business HSE Reports  | MDs           |
|       | 6.1 Surface Transport  | Mike Weston   |
|       | 6.2 TfL Corporate  | Peter McGuirk |
|       | 6.3 Rail (DLR audit)   | Ian Brown     |
|       | 6.4 LUL  | Tim O'Toole   |
| 15.25 | Any Other Business   |               |

Date of next meeting  
15<sup>th</sup> November 2006 at 1400 hours,  
Windsor House, 14<sup>th</sup> Floor, Boardroom

# Transport for London

## MINUTES OF THE SAFETY, HEALTH & ENVIRONMENT COMMITTEE MEETING No. 28 held on 6th July 2006 in Windsor House at 14.00 pm

### OPEN SESSION

#### **Present:**

**Members:** Dave Wetzel Chair  
Kirsten Hearn  
Paul Moore  
Tony West

**Advisers:** Richard Booth  
Stuart Natrass

**In Attendance:** Ian Brown Managing Director, London Rail  
Peter Brown Chief Operating Officer, Surface Transport (Part time)  
Peter McGuirk Interim Director of Governance & Assurance  
Paul Crowther Chief Superintendent, BTP (Part time)  
Tim O'Toole Managing Director, London Underground  
Mike Shirbon Group HSE advisor  
Richard Stephenson Director of Group Health, Safety & Environment  
Will Parkes Head of Government and Stakeholder Relations  
Peter Hendy Commissioner (part time)  
Mike Weston Operations Director, Surface Transport

**Secretary:** James Varley TfL Secretariat

#### **ACTION**

#### **14/07/06 Apologies for Absence**

Apologies were received from Lord Toby Harris.

#### **15/07/06 Minutes of the Previous Meeting**

The minutes of Meeting No. 27 held on 14 March 2006 were **AGREED** and signed by the Chair as an accurate record.

#### **16/07/06 Matters Arising and Summary of Action Points**

Overcrowding at Bus stops: Mike Weston explained to the Committee that a number of adverts about etiquette have been placed at bus stops. The work was ongoing and all parts of the network would be considered.

Driving Speed Awareness Training: Mike Weston explained that the work was complete. In response to a question from Paul Moore about widening the availability of training to help drivers who wished to volunteer and not just those who had contravened traffic regulations, Mike Weston said that probably some form of inducement, such as a discount on insurance would be needed to encourage drivers to participate.

Review of SHEC Functioning by Members: Richard Stephenson confirmed that a date for members training was still to be agreed.

LU HSE Report :Tim O'Toole reported that further work continued on the Infraco energy review. The introduction of composite rails would provide significant long term efficiencies however the PPP contract did not provide for funding in the short term by the Infracos on such projects.

### **17/07/06 LUL and the BTP – Managing Antisocial Behaviour**

Paul Crowther from the BTP outlined the activity taking place to address the issue of violence against LUL staff.

The number of reported incidents had declined in the year 2005/06 from a peak the previous year. He explained that the incident response process had been revised and the LUL Workplace Violence Unit had been set up. A key learning was the importance and impact of repeated low level assaults on staff. The importance of this impact has been key in developing improved approaches to addressing the impact of workplace violence on staff and training is being rolled out to facilitate this.

Detection rates were 41% for the year and this was accompanied by an increase in employee 'well being' as demonstrated in a recent attitude sampling survey by Nottingham University

In response to a question from Kirsten Hearn, Paul Crowther undertook to supply a demographic breakdown of victims to Group HSE.

Paul Crowther

Paul Crowther also explained that the use of ASBOs had been successful, with around 200 now in place, being used to control various antisocial behaviours including the touting of tickets.

The Chairman requested that the Report on Antisocial behaviour becomes an annually reported standing item.

The Committee thanked Paul Crowther for his work on this issue.

### **18/07/06 TfL Group H&S Annual Report 2006**

The Committee **NOTED** the report.

**19/07/06** **Review of TfL Group H&S Annual Report 2005/06 by Richard Booth and Stuart Natrass, External Advisors**

The Commissioner welcomed the input from Richard Booth and Stuart Natrass and agreed their comments that managers should set the example to staff and not work long hours, even if they do not require their teams to match their hours. In addition, while sickness levels were higher than the CBI public sector comparator, it was felt that the large proportion of operational TfL staff that must comply with legal medical standards may adversely affect the sickness absence data for TfL.

Richard Booth requested more information regarding the risk of major crowd related incidents in LUL station areas, particularly on stairs and escalators; citing the Bethnal Green incident of 1943.

Richard  
Stephenson

Stuart Natrass asked if the 'Major Incident' category could be clarified as 2 categories: those which could be directly influenced by TfL (e.g. its transport operations) and those which could be indirectly influenced (e.g. public road safety). The Commissioner agreed and that TfL should encourage other agencies to recognise their responsibilities in this area in addition to the work of TfL.

Richard  
Stephenson

Richard Stephenson undertook to attach the Executive Summary of the TfL Annual H&S Report 2005/06 with the next report from SHEC to the TfL Board

Richard  
Stephenson

The Committee **NOTED** the report.

**20/07/06** **Review of the TfL Group HSE Policy**

The Committee **NOTED** the revised Policy.

**21/07/06** **HSE Auditing Across TfL**

The Committee **NOTED** the report.

**22/07/06** **Corporate Directorates Quarterly SHEC Report**

Members **NOTED** the report from Peter McGuirk and in particular the establishment of a quarterly HSE Directors meeting and the briefing of Corporate MDs on the results of the HSE assurance letter 'dry run'.

**23/07/06** **London Rail Quarterly SHEC Report**

Ian Brown introduced the report and explained that the findings of

the WS Atkins audit report were generally good. Going into the next quarter, the biggest issue was DLR compliance with the Railways and Other Guided Transport Systems (Safety) Regulations (ROGS).

Following a number of eye injury incidents on the East London Line Project, the contractor was requested to carry out a risk assessment of suitable eye protection and educate operatives in its use.

Ian Brown undertook to report the findings of the risk assessment to Paul Moore

Ian Brown

The Committee **NOTED** the report.

**24/07/06 London Underground Quarterly SHEC Report**

Tim O'Toole reported that additional resource had been put into the management of sickness and absence and the stress workshops had been a success but they needed to be expanded to enable more staff to be able to use them.

He also explained that the tunnel cooling project was ongoing and there were a number of possible solutions being explored.

The Committee **NOTED** the report.

**25/07/06 Surface Transport Quarterly SHEC Report**

Peter Brown also attended and advised SHEC of his personal commitment to ensuring actions from the recent RoSPA independent safety audit of Streets are suitable addressed. It was reported that work was underway to improve the health and safety culture following the RoSPA audit and a progress update would be circulated to the Committee outside the meeting.

Peter Brown

The Committee **NOTED** the report.

**26/07/06 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 7 SEPTEMBER 2006**

**OUTSTANDING ITEMS:**

<b>Target Meeting Date:</b>	<b>Description:</b>	<b>Action By:</b>	<b>Minute No.</b>
<b>07.09.06 AGENDA Item 8 refers</b>	LUL, Rail, Surface Transport and Corporate Directorates HSE Performance Reports	<b>Tim O'Toole Ian Brown Richard Webster / Peter Brown Peter McGuirk</b>	<b>Standing Item</b>

**ACTION LIST:**

<b>Status:</b>	<b>Description:</b>	<b>Action By:</b>	<b>Minute No:</b>
<b>15.11.06</b>	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.	<b>Tim O'Toole</b>	<b>Meeting No. 41/11/05</b>
<b>To be submitted to the September Board with the revised Standing Orders</b>	Review of SHEC Terms of Reference – to be sent to the TfL Board for approval.	<b>Secretariat</b>	<b>Meeting No. 27 07/03/06</b>

<b>Completed</b>	To provide Kirsten Hearn with a demographic breakdown of TfL victims of anti-social behaviour / assaults.	<b>Paul Crowther</b>	
<b>Ongoing</b>	To provide Richard Booth with further information regarding the risk of major crowd incidents in LUL station areas.	<b>Richard Stephenson</b>	
<b>Completed</b>	Re classify "Major Incident" in the Annual Report	<b>Richard Stephenson</b>	
<b>Completed</b>	Include Exec Summary of Annual Report with SHEC Board Report	<b>Richard Stephenson</b>	
<b>Completed</b>	Report findings of ELLP eye injury risk assessment to Paul Moore	<b>Ian Brown</b>	
<b>Completed</b>	Circulate update on progress of RoSPA audit findings	<b>Peter Brown</b>	

# TRANSPORT FOR LONDON

## STAFF SUMMARY

### SAFETY HEALTH AND ENVIRONMENT COMMITTEE

**SUBJECT: Health and Safety Content for the TfL 2007/8 Business Plan**

**MEETING DATE: 7<sup>th</sup> September 2006**

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#### **1. PURPOSE**

To inform members of the health and safety content of the TfL 2007/08 Business Plan and the individual modes health and safety content of their Business Plans.

#### **2. BACKGROUND**

TfL publishes its Business Plan annually and work is currently underway to finalise the plan for 2007/8. Within the TfL Business Plan is a summary of the health and safety improvements that will be delivered through the modal Business Plans, this is included in section 3 of this paper. The full content from the modes is appended to this document.

#### **3. HEALTH AND SAFETY CONTENT OF THE 2007/8 BUSINESS PLAN**

##### **Health and Safety**

##### **Occupational Health**

Increased information regarding sickness absence data across TfL indicates that there are significant opportunities to improve health and sickness absence in almost all parts of the business. Occupational Health introduced a five year Health Improvement Plan in 2004/5, initially in LUL. This will run to 2008/9 and will over time be extended to more fully address all of TfL.

The key objectives are:

- Reducing mental ill health and musculoskeletal related absences
- Early intervention to encourage prompt return to work following sickness absence
- Improve flexibility in accommodating people with health needs at work
- Empower employees to understand and address their own health
- Improve information on employee health to better target interventions
- Continue with ground breaking work on managing LUL's specific risks at an organisational as well as individual level
- Actively communicate health information, activities and services available
- Measure progress of the health plan against business related targets to ensure positive impact on customer service

Group HRS has piloted a Health and Wellbeing programme based on the LUL Health Improvement Plan across a number of TfL departments.

The results from the pilot groups are extremely positive and early trends suggest a reduction in sickness absence in the areas involved. In 2007/08 a business case will be developed to address rolling out the Health and Wellbeing work throughout TfL.

## **Safety of Staff and Customers**

### **London Underground**

The operation, maintenance and improvement of the LU network present a variety of hazards to customers and staff – each of which require controls to ensure that risks are as low as is reasonably practicable. The efforts made by LU to control safety risk on the network ensure that the Tube is one of the safest forms of travel for customers and a safe workplace for staff.

LU is committed to continuous improvement in safety performance. This plan summarises the work to improve safety on the LU network for customers and employees. This plan has been drawn up after joint consultation with the Public Private Partnership (PPP) partners, Metronet and Tubelines to ensure coherent improvement programmes across all companies.

LU's strategic plan objectives and activities are outlined below:

1. To provide a safe service for customers and a safe environment for all those who work on the Tube.
  - In 2006/7 a plan for a long term review of LU's major accident risks was developed, in keeping with line upgrades and other PPP deliverables. This programme will be progressively implemented through to 2012
  - A signals passed at danger (SPAD) reduction programme, was initiated in 2005/06, the longer term actions will continue to be implemented until 2009/10
  - A consultation on the Disability Equality Scheme identified safety and security improvements to be implemented through 2007/8
  - Throughout 2007/08 and beyond the work of the LU / BTP Workplace Violence Unit will be enhanced and the effectiveness of measures implemented reviewed
  - Work on comparative indices of accident precursors in conjunction with the Community of Metros organisation (CoMet) will allow comparisons of safety performance and safety management so best practice can be adopted. During 2007/08 this will continue and new work streams considered
  - The 3-yearly review of LU HSE Management System was conducted in 2006/07 and improvement actions identified will be implemented through to 2007/08
2. Reduce priority residual safety risks as low as reasonably practicable
  - Strengthening of existing security arrangements to further reduce the impact of terrorist attacks will continue to 2010.

- Development of a strategy and programme to reduce crime and disorder on services in support of the voluntary adoption of Section 17 of the Crime and Disorder Act 1998.
3. Continue to simplify LU's standards and related assurance regime
    - Safety assurance arrangements, inspections and audit activities have been streamlined between LU and its major PPP and PFI partners. Implementation of these changes will continue through to 2007/08.
    - During 2006/07 the audit functions within LU were centralised. Work to streamline safety and technical audits continues throughout 2007/8
  4. Further enhance the health and safety competence of LU managers and staff.
    - Incident investigations best practice skills courses have commenced during 2007/08 and will continue to 2009/10.
    - Implementation of a risk based competence management system for safety critical workers will continue over the next few years
    - Development and implementation of operational training activities that align with the competence management system continues

### **Surface Transport**

Surface Transport has a duty to pay close attention to safeguarding the safety of every aspect of its activities, from office staff, to design and construction of transport infrastructure, to the end users of this infrastructure and those who live and work in the vicinity of such infrastructure. This safety plan marks the commitment of Surface Transport to continue and further improve its efforts for safer travel in all forms within and around London.

Surface Transport plans, co-ordinates and manages safety throughout all of its activities and to fulfil this duty addresses safety using four roles.

- As a highway and traffic authority for the TfL Road Network,
- As a provider of public transport in various forms
- As lead agency for implementing the Mayor's London Road Safety Plan, which has targets for casualty reduction on all roads in London, and
- As an employer of staff and through the use of contractors and consultants.

