

**Date:** 21 March 2017

**Item:** TfL Health, Safety and Environment Improvement Programme

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**This paper will be considered in public**

**1 Summary**

1.1 This paper describes the proposed pan-TfL Health Safety and Environment (HSE) Improvement Programme designed to progressively strengthen the HSE Management System.

**2 Recommendation**

2.1 **The Panel is asked to note the paper.**

**3 Background**

3.1 The Commissioner has set a challenge for TfL to improve its safety culture and performance by achieving Level 4 safety management maturity from the current level 3 (on a 5 point scale) as measured by the Office of Rail and Road's Risk Management Maturity Model (RM3)

3.2 Key to this is having actions that will meaningfully address the following key strategic elements:

- (a) Reducing risk exposure (customers, employees and suppliers/contractors).
- (b) Improving our safety culture – everyone invested in safety performance at all levels of the organisation.
- (c) Consistently good performance across all parts of the business (not good in parts).
- (d) Systems to deliver HSE performance which are fully effective but also efficient and lean.
- (e) We become a learning organisation alert to trends and “weak signals” indicating where attention is needed. Information is shared

3.3 The Panel is asked to note the current maturity level and areas where improvement is required as described in Appendix 1. It is asked to review and discuss the more detailed proposals relating to the introduction of the following, which will improve these key strategic elements leading to an increase in maturity:

- (a) A refreshed and focussed approach to behavioural based safety – based on the three programmes already run across TfL which have had very significant impact on risk reduction.
- (b) A revised way of assessing risk to identify and implement effective control measures which is more effective but also more efficient in terms of resource use.
- (c) A new way of reporting health, safety and environment performance that provides the appropriate information to the right level of the organisation and provides facility to escalate unresolved issues and "drill down" from top to bottom where there are adverse trends.

## **4 Legal Implications**

- 4.1 The implementation of this programme of work will ensure compliance with relevant health, safety and environmental legislation.

### **List of appendices to this report:**

Appendix 1: HSE Improvement Programme

### **List of Background Papers:**

None

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21 MARCH 2017

## HSE Improvement Programme

Safety in the context of the TfL Story

Increasing the maturity of our health safety environmental management system



# The TfL Story – with safety at its heart

- Our Purpose** To keep London moving, working and growing and make life in our city better
- Our Customer Promise** Every Journey Matters
- Our Ambition** To be a customer-focused service provider, commercially driven and the envy of transport authorities, cities and Governments around the world
- Our Six Priorities**
1. To put customers and users at the core of our decision making
  2. **To drive improvement in reliability and safety across our network**
  3. To accelerate the growth and increase the capacity of our network
  4. To invest in our people and lead them to be the best they can be every day
  5. To cost less, be more affordable and to generate more income
  6. To exploit technology to produce better and faster results
- Our vision** Everyone home safe and healthy every day



## Aim of the Improvement Programme

### As a story:

“The business becomes increasingly self-sufficient and capable in managing HSE issues with stronger HSE results. This is because it has greater skills and confidence, and more effective, time efficient tools to identify, monitor and manage risks and emerging trends.

HSE performance is continuously enhanced through our increased capacity to undertake transformational activity and our consistent management of business as usual activities and assurance.”

### And statistically:

- improved safety culture survey scores
- improved HSE performance across a range of measures
- increased levels of HSE ownership in the business
- demonstrable improved HSE competence and confidence at all levels in the organisation
- improved staff engagement and improved productivity
- increased time spent at transformational activities and less time on reactive
- fewer formal regulatory interventions and complaints
- Safety Management Maturity Model status = Excellence



## Our safety management maturity is sound but not yet excellent

- The maturity of TfL's Safety Management System has been assessed by:
  - the Office of Rail and Road (ORR) - first in 2010 and then in 2015 for London Underground
  - internally by ourselves (in 2014) for LU and annually since 2011 for ST
- The assessment was done using the ORR's Risk Management Maturity Model (RM3). This is explained in the following slides
- The ORR's and our own assessment showed that LU's safety management maturity was mid ranking (level 3) on a 5 point scale where 5 is the highest (see next slide)
- A recent assessment by TfL Internal Audit shows that Surface Transport is also at Level 3



