

# Agenda

**Meeting: Safety, Sustainability and Human Resources Panel**

**Date: Wednesday 30 June 2021**

**Time: 10:00**

**Place: Teams Virtual Meeting**

## Members

Kay Carberry CBE (Chair)

Dr Nina Skorupska CBE (Vice-Chair)

Cllr Julian Bell

Bronwen Handyside

Dr Mee Ling Ng OBE

Mark Phillips

Copies of the papers and any attachments are available on [tfl.gov.uk How We Are Governed](https://tfl.gov.uk/How-We-Are-Governed)

## How decisions will be taken during the current social distancing measures

The 2020 regulations that provided the flexibility to hold and take decisions by meetings held using videoconference expired on 6 May 2021.

While social distancing measures remain in place to manage the coronavirus pandemic, Members will attend a videoconference briefing held in lieu of a meeting of the Panel. Any decisions that need to be taken within the remit of the Panel will be discussed at the briefing and, in consultation with available Members, will be taken by the Chair using Chair's Action. A note of the decisions taken, including the key issues discussed, will be published on [tfl.gov.uk](https://tfl.gov.uk).

As far as possible, TfL will run the briefing as if it were a meeting but without physical attendance at a specified venue by Members, staff, the public or press.

- Papers will be published in advance on [tfl.gov.uk How We Are Governed](https://tfl.gov.uk/How-We-Are-Governed)
- Apart from any discussion of exempt information, the briefing will be webcast live for the public and press on [TfL's YouTube channel](https://www.youtube.com/channel/UCtfl).
- A guide for the press and public on attending and reporting meetings of local government bodies, including the use of film, photography, social media and other means is available on [www.london.gov.uk/sites/default/files/Openness-in-Meetings.pdf](https://www.london.gov.uk/sites/default/files/Openness-in-Meetings.pdf)

## **Further Information**

If you have questions, would like further information about the meeting or require special facilities please contact: James Varley, Secretariat Officer, 020 7983 4613; email: JamesVarley@TfL.gov.uk.

For media enquiries please contact the TfL Press Office; telephone: 0343 222 4141; email: [PressOffice@tfl.gov.uk](mailto:PressOffice@tfl.gov.uk)

Howard Carter, General Counsel  
Tuesday 22 June 2021

**Agenda  
Safety, Sustainability and Human Resources Panel  
Wednesday 30 June 2021**

**1 Apologies for Absence and Chair's Announcements**

**2 Declarations of Interests**

General Counsel

**Members are reminded that any interests in a matter under discussion must be declared at the start of the meeting, or at the commencement of the item of business.**

**Members must not take part in any discussion or decision on such a matter and, depending on the nature of the interest, may be asked to leave the room during the discussion.**

**3 Minutes of the Meeting of the Panel held on 10 February 2021 (Pages 1 - 10)**

General Counsel

**The Chair, following consultation with the Panel is asked to approve the minutes of the meeting of the Panel held on 10 February 2021.**

**4 Matters Arising and Actions List (Pages 11 - 14)**

General Counsel

**The Panel is asked to note the updated actions list.**

**5 Rail Safety - Presentation by the Office of Rail and Road (Pages 15 - 34)**

Chief Safety, Health and Environment Officer

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

**6 Quarterly Safety, Health and Environment Performance Report** (Pages 35 - 94)

Chief Safety, Health and Environment Officer

**The Panel is asked to note the report.**

**7 Rental E-scooter Trial June 2021 - June 2022** (Pages 95 - 168)

Chief Safety, Health and Environment Officer / Managing Director, Surface Transport