The principal areas of focus in 2007/08 and forwards will be:

- Further development and alignment of HSEMSs to meet the requirements of the TfL Group HSEMS.
- Infrastructure development to improve road safety, security and accessibility
- Continued work to tackle crime and anti-social behaviour affecting, customers, contractors and staff
- Improved contractor management in relation to health and safety, matters
- Improved consultation processes with key stakeholders
- Transport Priority Schemes to attract customers to public transport, which is a safer mode of travel

NB Because of its importance Road Safety is addressed separately - see page 6.

### **London Rail**

London Rail is leading on major rail projects that will help to transform London, including extensions on the DLR, the East London Line Project (ELLP) and contributing to the Cross Rail Link.

In line with the TfL Group HSE philosophy of aligned HSE management systems a London rail HSEMS has been developed and partially rolled out and a similar HSEMS is presently being developed for DLR.

The safety-related risks of the changes introduced by the ELLP have been identified and the processes and strategies to address them are presented in the Safety and Strategy Plan and will be actioned as the Plan is implemented.

The ELLP and DLR developments, including the upgrade of 18 DLR trains to run 3-car sets and the Woolwich Arsenal extension, will provide increased capacity and therefore encourage more customers to use a safer mode of transport.

The Stratford Station regeneration will also increase service capacity and reduce the risk of congestion at a busy station.

National Rail train and station security will be improved through installation of on-train and station CCTV for ONE, Thameslink, Southern Trains and South Eastern.

Refurbishment of 51 Silverlink Metro stations will increase station security through real time CCTV, improved lighting, 'help points' and structural improvements.

### **Corporate Directorates**

In addition to the H&S duties as an employer, each of the Corporate Directorates has H&S responsibilities that relate to their role serving the TfL 'Group'. The key H&S areas that the TfL Corporate Directorates will address in 2007/08 and beyond are:

- Improving awareness of the HSE policy and HSE management systems through improved communications and induction training.
- Improving guidance to ensure HSE risks and benefits are identified and acted on during procurement, in line with the GLA/TfL Sustainable Procurement Policy.
- Ensuring Major Projects business unit's developments improve the customer experience on TfL services and design out HSE risks.
- Developing a HSE competency framework for HSE critical jobs across the TfL Group outside of LUL ( LUL already has established processes). Development and delivery of the competency framework will be at least a three year project.

## London Road Safety Plan 2006

This plan was first published in November 2001 and set a framework for action up to 2010. A recent review has been completed and a report produced. The review has confirmed that past activity has been successful and recommends 'more of the same'. Further work is recommended, including more speed cameras and technology in vehicles, and setting targets beyond 2010. Following the review and excellent progress with casualty reduction in London, the Mayor announced new lower casualty targets, to be achieved by 2010:

- A 50% reduction in all Killed and Seriously Injured (KSI) casualties
- A 50% reduction in pedestrian KSI
- A 50% reduction in cyclist KSI
- A 40% reduction in powered two wheeler KSI
- A 60% reduction in child (under 16 years old) KSI
- A 25% reduction in slight casualties

The reviewed plan fulfils TfL Road Network Performance (RNP's) legislative responsibilities and responds to the Mayor's Transport Strategy. The plan addresses all road collisions resulting in personal injury on the public highway in London. It sets out proposals for joint working by TfL and the many agencies that have either an interest in, or a responsibility for, road safety. The plan has been, and will continue to be, developed in consultation with key partners. It has targets for reducing casualties over a ten-year period and identifies objectives and procedures for achieving the target reductions by 2010 through joint working by the various interested agencies. There are also specific proposals for developing safety measures on the TLRN.

Objective	Action
Secure a commitment from Police for road safety resources for enforcing speed limits, vehicle defects, seatbelts	Additional police resources to be allocated to traffic work through the Traffic Operational Command Unit.
Work to further reduce speed related accidents	Continue to identify sites with high casualties and install cameras at the most dangerous sites; continue to work with the Metropolitan Police Service (MPS) in targeting mobile cameras. Install digital cameras on difficult tunnel sites. Progress the Intelligent Speed Adaptation project and the development of time-distance cameras for enforcement of 20mph zones in residential areas
Review the layout of TLRN junctions and links to identify shortcomings for pedestrians that could lead to accidents	Identification of sites with high risk for pedestrians and proposals for remedial measures. New safety audit procedures have been adopted for the TLRN - include consideration of

	pedestrians.
Reduce number of P2W incidents on Trans London Road Network (TLRN) and Borough Partnerships Road Network (BPRN)	Continued study of P2W collisions and the continuation of publicity and adverts in cinemas and on TV.
RNP to encourage health authorities to provide information about child pedestrian safety to parents of pre-school age children.	Distribution of the Children's Traffic Club material to the parents of pre-school children. Recent launch of 'A-Z Tales' in schools for 6-7 yr olds.
RNP to review the design of TLRN junctions and links design to ensure they provide maximum protection for cyclists.	Identification of high risk sites for cyclists and proposals for remedial measures.
TfL to contribute to educational and attitudinal campaigns to improve awareness.	Pilot local awareness /enforcement campaigns.
A programme of local safety schemes for the TLRN to be devised and implemented	Develop and ensure use of ACCSTATS database as key source of information to inform future safety scheme – including extending use of ACCSTATS to Boroughs

#### 4. IMPACT ON FUNDING

There is not anticipated to be any direct impact on funding as a result of this paper outside of the existing TfL business planning process .

#### 6. RECOMMENDATIONS

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

## **Appendix 1: Full HSE Content of the Modal Business Plans**

### **Health and Safety**

#### **1. BACKGROUND**

High performance in Health, Safety and Environment (HSE) remains a cornerstone of success for TfL. A prerequisite for high performance in HSE is to have a systematic approach, based on HSE management systems (HSE MSs). Following the issue of a TfL Group HSEMS in July 2004 and the implementation work in 2005/6, the focus of the work in 2007/08 will be to measure compliance with the requirements, fill gaps and improve mechanisms to provide assurance to the Board.

#### **2. PLANS FOR 2007/08**

##### **2.1 HSE Management Systems**

Work continues within the modes, particularly outside of London Underground Ltd. (LUL) to implement local HSEMS in line with the Group level management system. With the introduction of an aligned series of HSE MSs meeting the group HSE MS requirements, there is benefit in a group wide approach to HSE MS auditing. During 2004/05 an approach to HSE MS auditing was developed in conjunction with the businesses. This will be tested in 2006/07 and reviewed and improved in 2007/08. It is also planned to audit the Group HSE MS and the Corporate Directorates' HSE MS in 2006/07, any findings will be implemented in 2007/08.

##### **2.2 HSE Competence**

From 2006/07 onwards a key requirement is, with the support of the businesses and HR, to develop an HSE competency framework for HSE critical jobs outside of LUL (LUL has well established processes for defining jobs requiring HSE competence and delivering training). Developing the HSE competency framework will require the definition of HSE competence (outside of LUL), assessment of current competence, the development of training material to fill competence gaps and the delivery of the training. Development and delivery of the competency framework will be at least a 3 year project.

##### **2.3 HSE Assurance Process**

An HSE 'assurance letters' process was developed in 2004/05 and was tested in a 'dry run' in 2005/06 with full implementation in 2006/07. Thereafter it is envisaged that this will become a regular part of the provision of HSE assurance to the Safety Health and Environment Committee and the TfL Board.

#### **3. HEALTH PLANS**

Increased information regarding sickness absence across TfL indicates that there are significant opportunities to improve health and sickness absence in almost all parts of the business. Occupational Health introduced a five year Health Improvement Plan in 2004/5, initially in LUL. This will run to 2008/9 and will over time be extended to more fully address all of TfL. Group HSE will

continue support to Health management outside of LUL, in particular, the 'wellbeing' work being led by HR.

The key objectives are:

- Reducing mental ill health and musculoskeletal related absences
- Early intervention to encourage prompt return to work following sickness
- Improve flexibility in accommodating people with health needs at work
- Empower employees to understand and address their own health
- Improve information on employee health to better target interventions
- Continue with ground breaking work on managing LULs specific risks at an organisational as well as individual level
- Actively communicate health information, activities and services available
- Measure progress of health plan against business related targets to ensure positive impact on customer service

## **4. SAFETY PLANS**

### **4.1. London Underground**

#### **A) Introduction**

LUL provides a key service for the capital. Each weekday over 3 million passenger journeys are made on the network. The operation, maintenance and improvement of the network presents a variety of hazards to customers and staff – each of which require controls to ensure that risks are as low as is reasonably practicable. The efforts made by LU to control safety risk on our network ensure that the Tube is one of the safest forms of travel for customers and a safe workplace for our staff.

LU are committed to continuous improvement in safety performance. This plan summarises our work to improve safety on the LU network both for customers and employees. This programme has been drawn up after joint consultation with our Public Private Partnership (PPP) partners, Metronet and Tubelines. This ensures coherent improvement programmes across all companies so that priority areas are comprehensively addressed.

LU's strategic business objectives are:

- to provide a safe service for customers and a safe environment for all those who work on the Tube
- Reduce priority residual safety risks as low as reasonably practicable
- Continue to simplify LU's standards and related assurance regime
- Further enhance the health and safety competencies of LU managers and staff

## B) London Underground Strategic Safety Plan

Objective/Activity	Completion Date	Accountability
<b>1. Reduce priority residual safety risks as low as reasonably practicable</b>		
<p>LU's major accident quantified risk assessment models help us to understand our risk profile and identify key contributors to risk. In 2006/7 a long term review programme was developed in line with Line Upgrades and other PPP deliverables. This programme will be progressively implemented over the next few years.</p>	April 2012	General Manager SQE Systems and Assurance
<p>A Corporate signals passed at danger, SPAD, reduction programme was implemented during 2005/06, the longer term actions developed as part of this programme continue to be implemented until 2009/10</p>	October 2009	SSR Service Director
<p>During 2006/7 TfL undertook consultation on the Disability Equality Scheme. The responses were analysed with respect to Safety and Security and solutions identified to facilitate improvements. The selected solutions will be implemented throughout 2007/8.</p>	April 2008.	General Manager SQE Operations
<p>LU has continued to roll forward the programme to improve assault risk controls, including setting up of a joint LU/BTP Workplace Violence Unit. Throughout 2007/08 and beyond the work of this unit will be enhanced and the effectiveness of measures implemented to date will continue to be reviewed. Programmes to further enhance controls will be developed as necessary.</p>	April 2009	Head of Operational Support
<p>LU is a member of the international Community of Metros organisation (CoMet), in developing comparative indices of accident precursors so that comparisons of safety performance and safety management can be made and best practice adopted. During 2007/08 this will continue and new work streams will be considered.</p>	April 2008	General Manager SQE Operations
<p>During 2006/7 the 3-yearly review of LU'HS&amp;E Management system was conducted. A number of improvement actions were identified for implementation.</p>	March 2008	General Manager SQE Systems and Assurance

<b>2. Ensure security arrangements are strengthened as far as reasonably practicable</b>		
LU has a programme in place to enhance its security mitigations and to further reduce the impact of terrorist attacks. Strengthening of LU's existing security arrangements will continue to over the next few years.	March 2010	Head of Operational Support
Continuation of activities in support of the voluntary adoption of Section 17 of the Crime and Disorder Act 1998, including development of strategy, the programme to reduce crime and disorder on our services and auditing the effectiveness of existing processes. Further details of the activities covered by this work stream are included as Annex 1.	March 2008	Head of Operational Support
<b>3. Continue to streamline health and safety standards and assurance arrangements</b>		
Work has been undertaken to streamline assurance activities between LU and its major PPP and PFI partners. This work involved changes to the technical, operational, and safety assurance arrangements, inspections and audits. Implementation of these changes continues throughout 2007/08.	April 2008	General Manager SQE Contracts
During 2006/07 the audit functions within LU were centralised. Work to streamline safety and technical audits continues throughout 2007/8	April 2008.	General Manager SQE Systems & Assurance

#### **4.2) Surface Transport Health and Safety Management**

##### **A) Introduction**

Surface Transport has a duty to pay close attention to safeguarding the health and safety of every aspect of its activities, from office staff, to design and construction of transport infrastructure, to the end users of this infrastructure and those who live and work in the vicinity of such infrastructure. This safety plan marks the commitment of Surface Transport to continue and further improve its efforts for safer travel in all forms within and around London.

Surface Transport plans, co-ordinates and manages health and safety throughout all stages of its activities and to fulfil this role Surface Transport treats safety under four headings.

- As a highway and traffic authority for the TfL Road Network,
- As a provider of public transport in various forms

- As lead agency for implementing the Mayor's London Road Safety Plan, which has targets for casualty reduction on all roads in London, and
- As an employer of staff both when employed in buildings owned or leased by TfL and on construction sites or on the highway as a client engaging contractors and consultants

## **B) Responsibilities**

Surface Transport is responsible for developing, managing and maintaining approximately 580km of London's road infrastructure including the congestion charging scheme. Surface Transport is also responsible for public road safety and road safety initiatives and works closely with Local Authorities to deliver specific improvements.

Delivery of a public transport system is the responsibility of the London Bus Services Ltd., the Public Carriage Office, East Thames Buses, Dial-a-Ride, London River Services Ltd., Transport Policing and Enforcement, London Trams and Victoria Coach Station.

