

Guidance

G1458

Guidance on the referral process within the Health and Safety Machinery

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Contents

1	Purpose	2
2	Scope	2
3	Guidance	2
4	Flow chart	4
5	Person accountable for the document	5
6	Document history	5
7	References	5

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Page 1 of 5

1 Purpose

This Guidance provides advice to Area Managers and Train Operations Managers on the Tier 1 referral process form within the Health and Safety Machinery.

2 Scope

This Guidance applies to all London Underground operational employees as well as trade union representatives.

3 Guidance

An issue is unresolved where managers and staff are unable to satisfactorily address a concern or item raised at a Tier 1 meeting. When this occurs a [referral form](#) should be completed.

To speed up the process, the form should be, where possible, completed by all parties immediately following the Tier 1 meeting.

Part 1 of the referral form should contain sufficient details for it to be understood by someone who has not been party to the previous discussions at Tier 1, including, where possible, minutes of the relevant meetings.

Part 2 of the referral form should contain additional details relating to the item including what actions have been undertaken by the relevant manager in order to respond to the concern raised.

Best practice recommends that you involve the relevant Performance Manager (PM) in order to achieve support in addressing the concern or item.

The Tier 1 Chair should ensure the form indicates who it is from by ticking one of the following options:

- Health & Safety (H&S) Representatives
- Management
- Joint referral (i.e. management and H&S Reps)

The completed form (and all supporting documentation) should then be sent by the Tier 1 Chair to the relevant Health, Safety and Environment Manager (HSEM), Health & Safety Council Secretary and Trade Union leads. See relevant respective Council [intranet pages](#) for the names of leads.

The HSEM will investigate the issue and complete part 3 of the referral form with their response and reasoning. This may include stating no action is recommended.

The HSEM usually has 7 days to respond and must return the completed form to the colleagues above.

If the issue is unresolved after the intervention and response from the HSEM then the local H&S Representative or Tier 1 Chair must advise the Health & Safety Council Trade Union and Council Secretary that the issue is to be referred to Tier 2.