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

**8 Work-related Violence and Aggression Strategy - 2021/22 Delivery Action Plan** (Pages 169 - 182)

Director of Compliance, Policing, Operations and Security

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

**9 Human Resources Quarterly Report** (Pages 183 - 196)

Chief People Officer

**The Panel is asked to note the report.**

**10 TfL New Ways of Working** (Pages 197 - 206)

Chief People Officer

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

**11 Responsible Procurement** (Pages 207 - 284)

Chief Finance Officer

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

**12 Enterprise Risk Update - Major Safety, Health or Environmental Incident or Crisis (ER1) (Pages 285 - 288)**

Chief Safety, Health and Environment Officer

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

**13 Enterprise Risk Update - Protecting the Wellbeing of TfL's Workforce (ER2) (Pages 289 - 290)**

Chief People Officer

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

**14 Members' Suggestions For Future Discussion Items (Pages 291 - 296)**

General Counsel

**The Panel is asked to note the forward plan and invited to raise any suggestions for future discussion items.**

**15 Any Other business the Chair Considers Urgent**

**The Chair will state the reason for urgency of any item taken.**

**16 Date of Next Meeting**

Tuesday 14 September 2021 at 10.00am

**17 Exclusion of Press and Public**

**The Panel is recommended to agree to exclude the press and public from the meeting, in accordance with paragraph 3 of Schedule 12A to the Local Government Act 1972 (as amended), in order to consider the following items of business.**

**18 Enterprise Risk Update - Major Safety, Health or Environmental Incident or Crisis (ER1) (Pages 297 - 314)**

Exempt supplemental information relating to the item on Part 1 of the agenda.

**19 Enterprise Risk Update - Protecting the Wellbeing of TfL's Workforce (ER2)** (Pages 315 - 328)

Exempt supplemental information relating to the item on Part 1 of the agenda.

## Transport for London

### Minutes of the Safety, Sustainability and Human Resources Panel

#### Teams Virtual Meeting 10.00am, Wednesday 10 February 2021

##### Members

Kay Carberry CBE (Chair)  
Dr Nina Skorupska CBE (Vice Chair)  
Cllr Julian Bell  
Dr Mee Ling Ng OBE  
Mark Phillips

##### Executive Committee

Howard Carter	General Counsel
Graeme Craig	Director of Commercial Development
Vernon Everitt	Managing Director, Customer, Communications and Technology (for Items 14 and 19)
Lilli Matson	Chief Safety, Health and Environment Officer
Gareth Powell	Managing Director, Surface Transport (for Items 5 and 6)
Alex Williams	Director, City Planning
Tricia Wright	Chief People Officer

##### Staff

Carole Bardell-Wise	Crossrail Health, Safety, Quality and Environment Director (for Item 7)
George Clark	Director of TfL Engineering
Katherine Drayson	Principal City Planner (for Item 11)
Jonathan Fox	Director of Rail and Sponsored Services (for Item 6)
Jane Leaker	Head of Employee Communications and Engagement (for Item 13)
Jane Lupson	Senior Bus Safety Development Manager (for Items 8 and 9)
Ben Plowden	Director, COVID-19 Restart and Recovery Programme (for Items 14 and 19)
Stuart Reid	Head of Insights and Direction
David Rowe	Head of Investment Delivery Programmes - Major Projects (for Item 8)
Mike Shirbon	Head of Integrated Assurance
Tom Sutton	HR Communications Manager (for Item 13)
Derek Wilson	Senior Sustainable Property Development Manager (for Item 10)
James Varley	Secretariat Officer

##### Also in attendance

Peter Daw	Assistant Director, Environment and Energy, Greater London Authority
Andrew Mellor	Managing Director, Non-Franchise Businesses at FirstGroup plc

## **01/02/21 Apologies for Absence and Chair's Announcements**

The Chair welcomed everyone to the meeting. TfL's meetings now fell within the Flexibility of Local Authority Meetings Regulations 2020. Due to a technical issue, it was not possible to webcast the meeting live on the TfL YouTube channel and a recording would be made available as soon as possible.

An apology for absence had been received from Bronwen Handyside. Andy Lord was not available for the meeting, and George Clark was attending in his place. Gareth Powell was attending for part of the meeting, and Jane Lupson and David Rowe would deputise for him for the remainder of the meeting.

The Chair reminded those present that safety was paramount to TfL and encouraged Members to raise any safety issues during discussions on a relevant item or with TfL staff after the meeting. Members confirmed there were no safety matters they wished to raise, other than those to be discussed on the agenda.

## **02/02/21 Declarations of Interests**

Members confirmed that their declarations of interests, as published on [tfl.gov.uk](http://tfl.gov.uk), were up to date and there were no interests that related specifically to items on the agenda.

## **03/02/21 Minutes of the Meeting of the Panel held on 4 November 2020**

**The minutes of the meeting of the Panel held on 4 November 2020 were approved as a correct record.**

## **04/02/21 Matters Arising and Actions List**

The Chief Inspector of Railways had been invited to the next meeting of the Panel.

