

Category 1 Standard

S1566 Monitoring health, safety and environmental performance

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1 Purpose

- 1.1 The purpose of this standard is to detail the requirement for monitoring health, safety and environmental performance to ensure compliance with health, safety and environmental arrangements and facilitate continuous improvement.

2 Scope

- 2.1 This standard applies to LU and its suppliers in so much as their risks relate to the operation of LU. The standard includes the development and implementation of health, safety and environmental monitoring regimes and performance indicators, to identify and analyse performance. Details of the arrangements to be adopted within LU regarding Planned General Inspections (PGIs), health, safety and environmental management systems checks, senior management tours and visits and 'What's Wrong' reporting are outlined in Category 5 standards S5567, S5568, S5569 and S5570 respectively.

3 Requirements

3.1 General

- 3.1.1 LU and its suppliers shall monitor their health, safety and environmental management system to ensure compliance, identify performance trends, instigate improvements and identify any further monitoring required.
- 3.1.2 Persons undertaking monitoring activities shall be competent to do so by virtue of their skills, knowledge and experience, relevant to the topics being addressed.
- 3.1.3 The level of monitoring undertaken shall be risk based, taking account of precursors to significant risks, identified through generic and local risk assessments and the LU QRA.
- 3.1.4 Monitoring activities shall be conducted in an appropriate format to capture data regarding condition of premises, effectiveness of systems and management overview of health, safety and environmental performance.
- 3.1.5 Arrangements for monitoring shall detail the following:
- a) What is to be monitored,
 - b) Who is responsible for conducting the monitoring,
 - c) How the monitoring will be carried out (inspection, survey, etc.),
 - d) Where the results will be recorded,
 - e) How long records will be kept, and
 - f) Identification of improvement action and how this will be tracked.
- 3.1.6 The following processes shall be used to generate information to be analysed as part of the monitoring process (non-exhaustive list):
- a) Assessment of risk
 - b) Incident reporting
 - c) Health, safety and environmental auditing
 - d) Incident investigation
 - e) Communication of regulatory notices

- f) CIRAS reporting
- g) Fault reporting
- h) Performance Indicators
- i) Senior management health, safety and environmental inspections
- j) Checks of health, safety and environmental systems
- k) Premises inspections
- l) Consultation with Health and Safety Representatives.

3.1.7 LU and its suppliers shall make available to all employees an alternative means of reporting health, safety and environmental issues in addition to internal reporting procedures.

3.1.8 Actions taken to address the results of monitoring shall be prioritised in terms of their health, safety or environmental implications.

3.2 Health, safety and environmental performance indicators

3.2.1 Health, safety and environmental performance indicators shall be developed to monitor health, safety and environmental performance.

3.2.2 Health, safety and environmental performance indicators shall:

- a) Be relevant to identified risks,
- b) Monitor issues relating to safety improvement plans,
- c) Facilitate the capture of accurate, reliable data,
- d) Reflect the nature of the information that is to be collected,
- e) Address the need for information,
- f) Make use of existing systems where possible, and
- g) Measure performance at a defined frequency.

3.2.3 LU HSE, in conjunction with the Rail and Underground Insight Team, shall establish, develop, maintain and report on corporate safety and environment performance indicators.

3.2.4 LU and its suppliers shall report on safety and environment performance to LU using the applicable performance indicators detailed in this standard (Items 5.2 and 5.3).

3.2.5 Safety and environmental performance indicator information shall be reported as data or results, every three months or within other agreed timescales.

3.2.6 LU and its suppliers shall ensure the data collected relating to safety and environmental performance indicators remains accurate. Where alterations are made to incident data in light of new information or error and the changes will influence the performance indicator's value, the following information shall be recorded and communicated in the next report:

- a) The nature of the change,
- b) The reasons for the change,
- c) The date of the change, and
- d) The effect on the relevant safety performance indicators.

3.2.7 Where new safety and environmental performance indicators are developed, calculations shall commence from the beginning of the financial year, or the results

recalculated retrospectively to the beginning of the year. If sufficient data exists, results for previous years shall be calculated to enable trends to be identified for analysis.

- 3.2.8 Performance indicators shall be developed within LU and its suppliers at the request of LU HSE, and in agreement with the relevant LU Head of HSE, to monitor issues relating to the safe operation of the railway.
- 3.2.9 Any additional local safety and environmental performance indicators developed within LU and its suppliers, to assist in monitoring health, safety and environmental performance, shall meet the criteria outlined in 3.2.2.
- 3.2.10 LU and its suppliers shall report findings of safety and environmental performance indicators to senior management.

3.3 Analysis of information

- 3.3.1 The results of monitoring action undertaken in accordance with this standard shall be analysed and evaluated to identify health, safety and environmental trends, recurrences and root causes.
- 3.3.2 Where targets or benchmarks are set, performance against them shall be recorded and used to set future targets.
- 3.3.3 Conclusions from the analysis of monitoring information shall be communicated to other Railway Group Members where this information is of common interest, LU HSE and Health and Safety Representatives.
- 3.3.4 Where adverse trends are identified through analysis, remedial action shall be implemented and recorded. This may include further monitoring.

3.4 Reporting and communication

- 3.4.1 LU and its suppliers shall report regularly on health, safety and environmental performance to their respective senior management.
- 3.4.2 The incidents reportable to the Health and Safety Executive in compliance with RIDDOR, or RAIB, shall be reported to senior management. Environmental incidents reportable to the Environment Agency or other environmental regulators shall be reported to senior management.
- 3.4.3 LU shall report regularly on health, safety and environmental performance, including significant changes in risk, to the Transport for London Safety and Sustainability Panel.
- 3.4.4 LU Capital Programmes teams shall provide information in accordance with the templates in the HSE Module of Pathway.

4 Responsibilities

- 4.1 All responsibilities in relation to this standard are outlined in section 3.