## **C) Surface Transport HSE Management System Development**

Since the formation of Surface Transport from a number of existing organisations, work has been underway to develop a set of Surface Transport HSEMSs that meets the requirements of the TfL Group HSEMS.

The TfL Group level HSE policy has been adopted by Surface Transport and this is supplemented by a management system framework, setting the standard for all HSE management systems within Surface Transport. In 2006/7 the HSEMS will be reviewed as part of the Chief Officer's assurance letter process. 2005 / 2006 saw a successful 'dry run' of this process and the lessons learnt adopted into the current review. Extra resources have been drafted in to undertake this review and the additional reports associated with this review will be used by each mode to identify areas for improvement in both design and implementation of current HSEMS.

## **D) Health and Safety Implications of Surface Transport Projects**

The Surface Transport business plan for 2006/7 contains projects that have both direct and indirect HSE benefits either through addressing a particular issue (e.g. personal security) or by HSE improvements as a by product to the main purpose of the works. Though many of the projects are related and address a variety of issues, this section summarises the key areas that Surface Transport will be addressing through its 2006/7 business plan.

### **Personal Security**

- Continued work of the Transport Policing and Enforcement Directorate to tackle crime and anti-social behaviour affecting Surface Transport customers, contractors and employees,
- The roll out of new technology to improve personal security

### **Infrastructure Development**

- Maintenance and development to improve safety, security and accessibility to increase public use.
- Improvement to road layout, road surfacing, and introduce speed zones in 2006/7 for locations to provide greatest safety benefit.
- Preventative works to maintain structural integrity making travel in London more attractive and encouraging use of public transport.
- Improvements to Fore St, George Green and Eastway tunnels to increase accessibility

### **Contractor Management**

- Additional resources secured to assist in HSE of Contractor Management
- Development of contractor auditing and assurance regimes to ensure safety standards are maintained and improved,
- Improvements in systems to manage the procurement of contractors with particular regard to construction works,
- Increased monitoring and reporting on contractor safety
- More stringent health and safety requirements in contracts to bring about safer services and improved quality and value.
- Undertake audit programme of contractors – accident reporting procedures

### **Consultation**

- Increased liaison with the public, boroughs, customers and staff, to make Surface Transport more aware of its stakeholder's needs and concerns in order to deliver a better, safer product with increased use.
- Initiatives will be launched in 2006/7 to improve staff awareness of HSE issues, improving the operating environment and customer safety.
- Communication with groups such as Local Authorities and the Police to assist in improving safety and security

### **Transport Priority Schemes**

- Transport priority schemes make public transport more attractive to customers as the modes of transport become more efficient. It is proven that public transport is safer than 'private' travel and reduces congestion on the road.
- Further roll out of bus priority schemes provides additional improvements to taxis and other modes of transport that make use of bus lanes. Sites are selected based on research and commuter data to ensure the greatest effect.
- Trials with new traffic lights systems that are influenced by the traffic levels to assist in making travel in London more effective and reduce congestion on the roads.

### **Development in Technology**

- Increased use of new and existing technology will bring about safety and security benefits, improve the customer experience and increase the efficiency of public transport,

- Further improvements in ticketing will be made in 2006/7 giving better value for customers, faster journey times and reducing the potential for assault on staff and customers.
- Renewed traffic signal assets ensuring alignment with emerging technology to provide more efficient movement of people and goods on London's roads, reducing congestion across the network and improving pedestrian facilities.
- Improvements to bus radio systems will further improve service quality and security
- The introduction of speed monitoring signs in busier bus stations
- Improved Bus operator incident reporting via an enhanced ATLAS reporting system
- Develop and ensure use of ACCSTATS database as key source of information to inform future road safety schemes
- Upgrade communication systems within Rotherithe and Blackwall tunnels to improve public safety by April 2007
- Trial programme of LED signals on mast arm and 6 metre poles, removing the risk of work at height for inspection and repair

### **Implementing HSEMS**

- Risk assessment of the skills set and supporting training for TfL 'Streets' employees that are required to visit site.
- Review SMS documentation in line with independent auditor's recommendations.
- Establish with HRS H&S training programme and deliver courses
- Deliver programme of audits to measure level of compliance of statutory obligations with reference to Risk Assessments
- Development of model risk assessments for common tasks
- Undertake joint site inspections of works in progress to ensure compliance with CDM requirements

### **E) Draft London Road Safety Plan 2006**

This plan was first published in November 2001 and sets a framework for action up to 2010. A recent review has been completed and a report produced. The review has confirmed that past activity has been successful and recommends 'more of the same'. Further work is recommended, including more speed cameras and technology in vehicles, and setting targets beyond 2010. Following the review and excellent progress with casualty reduction in London, the Mayor announced new lower casualty targets, to be achieved by 2010:

- A 50% reduction in all Killed and Seriously Injured (KSI) casualties
- A 50% reduction in pedestrian KSI
- A 50% reduction in cyclist KSI
- A 40% reduction in powered two wheeler KSI
- A 60% reduction in child (under 16 years old) KSI
- A 25% reduction in slight casualties

The reviewed plan fulfils TfL Road Network Performance (RNP's) legislative responsibilities and responds to the Mayors Transport Strategy. The plan addresses all road collisions resulting in personal injury on the public highway in London. It sets out proposals for joint working by TfL and the many agencies that have either an interest in, or a responsibility for, road safety. The plan has been, and will continue to be, developed in consultation with key partners. It has targets for reducing casualties over a ten-year period and identifies objectives and procedures for achieving the target reductions by 2010 through joint working by the various interested agencies. There are also specific proposals for developing safety measures on the TLRN.

<b>Mode</b>	<b>Objective</b>	<b>Action</b>	<b>Target</b>
RNP Quality Partnerships	Secure a commitment from Police for road safety resources for enforcing speed limits, vehicle defects, seatbelts	Additional police resources to be allocated to traffic work through the Traffic Operational Command Unit.	ongoing
RNP Speed Reduction	Work to further reduce speed related accidents	Continue to identify sites with high casualties and install cameras at the most dangerous sites; continue to work with the Metropolitan Police Service (MPS) in targeting mobile cameras. Install digital cameras on difficult tunnel sites. Progress the Intelligent Speed Adaptation project and the development of time-distance cameras for enforcement of 20mph zones in residential areas	ongoing
RNP Vulnerable Road Users – Pedestrians	Review the layout of TLRN junctions and links to identify shortcomings for pedestrians that could lead to accidents	Identification of sites with high risk for pedestrians and proposals for remedial measures. New safety audit procedures have been adopted for the TLRN - include consideration of pedestrians.	ongoing
RNP Vulnerable Road Users – Powered 2 wheelers (P2W)	Reduce number of P2W incidents on Trans London Road Network (TLRN) and Borough Partnerships Road	Continued study of P2W collisions and the continuation of publicity and adverts in cinemas and on TV.	ongoing

	Network (BPRN)		
RNP Vulnerable Road Users – Child Pedestrians	RNP to encourage health authorities to provide information about child pedestrian safety to parents of pre-school age children.	Distribution of the Children's Traffic Club material to the parents of pre-school children. Recent launch of 'A-Z Tales' in schools for 6-7 yr olds.	On going 3 year scheme
RNP Vulnerable Road Users Cyclists	RNP to review the design of TLRN junctions and links design to ensure they provide maximum protection for cyclists.	Identification of high risk sites for cyclists and proposals for remedial measures.	ongoing
RNP	TfL to contribute to educational and attitudinal campaigns to improve awareness.	Pilot local awareness/enforcement campaigns.	ongoing
Managing the TLRN	A programme of local safety schemes for the TLRN to be devised and implemented	Develop and ensure use of ACCSTATS database as key source of information to inform future safety scheme – including extending use of ACCSTATS to Boroughs	ongoing

## F) Indirect Benefits

It is difficult to isolate the benefits of the 2007/8 business plan as many projects will bring about a number of improvements. In addressing the above areas, the more indirect areas of environment and health will be improved. Improvements to public transport will encourage its use thereby improving road safety as fewer vehicles are on the road and public transport is safer than 'private transport'.

Increased use of public transport reduces the environmental impact of travel in London, this in itself provides additional health benefits to those who live, work and socialise in the nations capital. Where modal shift occurs from powered means of transport to walking and cycling there are also direct health benefits to the user in addition to the environmentally related health benefits from modal shift. Surface Transport's work to improve the environment and personal security in London is key in encouraging the public to walk and cycle more

Some of the planned activities that will deliver such benefits include:

- Free travel for under 18's on buses, which can be withdrawn from individuals following anti-social behaviour
- Remote access to on bus CCTV, for central monitoring, improving security

- Cashless buses, which will reduce the threat of robbery
- Extra Bus Enforcement personnel to provide a visible TfL presence
- The construction of a velodrome for cycle skills training giving confidence.

### **4.3) London Rail**

#### **A) Introduction**

London Rail is leading the drive forward on major rail projects that will help to transform London over the next decade; including extensions on the DLR to London City Airport and Woolwich Arsenal, and DLR line upgrades and enhancements; the East London Line Project, and the Cross Rail Link.

In line with the TfL Group HSE philosophy of aligned HSE Management Systems a Management System has been developed and partially rolled out across London Rail, a similar HSEMS is presently being developed for DLR.

The safety-related risks of the changes introduced by the East London Line Project (ELLP) have been identified in the ELLP hazard identification and the ELLP Safety Management System processes and strategies to address these risks are presented in the Safety and Strategy Plan.

The ELLP and DLR developments will provide increased capacity and therefore encourage more users to the system, enabling a safer mode of transport.

#### **B) DLR HSE Improvements**

Upgrade of 18 DLR trains to run 3-car sets to enhance capacity on the Bank/tower Gateway to Lewisham route, encouraging modal shift and reducing air emissions. Completion date: October 2009.

The Woolwich Arsenal extension will provide six additional vehicles on a newly built line under the River Thames from London City Airport to Woolwich. The scheme will create a strategic cross river public transport link, leading to a modal shift and have an impact on the regeneration of Woolwich. Completion date: February 2009

The Stratford Station regeneration will increase service capacity and reduce the risk of congestion at a busy station. Completion date: June 2007.

#### **C) London Rail**

National Rail train and station security will be improved through installation of on-train and station CCTV for ONE, Thameslink, Southern Trains and South Eastern. Security is of major concern to women and vulnerable groups. Completion date: March 2010

Step-free access will be provided at Highbury and Islington, Camden Road and Hampstead Heath stations, increasing accessibility to these locations. Completion date: March 2010

Refurbishment of 51 Silverlink Metro stations, increasing station security through real time CCTV, improved lighting, 'help points' and structural improvements. Completion date: March 09.

#### **4.4) Corporate Directorates**

In addition to the normal HSE duties as an employer, each of the Corporate Directorates has additional HSE responsibilities that relate to their role serving the TfL 'Group'. The key HSE issues that the TfL Corporate Directorates will address in 2007/08 are summarised below:

##### **A) Health**

Group Human Resources has piloted the Health and Wellbeing programme across a number of TfL departments. The Health and Wellbeing Programme is designed to generate a positive influence on TfL employees' health, wellbeing, sickness absence and productivity. The health and wellbeing work includes a management training programme.

The results and statistics from the pilot groups are extremely positive and early trends suggest a reduction in sickness absence in the areas involved. In 2007/08 a business case will be developed to consider rolling out of the Health and Wellbeing work throughout TfL.

##### **B) HSE Management Systems Implementation**

Group Human Resources and Group Communications are committed to improving awareness of the HSE policy and management systems through communications initiatives and induction training.

Following the development of the Corporate Directorates HSEMS, Group Property and Facilities have a Departmental Safety Management System (SMS), development of which began in 2005 is being introduced over a three year period. Phase 2 of the SMS is being delivered in 2006/07 and addresses TfL Group Facilities contractors. Delivery of Phase 3 of the Group Property and Facilities HSEMS will consist of an independent audit of the management system against legal compliance, the application of best practice and identification of areas for improvement.

##### **C) Fire Safety**

In light of the changes to fire safety legislation, an enhanced Group Property & Facilities fire risk assessment database is being introduced to enable more effective demonstration of legislative and best practice compliance. This will be supported by surveys of fire compartmentation, fire detection systems and emergency lighting.

##### **D) CONTRACTS AND PROCUREMENT**

The HSE team and Group Procurement have produced a guidance document to address the HSE content of the GLA / TfL Sustainable Procurement Policy, ensuring that HSE risks and benefits are identified and acted on accordingly. Work in 2007/08 will be to extend the roll out of the guidance document following the pilots in 2006/07 with supporting training and communication to the TfL procurement, HSE and project management communities.

##### **E) Risk Assessment Programme**

A programme of risk assessments for all the Corporate Directors has been developed and will be progressed in 2007/08; this will focus in particular on the following key areas:

- Departmental and contractor activities.
- Inspections and assessments of asbestos and DSE.
- Targeted training for both construction and facilities activities.
- Road Safety
- Review of employee and contractor vehicle safety.
- baseline generic risk assessments for office sites and itinerant working.

#### **F) Refurbishment and Infrastructure Development**

Through planned refurbishment or development of TfL premises it is possible to design out HSE risks and improve the working environment contributing to overall employee wellbeing. Where required, modifications will incorporate the requirements of the Disability Discrimination Act. Key projects are:

- Refurbishment of the Travel Information Centres.
- Refurbishment of the London Transport Museum.
- The 2006/7 phase of the Covent Garden refurbishment.