## The RM3 model explained

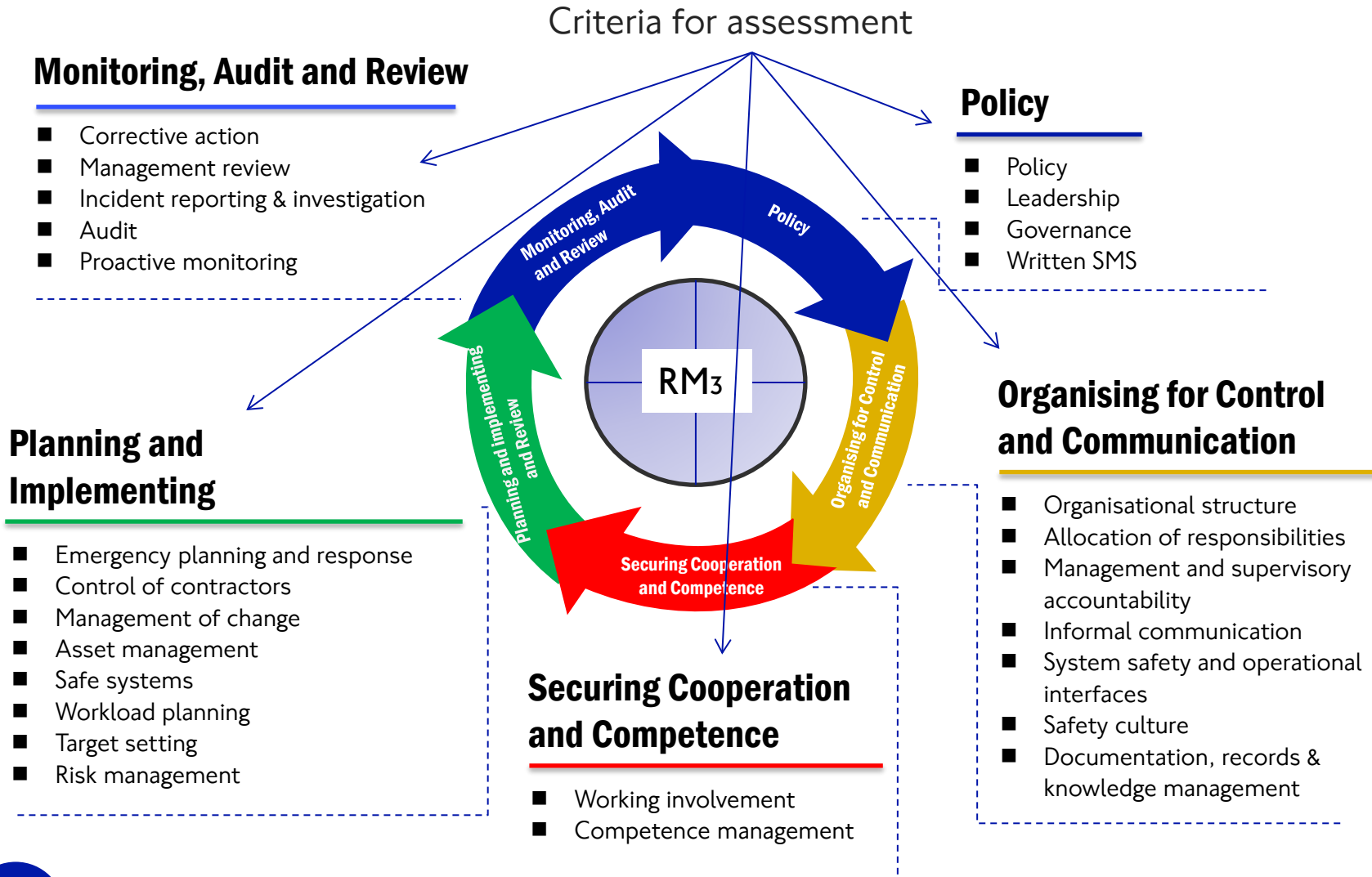
- a) The RM3 assessment model is not an audit. It is not checking compliance with a system or procedures – it is asking whether the system is as good as it can be and whether there are improvement opportunities. The benefit of using a maturity model with defined criteria is that it largely removes subjectivity in identifying improvement actions. Further, because the model assesses at a systems level, it challenges an organisation to look longer term to address root cause barriers to safety improvement.
- b) RM3 covers the 5 key elements of a health and safety management system:
- *policy development,*
  - *organising for control and communication;*
  - *securing the cooperation and competence of employees;*
  - *planning and implementing health and safety arrangements;*
  - *monitoring, auditing and reviewing health and safety outcomes.*

