

Category 5 Standard

S5542 Health, Safety And Environmental Risk Assessment

Issue No.: A3

Issue date: January 2013
Review date: January 2018



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1 Purpose

- 1.1 The purpose of this Standard is to detail the requirements for identifying, assessing and reducing to as low as reasonably practicable (ALARP) the risks to the health and safety of London Underground (LU) employees (permanent and non-permanent) and customers, and the risk of LU's activities on the environment.

2 Scope

- 2.1 This Standard applies to all LU Directorates. It contains the requirements for all Health, Safety and Environmental risk assessments. This includes Workplace Risk Assessments (WRA), Customer Risk Assessments (CRA), New and Expectant Mothers, Young Persons, Medically Restricted Persons, Special Event, Display Screen Equipment (DSE), Hand Arm Vibration (HAV), Whole Body Vibration (WBV), Hazardous substance (CoSHH), Lead, Manual Handling, Occupational Noise exposure, Fire and Environmental risk assessments.
- 2.2 The standard does not set requirements for assessing health, safety and environmental risks as a result of changes or projects, or requirements for maintaining, developing and using the LU Quantified Risk Assessment. These requirements are set out in the LU Category 1 standard 1-526.

3 Requirements

3.1 General

- 3.1.1 All employing managers within LU shall ensure that appropriate risk assessments have been completed for employees (permanent and non-permanent) within their area of responsibility. Group Station Managers and Train Operations Managers shall ensure that CRAs are completed for all areas accessed by customers for which they are responsible.
- 3.1.2 Risk assessments shall be led by a competent assessor, assisted by persons with a thorough knowledge of the location or environment being assessed. Competence is defined in section 3.2.
- 3.1.3 Where Workplace or Topic Specific risk assessments are carried out on behalf of a group of employees, or for a specific job role, they shall be completed in consultation with Health & Safety Representatives. Where a Workplace or Topic Specific risk assessment is completed for an individual, the employee concerned may request the attendance of a Health & Safety Representative.
- 3.1.4 Competent assessors, and those assisting them, shall identify the hazards present and then identify actions to reduce the risks identified by the assessment to ALARP.
- 3.1.5 Employing managers shall make risk assessments available to Health, Safety, Quality and Environment (HSQE) to enable LU to maintain a database of valid risk assessments. Where appropriate, HSQE shall make information available to the whole business to allow sharing of information and best practice.
- 3.1.6 The competent assessor shall complete risk assessments using the approved LU method and paperwork or database for each type of risk assessment.
- 3.1.7 Hazards shall be identified for the following scenarios within the scope:
- a) Normal operation
 - b) Breakdown and failure (degraded operations)
 - c) Emergency situations
 - d) Changes to the working environment (e.g. building works, weather)



e) Risk from third parties

3.1.8 Where Personal Protective Equipment (PPE) and or Respiratory Protective Equipment (RPE) is identified as being required as a mitigating action, the local HSQE team shall advise the employing manager on the most appropriate type of PPE or RPE available. Local Health & Safety Representatives shall be consulted regarding PPE or RPE selection.

3.1.9 Risk assessments shall be reviewed by a competent assessor where there is reason to suspect they are no longer valid, or

- a) Following an accident, significant near hit or regular pattern of similar incidents within a given location (the review should occur within 4 weeks of the event)
- b) Where significant changes have occurred to the workplace, task, employee, or out of third party activities which impact on LU
- c) On completion of all actions on the local action plan
- d) A change in the law
- e) Where the assessment has not been reviewed due to any of the above reasons for three years

If in doubt advice shall be sought from the local Safety, Quality and Environment Adviser (SQEA).

3.1.10 Where employees experience a change in circumstance that may affect their ability to undertake an activity e.g. medical condition or pregnancy, they shall report this to their employing manager who shall arrange for an individual risk assessment to be carried out.

3.1.11 The employing manager shall be accountable for ensuring that the control actions and recommendations from the risk assessment are implemented. If the employing manager does not agree with the recommendations from the assessment, further advice should be sought from the relevant SQEA. The outcome of the discussion should be recorded on the assessment.

3.1.12 Employing managers shall ensure that the most significant risks are reduced to a level that is ALARP and shall prioritise this by addressing those risks classified as high first, followed by medium and low.

3.1.13 Where risks are assessed as being 'high', mitigating action shall be implemented immediately to ensure that risks are reduced to a level that is ALARP.

3.1.14 Risks that are classified as being 'medium' or 'low', shall be reviewed to ensure they are at a level that is ALARP.

3.1.15 Agreed actions, including the name of the person accountable for the action and a date for completion, shall be added to the local action or improvement plan by employing managers.

3.1.16 Action or improvement plans shall be monitored locally through health, safety and environmental system checks, senior management tours and audits.

3.1.17 Where actions are identified that are of a corporate nature, they shall be forwarded to the SQEA for discussion at the Risk Assessment Panel (RAP).

3.1.18 As part of the validation process, the SQEA shall identify where results substantially differ from those completed within similar areas of the business and shall discuss this with the competent assessor to ensure the differences are justifiable. Where the validation requires the risk assessment score to be reviewed, the original assessment team shall be involved in this review.