#### **G) Major Projects**

Through a number of developments aimed at improving the customer experience on TfL services and by designing out HSE risk, the Major Projects Business Unit can deliver the following HSE benefits:

- Improved safety and security with CCTV and passenger help points.
- Increased road safety through road layout, crossing redesign, increased public transport use and reduced traffic demand both public and private.
- Indirect benefits will include public health and reduced air emissions.

Key projects in 2007/08 will include:

- Croydon Tramlink CCTV rollout.
- Greenwich Waterfront Transit Busway Service.
- East London Busways Transit Service and road safety improvements
- Cross River Transit improved road safety design
- Interchange Development addressing personal security
- West London Tram project.
- Stratford Station Improvements
- Finsbury Park development

#### **H) Group Health Safety and Environment**

Group Health Safety and Environment has three principal areas of responsibility, providing Group level support for Health Safety and Environment, including advice to the Corporate Directorates, Resilience matters and Sustainability across TfL

### Health Safety and Environment

From 2006/07 onwards a key requirement is, with the support of the businesses and HR, to develop an HSE competency framework for HSE critical jobs outside of LUL ( LUL has established processes for defining jobs requiring HSE competence and delivering training to fill gaps).

During 2006/07 the HSE competency requirements for jobs outside of LUL will be defined. From 2007/08 going forward the competency of those in place will be assessed, training material to raise competency will be developed and training delivered. Development and delivery of the competency framework will be at least a three year project.

Work will continue to align and embed HSE management systems across TfL. In the Corporate Directorates the HSE assurance letters, due for completion in the first half of 2006/07 will form the basis for the provision of further support to the implementation of the management system, particularly through the further engagement of line managers. The roll out of DSEasy software for display screen equipment assessments in the Corporate Directorates will be completed in 2007/08.

A review of the assessment of HSE matters in the business case development process and project reviews will be carried out to provide a view as to their suitability and fitness for purpose.

### Resilience

The development of a management system approach to resilience across TfL, based on the Policy Framework published in late 2005, will be continued. A resilience assurance letters process is being developed in 2006/07 with a view to implementation in 2007/08. This letters process will initially provide a 'self assessment' process to enable the businesses to get a clear view of their alignment with the Policy Framework. In time it is envisioned that it will form the basis of the regular provision of assurance on resilience matters. We will continue to support the London Resilience Team through a secondment and co-ordinate the planning for safety related aspects of major events in London.

### Sustainability Unit

During 2006/07 a Sustainability Unit has been set up in Group HSE with the role of providing co-ordination on strategy, business planning and performance reporting for sustainability and acting as a focal point for sustainability matters across TfL.

A detailed work programme for the Unit will be developed in 2006/07 but it is already clear what some of the key activities will be.

There is a need to better align business planning and performance reporting with sustainable development principles.

With the Mayoral emphasis on sustainability, and particularly climate change, the Unit will play a role in developing understanding across TfL and supporting the responses that the various parts of the businesses have to play in delivery.

There is a need for the development and introduction of sustainability assessments for principal activities across TfL, from the development of

projects, through procurement, to construction and operation. The Unit will develop guidance and provide support in these areas.

## TRANSPORT FOR LONDON

### STAFF SUMMARY

#### SAFETY HEALTH AND ENVIRONMENT COMMITTEE

**SUBJECT:** TfL HSE Audit Plans 2006-7

**MEETING DATE:** 7<sup>th</sup> September 2006

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#### 1. PURPOSE

To inform SHEC of the HSE audits to be conducted in 2006/07.

#### 2. BACKGROUND

The issue of assurance is fundamental to SHEC delivering against its terms of reference. Audit is a key tool in measuring compliance with the HSE management system, and providing assurance that existing risk controls are in place and effective. An audit programme is developed to provide a structured approach and as means of measuring this assurance activity.

As agreed at the July 2006 meeting, all modes will provide SHEC with a copy of their annual HSE audit programme as part of the revised assurance information that SHEC will receive. A summary of performance against the HSE audit plan and trends in audit findings will be included within the 2006/7 end of year report to SHEC.

The TfL modal HSE Audit Programmes for 2006/7 is appended 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 HSE Management System improvement across TfL.

#### 4. RECOMMENDATIONS

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

## **Appendix 1;**

### **London Rail - HSE Audit Plan**

Audit is an essential management tool. It is used to provide assurance that management systems are performing as they should. In the case of occupational health and safety management systems it provides assurance that risk is being adequately managed.

HSE guidance document (HS(G)65) Successful Health and Safety Management and subsequent specifications such as OHSAS 18001 – Occupational Health and Safety Management Systems all point to performance measurement, monitoring and management review as essential components of safety management systems. Audit provides a means of achieving this. Safety Audit is defined by HS(G)65 as “The structured process of collecting independent information on the efficiency, effectiveness and reliability of the total management system”.

Audit provides confidence that;

- the company systems are in place and working as the company envisaged
- the company systems are delivering the expected results
- the company is getting the full benefit from its systems
- the company is heading towards continual improvement
- the company is not exposed to litigation.

#### **DLR**

DLR has developed an audit protocol for the purposes of auditing on an annual basis the four companies associated with the operation of the Docklands Light Railway (DLR), these are;

- Docklands Light Railway a division of Transport for London and manager of the DLR franchise
- Serco Docklands (SD) the franchise holder, operator of the train service, maintainer of the infrastructure and Railway Safety Case Holder (deemed certificate)
- CGL Rail owner and maintainer of the infrastructure on the Lewisham extension.
- City Airport Rail Enterprises (CARE) owner and maintainer of the infrastructure on the City Airport extension.

The audit protocol was designed to examine compliance with the Safety Management Systems employed by the four companies and the SD Railway Safety Case. The protocol differentiates between Safety Management System and Railway Safety Case requirements.

It is a requirement of the Railway (Safety Case) Regulations 2000 that an annual independent audit of the safety case be undertaken, it is the intention of DLR to continue using independent auditors even though it is not requirement of Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS). A revised (risk based) protocol will check compliance with ROGS and ensure that all four companies are maintaining robust Health, Safety and Environmental Management systems.

On the production of the final reports each company produce action plans with associated milestones for close-out. Each company provide an update on progress at their respective quarterly safety review meetings.

## **ELLP**

The East London Line Project has an internal audit programme in place that covers the following areas - stakeholder, engineering, commercial, programme management, operations and contractors. Each of these areas is then sub-divided into specific topics e.g. safety, quality assurance, risk management & change control, safety case etc. Corrective action requests are raise as necessary and followed through to conclusion.

To give assurance to the ELLP Director and the London Rail COO that the audit process is robust and reflects accurately the state of the ELLP HSEMS the London Rail Safety & Resilience Manager undertakes a review/audit of the system and audit findings. First audit/review planned for the middle of September 06.

## **Appendix 2**

### **LU SQE and Technical Audit Programmes for 2006/07**

#### 1. Introduction / Background

1.1 This Memorandum outlines the proposed LU Safety Quality and Environment (SQE) and Technical audit programmes for 2006/07. The main elements of the SQE and Technical audit programmes are in accordance with LU standards and form the basis of the proposals made. The main programme proposals have been prepared by the SQE Compliance Manager and Engineering Directorate (ED) Surveillance Engineer.

1.2 Following a review of the various groups within LU who undertake health, safety, environmental and technically related audits it was agreed by the Directors of the areas below that all such audit activity should transfer to SQE. This enables a fully integrated programme to be developed and facilitate improvements to the analysis of audit results and root cause identification as a means of directing more effective HS&E and technical improvement programmes. The main areas affected are:

- SQE Audit (SQE Systems and Assurance)
- Training Standards Audit (Chief Operating Officer - Operational Support)
- Technical Audit (Engineering Directorate - Technical Assurance)
- Technical/Quality Audit (Chief Programmes Officer – PFI)

The teams will come together in SQE by 31 March 2006 and the transition in order to achieve a more integrated approach will evolve during 2006/07. This will be included in the LU Safety Plan for the year with a detailed programme being entered on to London Underground Safety Action Tracking System. The SQE Systems and Assurance Manager will be responsible for this programme and for the new, integrated, audit function to meet the audit requirements of Chief Operating Officer (COO), ED, and Chief Programmes Officer (CPO) using technical specialists from these areas as necessary. Delivery of audit work will be lead by the SQE Compliance Manager in the new role of SQE and Technical Audit Manager.

1.3 In light of the above, and in addition to the main SQE and Technical audit programme proposals in this paper reference is also made to audit programmes being developed for the other in areas in scope, including Training Standards and the PFI areas.

1.4 Building on the work undertaken during 2005/06 to implement joint audit planning between LUL and our main PPP/PFI suppliers a review and comparison of the main auditing activities involving LU SQE, ED, CPO and COO, and each Infraco has taken place. Meetings have been held with Tube Lines and Metronet and our respective audit programmes incorporate the findings of this review / comparison activity to ensure improved co-ordination and timing of audits, avoiding duplication of audit topics and identifying areas of joint work. This is an ongoing process and further consolidation of audit plans between LUL and Infraco will continue during Q1 of 2006/07. From LU's perspective this has also provided the opportunity to review Infraco audit programmes and gives improved confidence in their content and delivery.

1.5 Consultation within LU, the Infracos as noted above, and with other stakeholders has been undertaken during February / March 2006 in preparation of our programme proposals. The main aspects are as follows.

### **SQE audits**

Comments received during the consultation process have given support to the proposals and identified further areas for review. Where specific suggestions have been made these have been considered in terms of the overall risk based assessment of audits. The main factors that have been considered when preparing the safety aspects include:

- the LU Top Event Risk Profile including pre-existing risk controls (covering key customer risks) and the significant findings of workplace risk assessments (covering key employee risks)
- accident / incident statistics and incident investigation reports
- the need to confirm compliance with existing or new legislation, Approved Codes of Practice and authoritative guidance - including LU and Railway Group Standards
- the need to confirm the effectiveness of newly introduced risk controls, standards or organisational changes
- safety and technical intelligence issues gathered by staff, from suppliers or the public.
- issues and concerns expressed by safety regulators (HM Railway Inspectorate, London Fire and Emergency Planning Authority etc.)
- safety improvement programmes and the London Underground Safety Action Tracking System
- previous audit findings – both internal and external
- the results of an auditee's self-assurance activities and the levels of confidence in these results
- issues arising from safety case assessments - third party railway operators and Infracos

### **Technical audits**

ED asset engineers have provided audit requirements identified from the analysis of issues arising from current surveillance and incidents. Infracos have undertaken a similar process involving their respective asset engineers and matters arising from these reviews have been shared. The Infracos are contractually required to produce their approved annual audit plans for LU review by 1 April 2006. These plans will then be subject to final review by ED asset engineers to finalise Technical audit requirements for London Underground. As such the Technical Audit Programme for 2006/07 is still in the process of development, as the Infracos have still to approve their own audit plans. This paper thus proposes a level of audit based on the risk tools developed by ED; the substance of the programme will be brought to the June HSE Committee Meeting when the Infraco plans have been discussed and reviewed.

A risk based planning model, developed as part of the assurance improvement project, has been used to determine the levels of intrusion in relation to Technical audits, and the overall risk contribution of each asset group. The following factors are considered in this appraisal.

- Residual safety risk
- Operational impact

- Asset condition
- Infraco / entity accreditation status

1.6 For the other areas described in this paper that are in scope for the re-organisation of LU SQE and Technical audit the main aspects are as follows.

### **Training Standards audits**

This programme of audits has been developed by Operational Support in consultation with training standards owners. Audits are scheduled to support the accreditation of training providers / trainers and to assess the adequacy of training provided. Audit plans in this area have been progressively updated to reduce the level of intrusion and frequency of audits based on the training providers self assurance arrangements, moving towards a more systems oriented audit approach overall.

### **CPO PFI audits**

The main auditing activities by LU are currently discharged through the CPO Connect, ECMT and Prestige teams. Risk based audit plans are prepared in consultation with PFI contractors and shared with LU SQE / ED for planning / co-ordination purposes. Due to the nature of works the CPO Terminal 5 management team receive assurance through audits undertaken by the principal contractor for this work, and this programme is devised in conjunction with LU and has been shared with LU ED / SQE. A number of internal LU contract process audits are also scheduled in this area.

1.7 SQE and Technical audit work for early 2006/07 is being programmed and the proposals for audit described in this Memorandum will be set out in audit schedules for each Infraco in accordance with the PPP contract. Following the agreement of these proposals a schedule of internal LU audits will also be published and maintained.

## **2. Main Considerations**

2.1 The SQE and Technical audit programmes reflect the requirements set out in LU technical and operational standards, health safety and environmental management system and described in our Railway Safety Case. The approach also seeks to reflect our legal duties, the LU Assurance Standard and the Assurance Principles.

The main LU SQE and Technical audits planned for 2006/07 fall into the following areas.

### **SQE**

- Operations audits (station, train, service control and central services)
- Health, safety and environmental management systems audits covering the adequacy and effectiveness of the arrangements described in:
  - LU HSEMS
  - LU Railway Safety Case
  - Contractual Safety Cases
  - External train and station operator Railway Safety Cases
- Topic audits – LU and across organisational boundaries

### **Technical**

- Safety critical process and asset audits covering:
  - Asset Management
  - Train Systems

- Station Systems
- Systems Integration

2.2 Planned audits for the other areas described in this paper that are in scope for the re-organisation of LU SQE and Technical audit are summarised below.