George Clark would provide an update on the Chiltern Railways incident as part of the Safety, Health and Environment Quarterly Report.

**The Panel noted the Actions List.**

## **05/02/21 Operational Incidents on the Tram Network: August - October 2020**

Gareth Powell and Jonathan Fox introduced the paper, which set out the recent safety incidents on the Tram network, the status of the investigations and the follow up actions. Andy Mellors, Managing Director, Non-Franchise Businesses at FirstGroup plc, also took questions from the Panel.



Three operational incidents had taken place on the network at:

- New Addington on 5 August 2020 – two trams had entered a single line section;
- Mitcham on 14 September 2020 – a tram failed to stop at the tram stop; and
- Addiscombe on 21 October 2020 – a slow speed derailment of an empty tram.

TfL, though London Trams was responsible for the maintenance of the tram network and operation of the trams was the responsibility of FirstGroup through its subsidiary, Tram Operations Limited (TOL). Safety was overseen by the Office of Rail and Road (ORR) as regulator.

TOL stated that it took its responsibilities very seriously, its commitment to safety was unwavering and was a core value to the company. TOL and TfL outlined that they have worked together to improve safety and had seen significant improvements.

TOL had undertaken its own investigations into all incidents, in addition to the external investigation commissioned with TfL. It is working with TfL to develop a Joint Safety System Plan which has been reviewed by the ORR.

The Commissioner had informed the TfL Board of the incidents. Although no one had come to harm, it had been possible in at least one of the incidents and the Commissioner and Board took the situation very seriously.

TOL had subsequently undertaken a review of incidents over the previous five years and a number of incidents had been identified as appropriate for a more immediate reporting to the ORR.

It was acknowledged that timeliness was key to effective reporting and actions. Making staff aware of incidents as soon as they happened would increase their vigilance.

The Panel emphasised the need for the operator to be able to provide reassurance to the public that the system was as safe as it could be.

A further update would be given at the next Panel meeting. **[Action: Gareth Powell]**

**The Panel noted the paper.**

## **06/02/21 Quarterly Safety, Health and Environment Performance Report**

Lilli Matson, George Clark and Gareth Powell introduced the report, which provided an overview of safety, health and environmental performance for London Underground, TfL Rail, Surface Transport (including London Overground) and Crossrail for Quarter 3 2020/21 (20 September – 12 December 2020).

As of 10 February 2021, 76 transport workers had lost their lives to COVID-19. TfL continued to work hard to support all those affected by the pandemic. Members and staff present offered their condolences to the families of those who had lost their lives.

The Customer Injury Rate had declined and was at the lowest rate for the last five quarters.

Customer injuries on buses remained stable and at a similar level to the previous quarter. On London's roads, 28 people had been killed and 823 seriously injured during the quarter. Against the background of reduced road usage due to the coronavirus pandemic, the overall road risk had increased.

Workforce injury rates had not changed significantly since the previous quarter. Slips, trips and falls and non-compliance with Safety, Health and Environment regulations remained the biggest issues.

The quarter had seen an increase in ridership and a 20 per cent decrease in work-related violence and aggression offences. Body worn cameras were being rolled out to staff and feedback on this had been positive, with it providing a deterrent effect in some situations, as well as being a tool for prosecutions and training. TfL took violence and aggression against its staff seriously and ensured staff were given appropriate support and were provided with information on follow up actions and prosecutions.

Further information on days lost to general sickness and COVID-19 would be provided to Mark Phillips. **[Action: Lilli Matson]**

Planning was underway to manage risk as lockdown restrictions were eased. The impact was dependent on how the changes took place. The re-opening of schools would impact on buses, and service provision was the main factor, with plans for school children only buses to be available on high frequency routes as well as increasing capacity with additional vehicles. The aim was safe transport for all those that needed it.

London Underground's (LU) aim was to maximise the services it could provide by running as many trains as possible. It had the ability to monitor the performance levels and measure the impact of any issues. Consideration was being given as to how to implement any changes to social distancing guidelines and how travel demand management would be used.

Pedestrian numbers in central London were still low and they were not expected to increase at the same rate as other modes. The situation could be monitored, and actions could be taken in areas that experienced high pedestrian flows.

Updates on the management of risk as lockdown restrictions were eased would be provided in future quarterly updates to the Panel.