3.2 Assessor Competence

3.2.1 Risk assessments shall be led by a competent assessor. Competence is defined as a person who has achieved the required level of skills, knowledge and experience as set out in the table below.

Type of risk assessment	Training required to be a competent assessor
Customer Risk Assessment	LU WRA/CRA Lead assessor course and completion of a WRA or CRA which has been validated by a Health, Safety, Quality and Environment (HSQE) Risk Assessment Manager
Display Screen Equipment	LU DSE assessor course
Environment	Internal briefing by HSQE Environment team
Hand Arm Vibration	Topic briefing delivered by the SQE Occupational Hygiene/ Human Factors Adviser and APD Noise & Vibration Team. (National Examination Board in Occupational Safety and Health (NEBOSH) general certificate a prerequisite)
Hazardous Substances	Control Of Substances Hazardous to Health (COSHH) risk assessors course approved by the SQE Occupational Hygiene/ Human Factors adviser, and Syopol training course
Lead	Topic briefing by the SQE Occupational Hygiene/ Human Factors Adviser. (NEBOSH general certificate a prerequisite)
Manual Handling	LU Manual Handling assessor course
Medically Restricted	LU WRA/CRA Lead assessor course and completion of a WRA or CRA which has been validated by a HSQE Risk Assessment Manager
New & Expectant Mothers	LU WRA/CRA Lead assessor course and completion of a WRA or CRA which has been validated by a HSQE Risk Assessment Manager
Occupational Noise	Topic briefing delivered by the SQE Occupational Hygiene/ Human Factors Adviser and APD Noise & Vibration Team. (National Examination Board in Occupational Safety and Health (NEBOSH) general certificate a prerequisite)
Whole Body Vibration	Topic briefing delivered by the SQE Occupational Hygiene/ Human Factors Adviser and APD Noise & Vibration Team. (National Examination Board in Occupational Safety and Health (NEBOSH) general certificate a prerequisite)
Workplace Risk Assessments	LU WRA/CRA Lead assessor course and completion of a WRA or CRA which has been validated by a HSQE Risk Assessment Manager
Young Persons	LU WRA/CRA Lead assessor course and completion of a WRA or CRA which has been validated by a HSQE Risk Assessment Manager

3.2.2 Members of the Noise & Vibration team and the SQE Occupational Hygiene/ Human Factors adviser are also competent to undertake hand arm vibration, whole body vibration and Occupational noise risk assessments.

3.2.3 Training shall include the following information:

- Relevant regulations
- Hazard identification
- Risk rating
- Identification of mitigating factors
- Other relevant sources of information e.g. Health and Safety Executive (HSE) guidance
- Limitations of competence
- LU risk assessment methods



3.2.4 Where the competent assessor requires further advice or information, they shall contact their SQEA or LU Occupational Health (LUOH).

3.2.5 The HSQE Safety Risk Assessment Team shall maintain a register of competent assessors.

3.3 Communication of Findings

3.3.1 The output of completed risk assessments shall be communicated to the employing manager who shall:

- a) Agree the actions and how they will be implemented with the assessor
- b) Refer those actions to an accountable person

3.3.2 A summary of the most significant risks to employees and the resulting action or improvement plan shall be communicated to the Health & Safety Representatives via Tier 1 meetings or equivalent, and local safety champions. A summary of the most significant risks to customers must also be communicated to employees.

3.3.3 A summary of the most significant health and safety risks shall be made available to employees via the health and safety notice boards and included within local induction.

3.3.4 HSQE shall communicate significant trends and findings from risk assessments to senior management and shall review significant findings from workplace risk assessments with the appropriate health and safety councils.

3.4 Record Keeping

3.4.1 All risk assessments shall be stored in line with the Transport for London (TfL) corporate records disposal schedule: Health and Safety.

3.4.2 Where Occupational Hygiene measurements have been taken to assist with a risk assessment the competent assessor shall send them to the Occupational Hygiene / Human Factors adviser who shall store them for a minimum period of 7 years.

3.4.3 Where an assessment has been completed specifically for an individual, a copy of the assessment shall be retained on the employee's local personal file.

3.4.4 Where LUOH identify the need for health surveillance, records for surveillance carried out locally by a trained and responsible person shall be kept in the individual's personal file for the entire time they are in employment and 7 years thereafter. It is a good practice to offer employees a copy of their health record when they leave employment.

3.4.5 Health surveillance records for surveillance carried out by LUOH shall be kept on the individuals Occupational Health medical record for the entire time of employment and 40 years thereafter.

3.4.6 Occupational Health memo notes regarding health surveillance are sent to the employing manager and shall also be kept in the individuals personnel file for the entire time they are in employment.

3.5 Workplace Risk Assessment (WRA)

3.5.1 WRAs shall be prepared, identifying the activities and locations to which the WRA will apply. This shall be done by the competent assessor in line with 3.1.2 and 3.1.3.