### **Training Standards**

- Internal Training Providers Establishments
- External Training Providers Establishments for Accreditation
- External Training Providers Establishments for Re-accreditation
- Competence Assurance in LU operational groups
- Licensing of Contractors Staff
- Training Course Specific Audits

### **CPO PFI**

- Contract Compliance
- Safety, Quality and Environment
- Project / Maintenance Works Delivery

2.3 A number of areas for development of the 2006/07 safety audit programme have arisen from the risk based assessment process. These relate to:

- Consolidation of all SQE and Technical audit activity, the sharing of audit capability and the development of an integrated audit programme.
- The development of SQE audit protocols in respect of fire safety management, the service control review and to monitor the implementation of the shorter working week.
- Application of the risk based intrusion model in ED in respect of audit, developed as part of the assurance improvement project.
- The continuous development of joint auditing capability between LU and Infracore.

## **3. Assumptions**

- 3.1 It is anticipated that audit programme changes will be required following the integration of audit activity that is due to take place during 2006/07, however it is intended that key themes for audit identified through risk based planning already completed in each of the areas concerned will be addressed.
- 3.2 The completion of the 2006/07 work programme assumes that LU resources for audit are available throughout the year and, in respect of SQE, continuing the successful secondment programme that has been established over the last 10 years.
- 3.3 The programme assumes that there will be no external factors that will cause resources to be deployed on alternative audits, topics or assurance activities. Whilst a small contingency allowance is included within resource plans to allow flexibility it is conceivable that larger scale variations are required from time to time. Any such variations will be reported to the Committee as and when they occur.

## **Appendix 3**

### **Corporate Directorates Health and Safety Audit Programme**

To date there has been little HSE auditing activity at a HSE management systems level, whilst work has focused on the development and implementation of the management system.

In 2006/7 TfL Group HSE will undertake an independent audit of the Group HSE Management System which will encompass a review of the TfL Corporate Directorates HSE MS.

## **Appendix 4:**

### **Surface Transport Health and Safety Audit Programme**

Within Surface Transport HSE audit activity has focussed on the operational aspects of the business and the contractual relationships that are responsible for managing the significant proportion of the HSE risk. The following is a summary of the HSE auditing activity for 2006/7.

#### **London Bus Services Ltd.**

A total of 25 bus station audits are programmed for 2006/07 and audits commenced in June 2006. The bus station audits address site condition, HSE paperwork, management of contractors, passenger movement, vehicle movement and environmental impacts.

#### **London River Services Ltd.**

A total of 6 audits are carried out on boat operators annually one of which is now the Woolwich Ferry following the inclusion of the Woolwich ferry within the LRSL portfolio in agreement with the London Borough of Greenwich in June 2006. Operators are assessed against a predetermined question set addressing safe management of a river service.

A total of 8 LRSL pier audits are programmed for completion during 2006/07. Similar to bus station audits, pier audits cover site condition, HSE paperwork, management of contractors, passenger movement and environmental impacts.

#### **Bus Operator Audits**

The 4<sup>th</sup> annual programme of Bus Operator's audits commenced on 24 July and will continue to end March 2006. A total of 20 audits will be conducted across the network assessing the operators' management of health and safety at a systems level. Topics covered include, HSE management systems, contractor management, staff competence, risk assessment, incident reporting and investigation and monitoring of HSE performance.

#### **Assurance Letter Audits**

A programme of HSEMS audits was undertaken across all Surface 'Public' Transport modes in July and August 2006, for the purposes of providing the verification to support the Chief Officer's HSE Assurance Letter for 2006/7.

## Appendix 5

### Streets Audit Programme 2006- 2007

#### **Risk Assessment Programme**

An audit will be carried out to ensure risk assessments are in place, they are suitable and sufficient and that control measures have been implemented.

<b>Risk Assessment</b>	Road Network Management	Road Network Performance	Directorate of Operational Support	Road Network Development	Directorate of Traffic Operations	Strategy	Finance	Congestion Charging
Audit opening meeting	Start 19/06/2006	Start 10/07/2006	Start 24/07/2006	Start 07/08/2006	Start 21/08/2006	Start 11/09/2006	Start 02/10/2006	Start 16/10/2006
Audit	Start 24/07/2006	Start 07/08/2006	Start 21/08/2006	Start 04/09/2006	Start 25/09/2006	Start 09/10/2006	Start 30/10/2006	Start 13/11/2006
Draft report issued	11/08/2006	25/08/2006	08/09/2006	22/09/2006	13/10/2006	27/10/2006	17/11/2006	01/12/2006
Comments back by	25/08/2006	08/09/2006	22/09/2006	06/10/2006	27/10/2006	10/11/2006	01/12/2006	15/12/2006
Final report issued	08/09/2006	15/09/2006	29/09/2006	10/10/2006	03/11/2006	17/11/2006	08/12/2006	22/12/2006
Review	March 2007	March 2007	April 2007	April 2007	May 2007	May 2007	June 2007	June 2007

#### Opening Meeting

An opening meeting will be held four weeks prior to the commencement of the audit to discuss the purpose and establish the arrangements for the audit. Representatives from all parties will be invited to attend.

### Audit

It is envisaged that the audit will take up to three days depending on the size and activities of the Directorate. A closing meeting will be held which will briefly outline the main findings.

### Draft report

A draft report will be issued within two weeks of the audit being conducted. Two weeks will be allowed for the return of any comments from the parties audited.

### Final report

A final report will be issued following receipt of comments.

### Review

A review will take place six months post audit to check the implementation of the audit recommendations

### **HSE Management Assurance Review Programme**

Audits will be undertaken of each Directorate against ten key criteria to allow the annual assurance letters to be drawn up. The purpose of the letters is to give the TfL Board an assurance that Health and Safety is being adequately managed within each mode. These are signed off by the Managing Director.

<b>Assurance Letter</b>	<b>RNM</b>	<b>RND</b>	<b>DOS</b>	<b>RNP</b>	<b>DTO</b>	<b>Strategy</b>	<b>Finance</b>	<b>Congestion Charging</b>
Audit	Week commencing 08/01/2007	Week commencing 15/01/2007	Week commencing 22/01/2007	Week commencing 29/01/2007	Week commencing 05/02/2007	Week commencing 12/02/2007	Week commencing 19/02/2007	Week commencing 26/02/2007
Draft letter issued	16/02/2007					23/02/2007	02/03/2007	09/03/2007
Comments back by	02/03/2007					09/03/2007	16/03/2007	23/03/2007
Final letter issued	09/03/2007					16/03/2007	23/03/2007	30/03/2007

N.B. As an assurance letter is issued for Streets as a whole and not for each individual Directorate the draft letter will not be issued until all Directorates within Streets have been audited

Representatives will be contacted four weeks prior to the audit to advise them of the ten criteria that the assurance letter covers. It is envisaged that the audit itself will take approximately half a day.

## Review of previous audits

Reviews of audits which took place in the previous financial year will be undertaken to ensure recommendations have been closed out.

	Network Performance <sup>1</sup>	RNM North <sup>1</sup>	RNM Central <sup>1</sup>	RNM South <sup>1</sup>	DTO <sup>2</sup>
Audit Review	May 2006	July 2006	August 2006	September 2006	October 2006

### Key

<sup>1</sup>. Audit of compliance against NRSWA and the Highway Act. N.B. as Stewards no longer have responsibility for NRSWA this will not be included in the review.

<sup>2</sup>. Audit of compliance in managing construction and design

# TRANSPORT FOR LONDON

## STAFF SUMMARY

### SAFETY HEALTH AND ENVIRONMENT COMMITTEE

**SUBJECT:** HSE Assurance Letters

**MEETING DATE:** 7<sup>th</sup> September 2006

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#### **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 are appended to this paper. The Surface 'public' Transport and Corporate Directorates will follow at a later date.

#### **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 London Rail Chief Officer's HSE Assurance Letter**

**To: The Safety Health and Environmental Committee**

**Subject: HSE Management System Assurance**

**Date: August 2006**

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### **1. Introduction**

The purpose of this paper is to document the status of the health, safety and environmental management system for London Rail as of December 2005, thereby giving assurance to SHEC of my personal commitment to the management of HSE. It should be noted that London Rail exercises some of its responsibilities through third parties e.g. SD, CGLR, CARE and other contractors.

### **2. Status of HSE Management Systems**

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

Attached to this letter is my assurance statement that confirms the current state of the London Rail HSE Management Systems.

### **3. Future HSE MS Developments**

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

#### **3.1 HSEMS**

Noise and Managing & Improving Occupational Health standards currently being developed.

#### **3.2 Procurement management**

Contractor management procedure currently being developed.

**Ian Brown**  
**Managing Director, London Rail**

For detailed enquiries on this document please contact:  
London Rail Safety & Resilience Manager  
Butler Place  
020 126 1435

## 1. HSE Policy

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

London Rail have adopted the TfL HSE Policy Statement dated July 2004 and has communicated it at London Rail team meetings. London Rail employees can view the HSE Policy Statement on Notice Boards and by accessing the TfL HSE Management System website on Source.

## 2. HSE Management Systems

- **HSE Management Systems (HSE MS) are in place and are implemented in accordance with the criteria laid down in the TfL Group HSE Management System to cover all business activities.**

The current suite of Standards and procedures that comprise the London Rail HSE Management System as at 2006/07 Quarter 1 are 'in place'. Further standards (e.g. noise risk assessment and Managing & Improving Occupational Health) are 'under development'. DLR, ELLP and Crossrail have also HSE Management Systems 'in place'.

## 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.**

Job Descriptions summarise the key HSE responsibilities for specific employees. HSE competencies or training requirements have been defined as part of the performance management process. The majority of the senior management team at London Rail and DLR have attended an AD Little, Strategic Safety Management learning programme.

## 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.**

HSE objectives are formalised within London Rail's Business Plans. HSE related Key Performance Indicators relating to fatalities and major injuries are reported to BMR and to SHEC quarterly and annually.

## 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.**

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

## 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.**

A programme of meetings exist at which HSE performance is discussed as a standing agenda item, e.g. London Rail Exec Group, DLR Exec, ELL Project Safety Committee, Crossrail Health & Safety Committee.

## **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 the accident book and on an electronic database. Incident investigations take place commensurate to the event, identifying immediate and root causes. Where necessary action plans will be produced to ensure recommendations are closed out in a timely fashion.

## **8. Assuring HSE Performance**

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

A standard for completing HSEMS 'systems checks/audits' is included within the London Rail HSEMS standards. The next independent annual Safety Case/SMS audit of DLRL and its franchisee and concessionaires was carried out in January 2006.

## **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 processes. Compliance with all applicable health and safety legislation is a standard contractual requirement. Within London Rail a procedure is being developed with regards to contractor management to ensure that contractors comply with London Rail's and the contractor's own HSEMS.

## **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 London Rail HSEMS requirements have been reviewed against those contained within the TfL Group HSEMS. The findings will be incorporated into future revisions of the London Rail HSEMS.

## **Appendix 2 Streets Chief Operating Officer HSE Assurance Letter**

### **1 HSE Policy and Overall Position.**

All Directorates operating under the COO have adopted the TfL Group Health and Safety Policy. The policy is available to all staff via the intranet and is displayed on notice boards. Contents of the policy have been communicated to staff through Team Talk.

### **2 HSE Management Systems**

A safety management system (SMS) addressing conventional health and safety activity and specifics such as CDM, driving and lone working is in place across all Directorates and can be accessed on Source (the TfL intranet).

Additional Standards addressing other business processes such as business planning, project management, environment and emergency planning are being developed.

As part of an overall drive to upgrade Streets H & S performance a full independent audit was undertaken by RoSPA. Based on the audit findings a comprehensive Action Plan was agreed by Streets RISC in February 2006 with all actions to be delivered by April 2007.

### **3 Management Competence**

Individual health and safety responsibilities have been included within job descriptions. Where necessary individual competencies have been identified within individual documents forming the management system. As part of the independent audit Action Plan, Streets has developed an 'organisational and responsibilities' document specific to Streets, which, where relevant, addresses the H&S competencies required.

### **4 HSE Objectives / KPI's**

Health and safety objectives are signed off annually by the Health and Safety Consultative Committee. Objectives are not currently linked to any business plans or risk registers. Health and safety KPI's are reported on at the Health and Safety Committee meetings and to SHEC.

### **5 Risk Assessments**

A rolling programme of updating and reviewing risk assessments is in progress. A number of 'model' risk assessments have been developed by the Health and Safety Team covering generic tasks such as office working, driving and site visits, which are adapted to reflect local circumstance. The risk assessment programme is driven by the Streets Health and Safety Team.

### **6 Meetings**

Health and safety is a standing item in the Director of Operational Supports report to Streets RISC meetings attended by Directors. The Health and Safety Consultative Committee meets quarterly and is the forum for management & TU representatives to discuss health and safety issues and is attended by the HSE team. New regular Directorate Management Safety Committees have been introduced to discuss Directorate specific issues and these are attended

by the HSE Team. Local building 'tenants' meetings have been re-established following the de-centralization of the Facilities function to discuss local H&S staff issues and these will be attended by the HSE Team.

## **7 Incident Reporting and Investigation**

New SMS standard documents have defined arrangements for reporting and investigating incidents. Minor investigations are conducted by local management with major incidents investigated by the HSE Team. The standard addresses the need to report major incidents as defined by Group HSE to Group and Chief Officers and a separate procedure detailing the process has been developed and is operational.

## **8 Assuring HSE Performance**

A programme of audits is agreed by RISC and the Health and Safety Consultative Committee on an annual basis. The SMS has been independently audited by RoSPA with the process to be repeated every two years.