Each element is broken down into further sub-elements (26 in all) which provide more granularity. The full model can be seen in the chart overleaf.

- c) For each of the 26 sub-elements an organisation can achieve one of 5 levels of “attainment”. The level of attainment is determined by comparing how closely an organisation meets the “descriptions” for achievement levels 1 to 5.

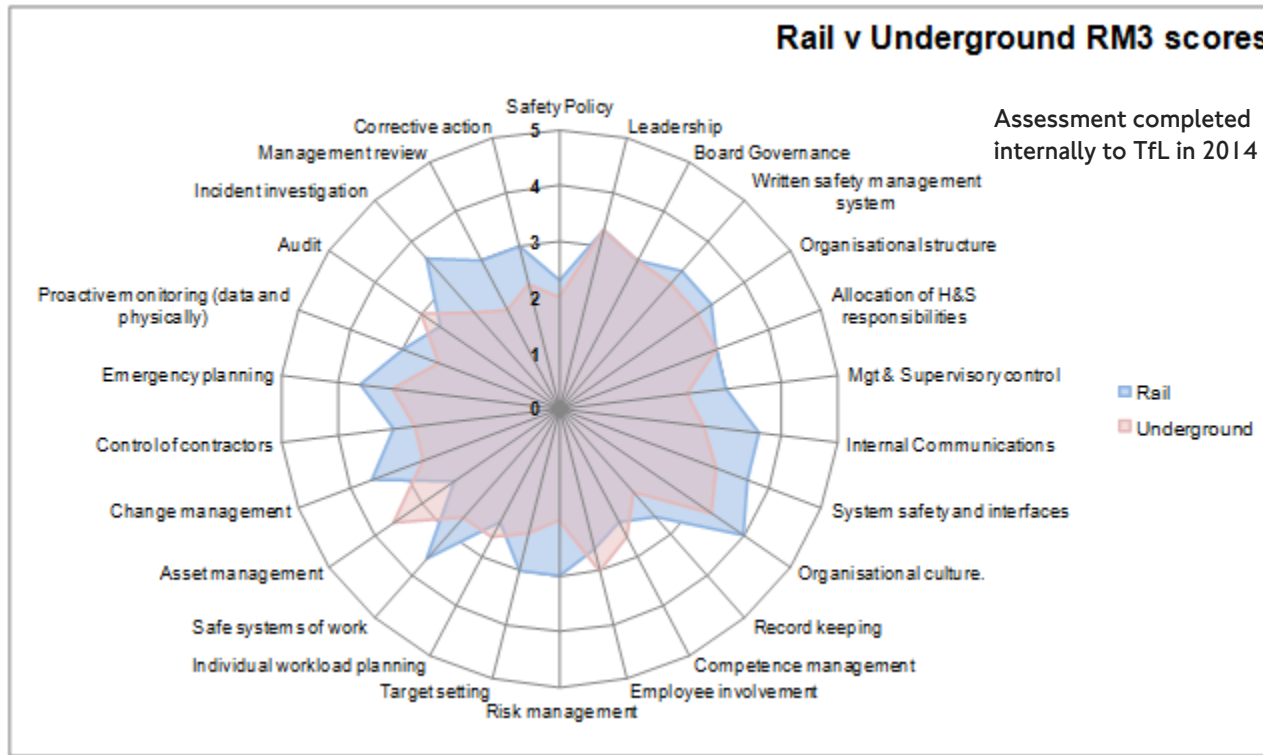


# Component parts of the Risk Management Maturity Model





# Our safety management maturity is sound but not yet excellent



Note: recent assessment of the safety management maturity of Surface Transport Has shown a strong score of 3 using this model.



## Our safety management maturity is sound but not yet excellent

The TfL Commissioner has now set the challenge to achieve ‘Excellence’ in our Safety Management System – the first step of which is to achieve Level 4 maturity as measured by the ORR’s maturity model.

Our strategy to get there will be focused around the following 5 core elements:

- Reducing risk exposure (customers, employees and suppliers/contractors)
- Improving our safety culture – everyone invested in safety performance at all levels of the organisation
- Consistently good performance across all parts of the business (not good in parts)
- Systems to deliver HSE performance which are fully effective but also efficient and lean
- We become a learning organisation alert to trends and “weak signals” indicating where attention is needed. Information is shared



## Actions to improve Safety Management Maturity (RM3) in the HSE Improvement Programme

(Note: delivery governed by the London Underground Executive and the Surface Transport HSE Steering Group)

RM3 element impacted and key issue	Status
<p><b>Supervisory control and risk management at the workplace</b> (Improve levels of front line supervision of safe working practices)</p>	<p>A number of behavioural safety trials are completed – the most recent at Railway Engineering Works. The next step is to implement successful trials across LU (and TfL). <b>Date:</b> starting in 2017-18</p>