3.5.2 WRAs shall reflect the characteristics of an 'average' member of staff.

3.5.3 HSQE shall maintain a list of activities which shall be used to identify activities conducted in the workplace being assessed. This list will be maintained in a central

database which shall be available on the LU intranet. Tasks associated with each activity shall be listed here also. Where required, this list can be amended by HSQE for each assessment to make it applicable to the relevant location.

- 3.5.4 The competent assessor shall communicate any new work activities or tasks identified through the WRA process to their SQEA who will in turn communicate this to a HSQE Safety Risk Assessment Manager who shall amend the list if appropriate.
- 3.5.5 Hazards and controls shall be identified from an inspection of the workplace and selected from the lists available in the central database or in the WRA guidance note (G1027) on the LU intranet. Further detail of the hazard shall be recorded in the risk assessment and a description provided of how the hazard could occur, any location specific issues and any role specific issues.
- 3.5.6 Existing risk control measures shall be identified and recorded using the list located on the LU intranet. Additional descriptions shall be provided where this assists understanding.
- 3.5.7 Where hazards or controls are identified that are not on the central database or in the WRA guidance note (G1027) on the LU intranet, the competent assessor shall communicate these to an SQEA who shall in turn communicate these to an HSQE Safety Risk Assessment Manager who shall review the list.
- 3.5.8 Risks shall be evaluated in terms of:
- a) Whether a single or multiple persons are most likely to be harmed should the hazard be realised
 - b) Severity – what is the most likely level of harm should the hazard be realised, and
 - c) Likelihood – how often is this likely to occur to an individual from the most affected group
- 3.5.9 When estimating the above, the experience of the assessment team, incident records, previous assessments, or similar information shall be used in determining realistic values for severity and likelihood. Existing controls shall be identified and recorded using the information on the central database. Additional descriptions shall be provided where this assists understanding.
- 3.5.10 Details for scoring likelihood and severity shall be available in the guidance note (G1027) on the LU intranet.
- 3.5.11 The matrices for risk assessment scoring shall be available in the guidance note (G1027) on the LU intranet.
- 3.5.12 LU persons particularly at risk from a hazard e.g. apprentices or first aiders, shall be recorded on the assessment. Specific controls relating to those persons shall also be identified and recorded.
- 3.5.13 Non-LU persons and other factors e.g. property damage or service loss, affected by the risks shall also be identified and included on the assessment (a list can be found in guidance note G1027 on the LU intranet).
- 3.5.14 Where WRAs identify hazards relating to the topic specific risks, additional topic specific risk assessments shall be completed in accordance with legislation and the relevant section detailed later in this standard. Advice on topic specific risk assessments should be sought from an SQEA.
- 3.5.15 The competent assessor shall enter the findings of the WRA on the central database which is accessed via the LU intranet.

- 3.5.16 To complete the WRA, the relevant SQEA shall validate the assessment when they are satisfied that it is an accurate assessment of the risks.
- 3.5.17 The validation process checks that risks have been correctly identified and assessed, the right people have been involved and that the process is consistent.
- 3.5.18 Employing managers shall use the central database to produce a summary of the most significant risks and their controls for their area of responsibility. Refer to section 3.3.2 and 3.3.3.
- 3.5.19 The summary of the most significant risks shall include the ten highest risks and all high and medium risks for all the activities assessed.

Note: References to the Rule Book in archived risk assessments in the central database which predate 31st May 2007 should be considered to read 'Working Reference Manual'.

3.6 Customer Risk Assessment (CRA)

- 3.6.1 CRAs shall cover the stages of a customer's journey in the form of a 'walkthrough' along the routes taken.
- 3.6.2 HSQE shall maintain a list of customer stages of journey in the form of a 'walkthrough' along the routes taken. This list will be maintained in a central database, or in the CRA guidance note (G1028), which shall be available on the LU intranet and shall be used to identify stages of a customer's journey being assessed. Where required, this list can be amended by HSQE for each assessment to make it applicable to the relevant location.
- 3.6.3 Where stages of the journey are identified that are not on the central database, or in the CRA guidance note (G1028) on the LU intranet, the competent assessor shall communicate these to their SQEA who shall in turn communicate these to a HSQE Safety Risk Assessment Manager.
- 3.6.4 Hazards and controls shall be identified for each stage of the journey from an inspection of the area and selected from the lists available in the central database, or in the CRA guidance note (G1028) on the LU intranet. Further detail of the hazard shall be recorded and a description provided of how the hazard could occur and any location specific issues.
- 3.6.5 Existing risk control measures shall be identified and recorded using the list located on the LU intranet. Additional descriptions shall be provided where this assists understanding.
- 3.6.6 Where hazards or controls are identified that are not on the central database, or in the CRA guidance note (G1028) on the LU intranet, the competent assessor shall communicate these to an SQEA who will in turn communicate this to a HSQE Safety Risk Assessment Manager who shall review the list.
- 3.6.7 Risks shall be evaluated in terms of:
- a) Whether a single or multiple persons are most likely to be harmed should the hazard be realised
 - b) Severity – what is the most likely level of harm should the hazard be realised, and
 - c) Likelihood – how often is this likely to occur to an individual from the most affected group