## **9 Procurement Management**

A procedure linked to the CHAS scheme (Contractors Health and Safety Assessment) giving first stage approval to contractors is in operation. The procedure sets minimum requirements and is administered by the Streets procurement team; the process is currently not documented and this is being remedied by inclusion in QA procedures being written.

## **10 Review of the Management System**

A procedure exists documenting the arrangements for review, with a full review in progress following the independent audit undertaken in November 2005.

## **11 Further Planned Action - Staff Development and Involvement**

In addition to the improved documentation and defined procedures referred to above, it is planned to introduce further staff training, embedding the Health and Safety message and aimed at overall culture change. Training and staff development proposals are being prepared and will be brought to the next meeting of the Health and Safety Committee with the overall aim of ensuring Health and Safety messages and procedural requirements are thoroughly internalised.

Discussions are taking place with the employee representatives over representation on the (main) Streets Health and Safety Committee and on the new Directorate H&S Committees where there has already been a welcome significant increase in employee representation. In line with the agreed Audit Programme, the examination and measurement of compliance against the SMS Risk Assessment requirements and CDM requirements has commenced.

## **Appendix 3 LUL Chief Officer's HSE Assurance Letter**

**To:** TfL Safety, Health and Environment Committee

**Submitted by:** Tim O'Toole, Managing Director, London Underground

**Subject:** London Underground HSE Assurance Statement 2005/06

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### **1. Introduction**

The purpose of this Memorandum is to report on the implementation status of the London Underground (LU) Health, Safety and Environmental Management System (HSEMS) as at April 2006. This represents my, and my Directors, personal commitment to the effective management and continuous improvement of Health, Safety and Environment in London Underground.

### **2. Implementation Status of the LU HSE System**

Following detailed and careful consideration of the implementation status of the LU HSEMS I am able to fully endorse the assurance statements made in Attachment 1.

In summary, I am satisfied that LU is meeting its statutory and other obligations in respect of health, safety and the environment including the adoption of industry best practice where this is applicable.

### **3. Future Developments**

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

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

Some of the key areas where we are seeking to make further improvements over the next 12 months are:

- Safety and Technical Audit - As the result of last years major review of our safety and technical assurance regime we are centralising and making more effective our arrangements for undertaking safety and technical audits
- Quantified Risk Assessment – We plan to review/update as necessary the complex risk models in respect of our collision and derailment top events
- LU Safety Case – We are continuing to streamline and improve the LU Safety Case in order to reflect recent changes in railway safety legislation

- Accident pre-cursors – We plan to enhance further our understanding of accident pre-cursors and how these can be measured
- Incident investigation – Following the improvements already made to the investigation of major incidents we plan to cascade best practice to secure improvements in the quality and effectiveness of local incident investigation
- Environment - There are also a number of improvement actions within the LU Environment Plan that will allow us to continue to meet our obligations under the Mayors Environmental Strategy
- Health – a five year programme is in progress focusing on a range of improvements including mental health, back pain, cardiovascular and musculo-skeletal issues as well as improvements in respect of the health related elements of long term absence

The current LU HSEMS suite of standards was implemented in July 2003 following a major review and overhaul. Part of this suite of standards is the standard for Review. This requires that we review the implementation of the LU HSEMS every three years. Work on this has already started with a view to completion and reporting to the LU Health, Safety and Environment Committee by the end of June 2006. This review will consider:

- The ongoing suitability of our health and safety arrangements
- The extent of compliance with our stated arrangements
- Our overall health and safety performance

If the review identifies any major areas for improvement these will be incorporated within our safety improvement plans and monitored by means of the LU Safety Action Tracking System (LUSATS).

#### **4. Recommendation**

It is recommended that the TfL Safety, Health and Environment Committee note this memorandum and the attached assurance statements.

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**Tim O'Toole**  
**Managing Director**  
**London Underground**

## **Assurance Statements 2005/06 – London Underground**

### **1. HS&E policy**

LU has established the following Policies in respect of Health Safety and Environment

- The LU Health and Safety Policy
- The LU Safety Decision Making Policy
- The LU Environment and Energy Policy
- The LU Occupational Health Policy

Taken together these Policies reflect the overall TfL Health, Safety and Environmental Policy. These have been endorsed by the LU Board and are subject to periodic review. The Policies were last reviewed as a suite in 2003.

Our policies are widely available on the LU Intranet, within the LU Safety Case and, in respect of the Health and Safety Policy, on notice boards in all LU stations, depots, offices and other premises.

### **2. HS&E Management Systems**

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

The LU Health, Safety and Environmental System reflects best practice in respect of the management model we have adopted and is fully compliant with industry best practice for management systems.

### **3. Management Competence**

Those management roles within LU that have significant health, safety and environmental accountabilities or responsibilities have been identified and are summarised in the LU Safety Case which has been the subject of review and updating in the last year.

LU has established and implemented a range of internal health and safety training courses for junior, middle and senior management/directors. The emphasis in respect of these courses is on those managers whose roles have the greatest impact on risk in the LU operational environment. These courses have been on-going over the last year.

### **4. HS&E Objectives/KPIs**

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

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

## **5. Risk Assessment**

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

- Quantified Risk Assessment (QRA) in respect of LU's major ('top event') risks to customers.
- Customer Risk Assessments (CRA) which have been undertaken at each of LU's stations in order to identify the specific day to day health and safety risks in relation to our customers.
- Workplace Risk Assessments (WRA) which have been undertaken at each of LU's operational locations in order to identify the specific day to day risks in relation to our employees.

LU standards require that our risk assessments are subject to thorough review periodically, at times of change and following significant events as appropriate. Our on-going programme of review has been adhered to.

In this way we have ensured that our health and safety risks are maintained at levels that are as low as reasonably practicable.

## **6. Meetings**

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

Supporting the above Committee is the LU Safety Review Group. This Group is chaired by the Director of Safety and attended by senior operating, engineering, safety, contracts, HR and Strategy and Service Development representatives. Meetings have been programmed to be held at least every 4 weeks with a provision for special meetings when necessary. In practice, during the last year or so, there have been around 40 meetings of the Group. The remit of the Group is predominantly the peer review/validation of change where this has significant health and safety implications. The Group has also undertaken peer review of all Formal Investigation Reports, recommendations and actions in advance of their implementation and overseen the tracking and completion of safety improvements in the LU Safety Action Tracking System.

In addition to the above meetings, health and safety is a standing agenda item at LU's directorate management meetings.

In respect of employee involvement and consultation LU has established and implemented a health and safety consultation framework at three levels that facilitates employee involvement and consultation at strategic, operational and working levels. In addition, working groups on such topics as Safety Case development, standards change review, fire and workplace violence have been established. The LU HSEMS has been designed to ensure that the statutory rights of employees and their representatives are met in terms of involvement and consultation in respect of matters of health and safety.

## **7. Incident Reporting and Investigation**

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

In respect of the investigation of significant incidents LU has trained a number of safety managers/advisers and engineers in specialist investigation techniques and all investigations over the last year have employed these techniques. All Formal Investigation Reports (FIRs) issued over the last year have been subject to peer review by the LU Safety Review Group and corrective actions and programme details/accountabilities have been entered on to LUSATS and are being monitored through to completion. Progress with the implementation of the recommendations from FIRs in respect of the most serious incidents is reviewed at the HSEC.

## **8. Assuring HS&E Performance**

LU has established and implemented standards and process for the audit of the LU HSEMS. LU's standards require that the audit plan is risk-based and the programme is developed against set criteria and subject to wide consultation in draft before approval. The audit programme for 2005/6 was approved by the LU Health, Safety and Environment Committee in April 2005. The audit programmes have covered key LU health and safety processes, operational risk controls and specific topic areas. The audit programme has also covered LU's suppliers and other railway undertakings that interface with LU.

Audit results and actions have been reported in specific reports and in the quarterly LU Health Safety and Environmental Performance Report. In addition to the internal safety and technical audits undertaken, LU is obligated to procure an annual independent safety audit against strict legislative criteria. These audits have been carried out as required. Actions arising from the independent audits have been incorporated in the LU Safety Plan and actions are being tracked via LUSATS.

## **9. Procurement Management**

The vast majority of LU's major suppliers have been procured via our PPP and PFI arrangements, and as such, have been subject to an extremely thorough process of evaluation in terms of overall capability including health, safety and environment aspects.

Through the contractual arrangements established we have mechanisms that drive good health and safety performance. These include such things as the PPP Safety Agreement and Standards Code and the ability to set standards that all parties must adhere to. LU also has contractual mechanisms for taking punitive action where performance falls below our requirements. These mechanisms have been utilised in order to achieve the required performance improvement and maintain the necessary safeguards.

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

## **10. Actions from the Review of the HS&E Management System**

LU has established and implemented a standard for the review of the adequacy and effectiveness of the HSEMS, and related arrangements, that have the potential to affect health, safety and environment. Such reviews are overseen by the Health, Safety and Environment Committee and any actions arising included in the LU Safety Plan.

## **TRANSPORT FOR LONDON**

### **STAFF SUMMARY**

#### **SAFETY HEALTH AND ENVIRONMENT COMMITTEE**

**SUBJECT:           Modal Quarterly HSE Reports**

**MEETING DATE: 7<sup>th</sup> September 2006**

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#### **1. PURPOSE**

To inform SHEC of Modal HSE Performance.

#### **2. BACKGROUND**

The issue of assurance is fundamental to SHEC delivering against its terms of reference. Modal HSE reports are received quarterly from the Chief Officers of London Rail, London Underground, Surface Transport and the Corporate Directorates to inform SHEC of progress in managing HSE within the respective mode.

#### **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 quarterly modal HSE reports.

**TRANSPORT FOR LONDON**

**SAFETY, HEALTH AND ENVIRONMENT COMMITTEE**

**SUBJECT: Surface Transport Quarter 1, 2006/2007 SHEC Report**

**MEETING DATE: 7<sup>th</sup> September 2006**

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**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, commenced during this quarter. Four audits were completed with notable improvements in the scoring overall.
- A review of the bus operators health and safety assurance audit process has been completed. Some improvements have been identified and are planned for introduction in the 2006 / 2007 audit programme which has been finalised and will commence in July 2006. The revised documentation, agreed following the process review, will also be introduced for this audit programme.
- The review of health and safety documentation for key London Buses non bus contracts continued during this quarter and focuses on health and safety assurance from a legal and contractual compliance aspect. A key element of the process requires involvement at periodic contract review meetings at which health and safety performance is a standard agenda item.
- A programme of Manual Handling training courses was completed during this quarter and a total of 180 key Surface Transport staff attended.
- A new Performance Manager, with responsibility for managing ATLAS (the London Buses incident reporting system) has been appointed and will commence his post in September 2006. The new Group Safety Services ATLAS helpline has been introduced and is proving successful and allows reported faults from bus operators to be monitored.
- 05/06 environmental performance data in relation to energy, water usage, air emissions and waste for London Buses was reported via the Business Plan.

**Other Modes**

- A review of the TPED safety management system has been completed, areas for improvement highlighted and action plan for implementation drawn up.
- A decrease in the number of assaults on TPED staff in direct relation to the total number of ticket checks carried out (1 assault for every 116941 checks) was noted.
- VCS joined the new MPS led Victoria Transport Corridor Initiative as MPS have recognised that VCS is a crime hot spot for personal theft.

- New Incident and Emergency Plan for Victoria Coach station has been issued with training underway for all management and supervisory staff.
- Over 41,000 private hire vehicles and 31,000 private hire drivers are now licensed by Public Carriage Office.
- The PCO marshalled taxi rank pilot scheme at Cranbourn Street has been made permanent and pilot schemes continue in Bromley and Kingston with a new pilot scheme started at Liverpool Street Station.
- Tramlink Croydon Limited have re-issued a substantial proportion of their safety management system
- The annual programme of London River Services pier condition and safety surveys and Boat Operator Safety Audits has commenced and is on schedule.
- The management of the TfL agreement with the London Borough of Greenwich for the operation of the Woolwich Ferry now forms part of London River Services. This will generate a programme of audits and inspections over the next quarter.
- The programme of Governance Meetings between Group Safety Services and London Buses Limited (East Thames Buses and Dial-A-Ride) is now well established.
- 05/06 environmental performance data in relation to energy, water usage, air emissions and waste for VCS, LRS, Trams, PCO and ETB/DAR was reported via the Business Plan. This was the first year that a comprehensive dataset was provided for all the modes.

### **Streets**

- Actions identified by the independent audit of the Streets Safety Management System undertaken by RoSPA have been agreed and an Action Plan developed. Streets specific Organisation and Arrangements document has been developed and agreed. Revised SMS procedures for the reporting and investigation of accidents/incidents and reporting and investigation of major incidents have been produced, consulted on and agreed.

## **2. AREAS FOR IMPROVEMENT**

### **London Buses**

- The ATLAS improvement project continues although the completion date has slipped due to technical difficulties. User acceptance testing is taking place before further roll out of the project. Additional ATLAS system performance monitoring meetings are being held with software and hardware maintainers to improve reliability of reporting.

### **Other Modes**

- Clarification of the risk assessment process within TPED to ensure timely and effective understanding of responsibilities.
- A key area for further improvement is the first time pass rate for Public Carriage Office taxi licensing inspections which stands at 49% for this quarter.
- Roll out of the London Trams audit programme has been stalled due to continual objection by TCL to the principle of audits and the protocols

under which they are to be conducted. Discussions with TfL Legal have identified the way forward but remain in dispute with TCL.