**The Panel noted the report.**

## **07/02/21 Elizabeth Line Safety Update**

Carole Bardell-Wise introduced the paper, which provided an update on Elizabeth line health and safety matters, following a request at the meeting of the Board on 9 December 2020.

The governance of the Crossrail project transferred to TfL on 1 October 2020. As part of that governance transfer, an objective was agreed that there would be no interruption to the "Target Zero" world class safety management system.

The next key stage of the project was the introduction of Trial Running which would see a change in the risk profile as it moved from a construction environment to an operational environment. The new focus was on electrical safety, safe and controlled access to the railway, culture and safe behaviour.

Should an incident occur, processes and procedures existed to ensure a thorough investigation took place. The relevant client team would establish an investigation and would bring together technically competent people to carry out the work. Information sharing and improvement were key parts of a rigorous and systemic approach. It was noted that the Crossrail Health and Safety team is organisationally distinct from the TfL Safety, Health and Environment directorate, however resources and learnings are regularly shared.

Further updates would be provided on a regular basis to future meetings of the Panel.

**The Panel noted the report.**

## **08/02/21 Bus Driver Welfare**

David Rowe introduced the paper, which provided an update on workstreams in progress to improve the provision of toilets and bus driver welfare facilities.

In 2018, a target of providing permanent toilets on 42 priority routes by the end of March 2020 was set. This had been exceeded and facilities for 50 routes had been delivered. In addition, a further 10 facilities had been delivered on routes which had been subject to change.

The coronavirus pandemic had brought new challenges as temporary facilities had been introduced at locations where they were previously supplied by third parties. Welfare facilities such as mess rooms had also been reviewed to ensure that they were fit for purpose in the current public health environment.

A longer-term prioritised plan to improve bus driver mess rooms and toilets had been developed. The locations had been prioritised based on known defects, condition and required capacity. Five sites had been reviewed, a further five sites were due to be reviewed by the end of March 2021 and another 27 locations were commencing feasibility work in April 2021.

**The Panel noted the report.**

## **09/02/21 Bus Safety Programme and Driver Health and Wellbeing**

Jane Lupson introduced the paper, which provided an update on the progress of the Bus Safety Programme and the emerging work on driver health and wellbeing, in response to the longer-term recommendations made by University College London's (UCL's) Phase 1 report into driver deaths as a result of the coronavirus pandemic.

Work was taking place to assess how aspects of the Bus Safety Standard could be applied to buses already in operation through the retrofitting of suitable safety features. This involved looking at routes with greatest risk levels to maximise the benefits of improvements.

Fatigue management continued to be a focus of work. The Fatigue Innovation Fund had been temporarily suspended due to the coronavirus pandemic and would be relaunched in the near future, with a wider remit to consider staff wellbeing. Fatigue management training for managers was being rolled out, with 350 managers having attended workshops. Managers were being empowered to act and create a more open culture to manage fatigue.

Bus operators were being supported in the use of new fatigue detection technology to drive forward the understanding of the extent of fatigue related issues.

The report by the UCL's Institute of Health Equity highlighted the need to focus on the health and wellbeing of drivers in the longer term. It was noted that activities at local level were taking place and sharing best practice should take place.

Slips, trips and falls on buses had increased over the summer. Measures including non-slip surfaces and encouraging the use of handrails were in place to mitigate risk, and these were being monitored to assess their effectiveness. Members suggested that changes to patterns of behaviour of drivers and customers may have a positive effect, such as drivers could let the bus remain stationary until all customers had sat down and customers could be encouraged to remain seated until the bus came to a stop.

Some of the increase in incidents could be attributed to customers reluctance to use handrails due to concerns over coronavirus transmission. Buses were subject to rigorous hygiene standards and there was no evidence of transmission from buses, however customer perception was the key factor and the availability of sanitising gel on buses presented additional risk due to spillage. The Panel would be provided with an update at a future meeting. **[Action: Gareth Powell]**

The measures to protect drivers from coronavirus were monitored and further mitigations were being explored. Research on the bus driver deaths had shown that non-occupational health factors such as age, ethnicity and underlying health conditions were the key factors.

**The Panel noted the report.**

## **10/02/21 Sustainability in TfL Buildings**

Graeme Craig and Derek Wilson introduced the paper, which set out the Commercial Development (CD) directorate's activity in relation to sustainability in TfL's property development portfolio.