<p><b>Risk Assessment</b> The system for identifying required risk controls is very variable across TfL with large number of different systems of variable quality</p>	<p>Work Underway: Comprehensive review of risk assessment processes now complete. <b>Date:</b> proposal for delivery of options for improvement developed to June 2017.</p>
<p><b>HSE Reporting and Target Setting</b> Targets not fully cascade or linked to improvement activity; HSE reports do not “link” between different organisational levels and metric set to be reviewed</p>	<p>Work underway to develop an integrated metric set for use across TfL with lower level HSE report feeding into higher level reports enabling top down and bottom up interrogation. <b>Date:</b> delivering from April 2017 onwards</p>



## Actions to improve Safety Management Maturity (RM3) in the HSE Improvement Programme

RM3 element impacted and action	Status
<p><b>Governance</b> There is no guide to decision making on the roles adopted under the Construction (Design and Management) Regulations</p>	<p>Work underway: a draft algorithm developed to help optimise selection of CDM roles. <b>Date:</b> delivering from April 2017 onwards</p>
<p><b>Assurance</b> The system for assurance of compliance with HSE standards and requirements to be reviewed against good practice elsewhere</p>	<p>Work underway to develop and deploy strengthened risk based “safety plans” to determine activity by managers across LU/TfL to check that key safety requirements are being met in their areas. Also re-developing focussed assurance activity by the HSE team. <b>Date:</b> proposal to be submitted to LU Executive and ST Steering Group in May 2017</p>
<p><b>Competence Management System</b> Strengthen levels of training provided for managers at all levels in managing HSE matters.</p>	<p>Work underway. Revised Training courses developed for Directors and senior managers across TfL; and middle managers and front line supervisors in LU Operations. <b>Date:</b> Directors and Senior Managers training now being delivered. New pan TfL HSE induction now under development. Middle Management HSE Training now under development.</p>



# Spider diagram shows where the main effect of the Improvement Programme will be on RM3 maturity