- Improve co-operation from TCL with safety related audits, completion of inspections and notification of significant incidents via the 'First Alert system.
- A safety review was carried out on the new ramp rider (wheelchair access facility at Greenwich Pier) and recommendations are being progressed.

### **Streets**

- Revision of Streets SMS – Work has commenced on the review of the SMS operating across all areas of the Chief Operating Officer incorporating the comments of the independent auditor.

## **3. SIGNIFICANT PLANS FOR NEXT QUARTER**

### **London Buses**

- An analysis of pedestrian fatalities involving buses over the last three years is planned for next quarter in order to identify trends and any measures that can be taken to address concerns.
- The health and safety and environmental management systems (HSEMS) of Surface Transport modes are being reviewed for effective management and arrangements for continual improvement. The process is due to be completed with the signing of the Chief Officer Assurance Letter by September 2006.
- Arrangements are being finalised with the British Safety Council to provide a Level 2 Health and Safety course for managers within Surface Transport (ST) modes. The course will focus on managers' roles and responsibility for health and safety.
- Work will commence on the development of an environmental management system for LBSL, 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.

### **Other Modes**

- The implications for Surface Transport from the provisions of The Regulatory Reform (Fire Safety ) Order are being reviewed in relation to Fire Safety Duties, Fire Precautions and the preparation of an Emergency fire plan and Fire risk assessments.
- Design and implement changes to the TPED Health and Safety Management system identified in the review.
- Plans are in place to implement a regime of regular strategic safety meetings within the TPED Directorate to deal specifically with Health and Safety issues through a dedicated forum.
- Following completion of the survey of East Thames Buses SMS, a report has been received, discussed at the Governance Meeting and a remedial action plan has been developed for progression during next quarter.
- A proposal to provide a management skills workshop covering safety issues for ETB staff is awaiting final confirmation. Arrangements for

resilience training covering Gold, Silver and Bronze levels are being finalised for delivery next quarter.

- Roll out of the Go Skills DVD to all PCO licensed and private hire drivers will commence in next quarter.
- A timetable for the implementation of recommendations from the Private Hire Operator post implementation review is to be finalised.
- The finalisation and re-issue of the updated London Trams SMS.
- Development of safety management procedures by London Trams for implementation of major projects including safety assurance and verification procedures.
- To complete the safety audit of the points on Tramlink following the second derailment at Phipps Bridge.
- Ensure compliance with the recommendations of the Rail Accident Investigation Branch with respect to recent incident investigations.
- Work will commence on the development of an environmental management system for VCS, LRS, PCO, Trams and ETB/DAR 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.

#### **Streets**

- Establishment of a training programme to provide basic health and safety awareness for all staff.
- Development of procedures to address specific findings of the independent audit of the Streets SMS undertaken by RoSPA.
- It is expected that some actions will be incorporated into the developing network management plans (NMPs) but priority actions may need to be undertaken outside NMPs, subject to the availability of funding (including from Central Government).

#### **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.

Surface Transport has agreed it's 2006 / 2007 audit plan and work against the programme has begun.

#### **5. HSE PERFORMANCE**

##### **Safety**

- The number of customer and employee incidents on London Buses network remains constant with approximately 300 major and minor incidents reported per period. Improved standards of reporting from bus operators are leading to a gradual improvement in period by period consistency.

## **Environment**

- The hydrogen bus procurement programme, part of the Hydrogen Transport Action Plan, is on track, with the tender for the supply of 9-11 buses and the associated refuelling infrastructure issued on 28 June 2006.
- The trials of Selective Catalytic Reduction NOx abatement technology on 14 buses has been extended until late summer 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 budget in the Business Plan for the Nox roll out programme may be reduced considerably to allow for other projects of greater priority to be funded. Only a limited number of vehicles, apart from new Euro IV buses are therefore likely to be fitted with Nox abatement when the trials are complete.
- The six hybrid buses currently operating on route 360 have suffered some initial teething problems but these have now largely been overcome and reliability is expected to improve going forward.
- In line with GLA and Mayoral emissions strategy, PCO has implemented emissions control to ensure all taxis meet Euro 3 standards.
- Built environment - streetscape pilot projects are continuing under the management of Road Network Development. Subject to approval of the Project Board and the availability of funding, the programme will move to external consultation.
- 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.
- Noise - the methodology for traffic noise action programme (a commitment in the Mayor's noise strategy) has identified 'hotspots' (now termed 'clusters') but the programme for action is yet to be completed.
- 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 (from April 2007) and will be a requirement in all relevant new contracts.

## **6. MAJOR INCIDENTS**

### **London Buses Major Incidents**

#### Fatalities Involving Buses

- A male pedestrian was fatally injured following a collision with a route 46 bus on the 14<sup>th</sup> 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.

- A female pedestrian was fatally injured following a collision with a route 7 bus on 13 May 2006 at 11.18 hours in Oxford Street. No allegations have been made against the driver or the bus.
- A female pedestrian was fatally injured following a collision with a route 243 bus at the junction of High Holborn and Kingsway on 20 May 2006. The bus failed to make the left turn and collided with the pedestrian. There was no allegation made against the vehicle.
- A male pedestrian was fatally injured following a collision with a route RV1 bus at Waterloo Bridge SE1 on 10 June 2006 at 10.40 hours. The on bus CCTV footage captured the incident. The bus was checked by the Vehicle Inspectorate and no defects were found. The police investigation and concurred that there was no action the driver could have taken to avoid the accident.
- A male pedestrian was fatally injured following a collision with a route N5 bus at Brent Street NW4 on Tuesday 20 June 2006 at 03.30 hours. The police have cautioned the driver and further investigation is being carried out.

#### Accidents Involving a bus leaving the highway

- Six passengers received minor injuries following a route 51 bus collision with a garden wall on Hook Lane, Welling, on Wednesday 31 May 2006. There were no mechanical defects found with the vehicle. The driver underwent assessment and retraining before returning to work.
- A route 469 bus left the carriageway at Ha Ha Road, Woolwich, on Friday 16 June 2006 at 10.58 hours. The westbound bus crossed the eastbound carriageway, mounted the pavement and crossed the grass area. Four passengers were taken to hospital. The incident is still under investigation but initial inspections of the vehicle found no faults. The bus operator has confirmed that the same driver was also involved in the route 51 incident above.

#### **Streets – Major Accidents and Incidents**

None reported.

#### **7. RECOMMENDATIONS**

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

**TRANSPORT FOR LONDON**

**STAFF SUMMARY**

**SAFETY HEALTH AND ENVIRONMENT COMMITTEE**

**SUBJECT: Corporate Directorates Quarterly SHEC Report**

**MEETING DATE: 7<sup>th</sup> September 2006**

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**1.0 SUMMARY**

**1.1 What went well**

- The DSeasy online training and risk assessment package was applied to General Counsel and Group Communications
- Agreement reached with Internal Audit will enable Corporate HSE Advisors to undertake HSE compliance work across non-Head Office portfolio buildings alongside Fraud and Security during its 2006/07 security review
- Close working with LogicaCMG delivered a major programme to bring cable management at workstations into compliance status at Empress State Building and this will act as a model for future work
- Constructive joint working took place with the Mode's Directorates on compiling 2007/08 Business Plan HSE Chapters
- Group Property completed its contractor safety awareness training to programme.

**1.2 Areas for improvement**

- Work is proceeding with Group Facilities to identify oversight arrangements that can confirm HSE compliance at non-operational buildings outside the Head Office Portfolio
- Work continues with relevant stakeholders involved in projects and moves to ensure that compliance is built into workstation installation following moves between existing sites and opening of new sites
- Work will start to apply a standardised approach to call centre environments across the Mode that addresses ergonomic layout and noise management.

### **1.3 Other significant plans for next Quarter**

- Strategic safety awareness training will be given to London's Transport Museum (LTM) senior management team
- Work will get underway at LTM Depot on the identification and assessment of vibration risks arising from use of hand tools
- Work will continue with Group HR Employee Relations to put together framework and guidelines for effective health and safety consultation for the Mode that consolidates the safety committee structure.

### **2.0 Progress against HSE Plan**

- **Corporate Directorate HSE Management System**  
Draft Standards devoted to specialist risk assessment (Control of Substances Hazardous to Health (COSHH), Personal Protective Equipment (PPE) and Occupational Driving) are with Group HSE
- **Specific areas of risk**  
Workplace Risk Assessment and Customer Risk Assessment was completed for Open Day miniature railway at London's Transport Museum. Risk assessment was also completed to address Educational School visits to the Depot.

Noise risk assessment took place at the Travel Information Contact Centre involving the trial of headsets offering improved noise protection.

### **3.0 Health of management system**

- Input was made to 2007/08 Business Plan HSE Chapters for each of the 4 Corporate Directorates. The Plans will be finalised during Q2
- Input was made to the continuing Group HR Employee Relations work to scope out a proposed structure for health and safety consultation across Modes outside London Underground.
- Group Facilities has implementing the first part its Departmental Safety Management System.

### **4.0 HSE performance statistics**

#### **4.1 Health**

- Staff within the 4 TfL Corporate Directorates mode generated 2860 days of sickness absence during Q1, equivalent to 1.8 days per person. Mental illness (including stress, anxiety and depression) was the largest single generator of sickness absence, featuring particularly in the larger Directorates. MSD featured as the next largest contributor.

## 4.2 Safety

- **Employee safety** - there were 18 minor accidents and incidents involving employees.
- **Customer safety** - there was 1 incident reported involving a customer being taken unwell at Lost Property Office.
- **Contractor safety** - there was 1 RIDDOR-reportable accident generating an over-3 day sickness absence involving manual handling and there were 7 minor accidents or incidents recorded involving contractors.
- **Third Party safety** - there was 1 injury involving a visitor to a TfL occupied building.

## 4.3 Environment

- Major Projects completed its Environmental Management System in line with ISO 14001:2004 requirements. Its use will deliver a consistent approach to the management of environmental issues
- The Civil Engineering Environmental Quality Assessment and Awards Scheme (CEEQUAL) is now fully integrated into Major Projects and TfL selected employees are being trained as CEEQUAL assessors
- Sustainability is now integrated into MPBU draft procurement documentation.

## 5.0 Major Incidents

None.

**TRANSPORT FOR LONDON**

**STAFF SUMMARY**

**SAFETY HEALTH AND ENVIRONMENT COMMITTEE**

**SUBJECT: London Rail Quarterly SHEC Report**

**MEETING DATE: 7<sup>th</sup> September 2006**

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**1.0 SUMMARY**

**1.1 What went well**

**London Rail & Docklands Light Railway Ltd.**

- Agreement in principle reached in relation to an integrated safety authorisation Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) submission with Serco. Concessionaires already in agreement, letter to be sent to ORR very soon.
- London Rail has populated the Active Risk Management (ARM) database, work still on going with regards to production of reports.
- The Office of Rail Regulation (ORR) has issued a certificate of acceptance for the change of franchisee from Serco Docklands Ltd to Serco Limited. This follows consultation between Serco Docklands and ORR and the submission of a Case for Safety Change Paper.

**Serco Docklands Ltd / City Greenwich Lewisham Rail Ltd/CARE**

- The trend of no employee reportable assaults continued for a further three periods, the last major employee assault as recorded in period 9 2004. A number of recent initiatives have been implemented which have contributed to the reduction in staff assaults. The initiatives include the following, Security Tasking Group meetings, Joint Patrols (SDL, Revenue & BTP), Local Community involvement; Assaults review panel and Conflict Awareness Training.

**East London Line Project**

- The project had assumed that both the infrastructure and rolling stock would be accepted under the ROGS Regulations and not the Interoperability Regulations. A letter had been written to DfT requesting endorsement of this decision. However DfT have queried this decision and the project is reconsidering. Neither the Safety Approvals Plan nor the Rolling Stock Approvals Plan will be reissued until this issue is resolved.

## **1.2 Areas for improvement**

### **Sercos Docklands Ltd / City Greenwich Lewisham Rail Ltd**

- SPADs & derailments - examine recent incidents, review the findings and associated recommendations. Implement relevant control measures.

## **1.3 Significant plans for next quarter**

- Ensure compliance with ROGS
- Ensure all objectives in the 2006/07 Safety Improvement Programme are successfully implemented.
- ELLP – Competence Management system for the engineering team being rolled out.

## **2.0 Progress against HSE Plan**

### **2.1 Docklands Light Railway Ltd.: 2006/07**

Milestones developed for all objectives, all progressing well.

### **2.2 Sercos Docklands Ltd. Assurance Plan for 2006/07**

Milestones are developed for all objectives, progressing well.

### **2.3 City Greenwich Rail Link Safety Plan 2006/07**

During the period under review the Plan objective to “Review the effectiveness of management systems for systematic & proactive review of documentation” was not achieved by the July 1<sup>st</sup> planned deadline. This was due to management time being prioritised for dealing with higher risk issues,

### **2.4 City Airport Rail Extension: Safety Improvement Plan 2006/07**

Safety Improvement Plan objectives on target.

### **2.5 East London Line Project : Safety Plan**

All safety-related activities are on target.

## **3.0 Health of management system**

- London Rail Safety Management System rolled out.
- DLR HSEMS health check complete. RSC/SMS audit action plan produced, recommendations being addressed.
- ELLP – Management system under review.

## **4.0 HSE performance**

### **4.1 Health**

- There were no significant staff occupational illness and/or sickness issues within London Rail this quarter.
- There were a total 21 instances of sickness during quarter 1, resulting in 62 days lost for London Rail core, DLR and East London Line.
- ELLP: Eye injuries - A paper has been written on the apparent cluster of eye injuries early in the Enabling Works. This concluded that there was no connection between the incidents and that the actions taken by the contractor were appropriate.

## **4.2 Safety (significant incidents)**

- On the 08<sup>th</sup> April 2006 at Cutty Sark, a contractor working on behalf of CGL reported receiving an electric shock. Whilst cutting rails through, an arc formed between the running rail and the check rail. The contractor received a slight burn and swelling to his hand and was taken to hospital as a precaution. Later that morning a second contractor stated that he had witnessed arcing at Mudchute. CGL took the decision to suspend the works. The injured contractor was off work for more than 72 hrs as a result of this incident, but has now returned, carrying out light duties. Draft investigation report issued.
  
- DLR - 2<sup>nd</sup> May at West India Quay - A contractor tested a live conductor rail in error. The power had been switched off but the contractor had gone the wrong side of the trackside indicator when setting out his possession limits. The contractor was uninjured. Review of process/procedures for this area has now been undertaken and amended accordingly.
  
- On the 05<sup>th</sup> May a set of (side) doors opened slightly on vehicle 51 between Westferry and Poplar. The emergency brake applied and the vehicle was taken out of service. Investigation on the vehicle identified failure of a door actuator which was replaced.
  
- DLR - On the 26<sup>th</sup> May signal 33 in Beckton Depot was passed at danger. The Depot Controller alerted the PSA and the vehicle was halted. The PSA was stood down and breath tested and the FLRTS secured the points as some damage had occurred.
  
- DLR - 10<sup>th</sup> June - Vehicle 85 derailed at Beckton Depot. All relevant on-call Managers attended site and EWS attended to re-rail vehicle 85. Damage suffered to vehicle and points.
  
- DLR - 12<sup>th</sup> June - PSA reported that vehicle failed to get ADC at Cyprus Station. On investigation discovered that a door that had been isolated was open. Vehicle was detained and removed from service.

## **4.3 Environment**

Nil to report this quarter

## **5.0 Major incidents**

Nil to report this quarter.

**TRANSPORT FOR LONDON**

**STAFF SUMMARY**

**SAFETY HEALTH AND ENVIRONMENT COMMITTEE**

**SUBJECT: London Underground Quarterly SHEC Report**

**MEETING DATE: 7th September 2006**

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**1. Summary**

**1.1 What went well**

- LU and the PFI's had no overdue actions. This is of particular note, as this is the first time since our corporate target of zero overdue actions was introduced that this target has been achieved.
- North Greenwich Train Operations Audits recorded excellent performance with all main systems and processes being effectively controlled and implemented.
- LU, Metronet and Tube Lines have issued their 2006/7 Safety Improvement Programmes, SIPs. Progress against these is being monitored via LUSATS, which has increased the total number of safety improvement actions being monitored within each company.
- There were no section 12 contraventions this quarter.
- The numbers of concession requests have reduced in most asset areas as a result of the introduction of the new standards, where this is not the case, the particular clauses attracting concessions are being reviewed.
- The three yearly review of the Health Safety Environment Management System, HSEMs, has been completed. Necessary minor improvements to maintain our world-class status on this front are now being programmed into our SIP.
- Analysis of train operators who were referred for physiotherapy within 6 weeks of back pain returned to work an average of 3 weeks earlier than those who were not referred. The increase in administrative staff taking time off from back pain has not continued this quarter.
- The total number of environmental incidents significantly reduced (by 52%) this quarter.
- Trend analysis shows a reduction in the number of lift incidents requiring hand and power winding. Reliability has been optimised through a planned preventative maintenance strategy.

**1.2 Areas for improvement**

- HMRI has issued an Improvement Notice on Metronet SSL in relation to the number of un-regularised non-compliances on the District line track. In parallel LU has issued an Emergency Direction Notice under the terms of the PPP contract in relation to deficiencies with track maintenance activities.
- The review of the ventilation hazard top event is suspended pending resolution of issues by the tunnel Cooling Project Steering Group around the consequence analysis in relation to the tunnel ventilation hazard review.

- The number of platform train interface incidents has increased significantly (by 63%). This is due to an increase in incidents of customers being caught in or struck by train doors, with the majority of incidents occurring on the Northern line.
- Planned General Inspections are required to be undertaken in the non-operational directorates, support for this will be provided by SQE.
- The JNP and SSR HSEMs audits have identified that arrangements for fire drills and evacuations where alternative activities are used in place of 'real' evacuations do not meet corporate or legislative requirements. This is being reviewed as part of the audit action plans.

### **1.3 Significant plans for next quarter**

- An update on progress of the Medical Assistance Pilot for train operators will be provided.
- Ongoing detailed analysis of safety key performance indicators and precursors trends, the including trends noted above.

## **2. Progress against LU Safety Improvement Plan (SIP)**

- Following approval of the 2006 /07 Safety Improvement Programme by the LU HSE Committee, actions have been entered onto LUSATS for ongoing monitoring. The 2006/07 programme builds on actions undertaken during 2005/06 and introduces new actions outlined in the programme update below.

### **Objective 1: Reduce priority residual risks to as low as reasonably practicable**

- LU has continued to monitor the Tube Lines and Metronet track improvement programmes. Despite the achievement of initial programme objectives, a substantial increase in the number of un-regularised non-compliances on District Line track has resulted in the issue of a further Improvement Notice by HMRI to Metronet to bring the situation under control. In parallel London Underground has issued an Emergency Direction Notice to Metronet under the terms of the PPP contract in relation to deficiencies with track maintenance activities. Metronet are currently undertaking a detailed assessment of the root causes of the current situation in order to prepare a rectification programme.
- Work to achieve improved assurance around consistent management and fault fixing of OPO CCTV equipment has been completed. This included the appointment of a communications asset engineer and reorganisation of LU ED resources to ensure consistent reporting and assurance at Asset Performance Review Meetings, with consistent LU attendance. An audit of OPO CCTV maintenance is currently underway and the significant findings from this will be monitored as part of the current programme.
- The improvement actions arising from the 2005/6 SPAD Reduction Programme are almost complete. One action remains outstanding relating to the review of training provided in support of SPAD Investigations. The progress of this is being taken forward as part of the 2006/7 plan. Changes to the LU recruitment and selection process for Train Operator characteristics have been implemented and are part of the current ongoing recruitment and selection campaign. Actions related to Trainer and Trainer's Manager Job descriptions are now being addressed as part of the LU Learning & Training Change Project Programme.
- In relation to workplace violence, the rollout of updated training to front line managers, re-focussing operational managers' performance goals to encourage the development of a more supportive culture and the redesign of reporting mechanisms is now complete. A total of 50 managers have attended the training. Work continues into the

re-focusing of operational managers' performance goals to encourage the development of a more supportive culture. The research into the culture of reassurance manager (upon which this action depends) commenced in May 2006 and will be confined to the work place violence field. The LUL/BTP workplace violence unit has been set up.

- Review and updating of the LU Quantified Risk Model continues to the revised programme with a planned completion date of December 2006. The main work streams include updating of the models for derailment, collision between trains and with objects and to update passenger loading data. New actions from the 2006/07 SIP incorporate 'CONNECT' deliverables into QRA models and the development of a long term programme for QRA model improvements. The work to review and develop the ventilation hazard top event modelling is now on hold until issues surrounding the tunnel ventilation hazard review are resolved.

**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**

- Work to map and analyse existing technical, safety and operational assurance processes to identify opportunities for simplification / rationalisation has been completed. The implementation plan to improve technical assurance arrangements in respect of supplier confidence and accreditation, internal co-ordination of assurance activities, assurance from non-Infraco suppliers, intrusion models and assurance metrics, and the management of documentation has been subject to change mainly as a result of additional consultation with the Infracos and further monitoring to ensure changes are fully embedded. The overall timescale for completing work to improve the Technical Assurance Regime is December 2006.
- The programme to revise and update LU operational standards has been modified to take into account the consultation requirements with service control and the trade unions. The new programme was presented to the Safety Review Group, SRG, and changes to the programme agreed. At this stage, the changes do not impact on the overall completion date of this programme of March 2007.
- The new programme developed for the introduction and implementation of revised incident management procedures (Na100) continues to plan and is scheduled to be completed by November 2007.
- The three yearly review of the Health Safety and Environment Management System has been completed. Necessary minor improvements to maintain our world class status on this front are now being programmed into our SIP.

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

- The existing action from the 2005/06 SIP to implement a process for the continuous assessment of station staff competence is now being developed as part of wider generic processes for all safety critical workers in stations, trains and service control as part of the 2006/07 SIP. The completion date for this work is January 2008.

**3. Health of the Management System**

- There has been a significant reduction in the total number of LU's overdue actions from 12 actions to 0 actions. This is of particular note, as this is the first time since our corporate target of zero overdue actions was introduced that this target has been

achieved. 19 actions were scheduled to be closed during Q1; all actions were completed.

- The number of overdue actions outstanding within Metronet has remained consistent, with no increase of overdue actions over the last quarter. Following the re-submission of a revised safety improvement plan and the closure of the original programme, Tube Lines have reduced their total number of overdue actions from 68 in Q4 2005/6 to 6 in Q1 2006/7.
- Site work audits for Chiltern Trains have been completed and draft report is being prepared.
- The overall trend for Station Operations Audits is stable, with good performance being noted from the East London Line, Bond Street and Greenford Group with areas for improvements on East Ham Group. Excellent performance was achieved in relation to the North Greenwich Train Operations Audit. The Hammersmith and Barking Trains Operations Audit were to a good standard.

#### **4 HSE Performance Statistics**

##### **Health**

- There was an improvement in the number of days lost due to back pain (27%) but a worsening in the numbers of staff affected compared to the same quarter last year. The percentage of administrative staff taking time off for back pain in the first quarter this year (2.1%) is very slightly larger than the percentage for the same quarter last year (1.9%). There was a noticeable increase in the number of customer service assistants taking time off due to stress, anxiety and depression, however the number of days lost has reduced (31%) compared to last quarter.
- An update on the progress of the ongoing Medical Assistance Pilot on train operators will be provided next quarter.
- 94 drugs and alcohol tests were undertaken in the quarter. Testing went well in all locations and there were no positive results.

##### **Safety**

- The long-term downward trend in the number of SPADs has stabilised. The number of SPADs reported in the quarter is greater than previous quarters, ongoing monitoring continues. The trend for Category B SPADs has stabilised.
- There were no Section 12 contraventions this quarter.
- The total number of Platform Train Interface (PTI) incidents has increased by 63% compared with Quarter 4 2005/6. 44% of all PTI incidents were due to persons being caught in doors or stuck by train doors. 23% of all 181 incidents occurred on the Northern Line
- Incidents of workplace violence have fallen by 3.8% compared to the first quarter of 2005/6. The overall trend remains stable. The numbers of physical incidents of workplace violence, verbal abuse and threats have all fallen compared with the same quarter last year. Reductions of 4%, 3% and 5.5% respectively have been seen. SSR reported a 21% reduction in all workplace violence incidents over the quarter, JNP a reduction of 7% whilst incidents of workplace violence remained steady on BCV.
- 88% of all RIDDOR reportable incidents during Quarter 1 2006/07 were reported within the required 10 days. This is an improvement over the 85% of 2005/06, however further improvement is still required to reach the target of 95%.
- The number of Planned General Inspections, PGIs, reported as completed in the non – operational directorates has almost halved from twelve to seven in the quarter. CPO areas continue to reported completion of the PGIs, having undertaken five of the seven reports received. There were two reports of a Safety Tour.

## Environment

- As the target for 2005/6 was significantly exceeded, the target energy saving for the 06/07 has been increased to 22.5%. At the end of Q1, 25.2% energy savings have been achieved.

The leaders at the end of period are:

Line:	Bakerloo
Group:	Charing Cross
Premiership Station:	Epping
Championship Station:	Wanstead
First Division Station:	Chalk Farm
Second Division Station:	Plaistow

- Twelve depots including Northfields and Northumberland Park are now recording their energy consumption on a regular basis.
- The total number of environmental incidents reported this quarter is 67 showing a considerable reduction when compared with 140 last quarter (Q4 2005/06).
- Environmental complaints continue to rise this quarter. Noise remains the single largest source of complaints.
- The majority of actions within the Environmental Improvement Programme have been completed. Programmes in relation to the noise and Biodiversity Action Plan for the LU Network are in progress.

## 6. Major Incidents

16th June 2006. It was reported that whilst a Westbound (WB) train departed Liverpool Street, a loud bang was heard and an object had dropped from the train. Further investigations revealed broken negative shoe gear that had fallen off the car 3. Services were suspended Bethnal Green to Marble Arch on both lines. Inspection of the WB track indicated damage to the negative current rail. 820 customers were detrained to platform. A Formal Investigation (FIR) is in progress.

8th June 2006. Trespass at Ealing Broadway station. A 14-year-old male youth was fatally electrocuted whilst attempting to cross the track.

2nd June 2006. Derailment at Archway. Train 006 (not in customer service) became derailed due to a broken switch rail. A FIR is in progress.

26th June 2006. Broken rail at Waterloo. Signal track circuits 58D C, B and 56B were causing signal failures. Technical officer identified a broken rail as the cause. 137 customers were detrained from a stalled train. The defect was repaired and services resumed at 09.10.