Sustainable development was entirely linked to commercial success and access to funding depended on being able to demonstrate sustainability. It was acknowledged that external commercial funding would become more important for commercial activity going forward and discussions had taken place with the Greater London Authority and Government to understand the future direction. CD was using a data led approach and had set up a Sustainability Advisory Group to access wider industry expertise. It was also using expert advisers on specific workstreams.

The Sustainable Development Framework (SDF) comprised multiple dimensions and core key performance indicators that would allow it to address various sustainability

requirements and aspirations. Experience and learning would be applied across the TfL estate and greater levels of external engagement would take place. The SDF would be launched later in the year and Members would be updated on progress in due course.

**[Action: Graeme Craig]**

**The Panel noted the report.**

## **11/02/21 TfL Carbon Reduction Priorities**

Alex Williams, Sam Longman and Lilli Matson introduced the paper, which provided an update on TfL's work and future priorities on carbon reduction.

In the last year, TfL had agreed to launch a procurement process for new Power Purchasing Agreements to deliver increased levels of zero carbon energy, overseen the largest electric bus fleet in Europe, and introduced a total of 300 rapid charging points in London. The expectation for the future was more ambitious and a major task was to continue to tackle road traffic emissions through mode shift.

Plans to electrify the bus fleet by 2030 remain challenging and discussions would be taking place with Government concerning the funding strategy.

Opportunities existed in reducing infrastructure carbon and TfL was setting an organisational goal and developing a carbon calculator for early stage assessment and optioneering of major projects.

The Corporate Environment Plan was currently under development with the aim of being published later in the year.

The Panel members welcomed the progress to date, and it was agreed that a more ambitious approach should be taken to drive the zero-carbon agenda. TfL was engaging with the Department for Transport on areas outside its direct control, such as aviation, and recognised that collaborative working and the circular economy were essential parts of future planning to achieve zero emissions transport.

Officers were engaging with the Department of Transport on its work on Carbon in Aviation.

**The Panel noted the report.**

## **12/02/21 Human Resources Quarterly Report**

Tricia Wright introduced the item, which provided an overview on key Human Resources led activities and statistics for Quarter 3 2020/21 (20 September – 12 December 2020).

The Viewpoint staff survey results had been released and total engagement had increased to 62 per cent.

TfL had supported colleagues and their families throughout the coronavirus pandemic and ensured families of staff had access to the Employee Assistance Programme. Line managers had access to support and guidance for staff. The Occupational Health and Wellbeing team was providing mental health support and had partnered with Able

Futures, which offered a free nine-month mental health support service with practical help from a mental health professional.

The Diversity and Inclusion team had facilitated over 100 Listening Sessions which created a safe space for employees to share experiences of inequality. Tricia Wright would be personally leading some sessions within the Faith Staff Network.

The Recruitment team had successfully implemented new, bespoke anonymous recruitment software and Members would receive a briefing note on its operation.

**[Action: Tricia Wright]**

The Graduate and Apprentice recruitment schemes had been paused in April 2020 due to the coronavirus pandemic and had been restarted, with delayed start dates in January and April 2021. The Steps into Work programme was also paused but had also been restarted.

Work was being undertaken to progress the New Ways of Working project. A paper on the risk management of the plans and implementation was presented later on the agenda for the meeting.

TfL was actively involved in testing, monitoring and the promotion of the national Covid-19 vaccination programme across its staff.

Members welcomed the work done by the Human Resources directorate against the challenges that had been created by the coronavirus pandemic.

**The Panel noted the report.**

## **13/02/21 TfL Viewpoint Survey Results 2020**

Tricia Wright, Tom Sutton and Jane Leaker introduced the item, which set out the results of the 2020 Viewpoint staff engagement survey.

The Total Engagement Score had increased to 62 per cent, with increases in all the underlying Engagement Scores. It was noted that the highest favourable feedback came from staff who had been on furlough and demonstrated that people had appreciated the support they received.

There were some staff in Dial-a-Ride and the London Transport Museum who were not working at the moment and consideration was being given as to how they could be redeployed.

Priorities had been drawn up for the People Vision, and extensive engagement with staff and the trade unions would be taking place to give clarity on the vision.

The Board would be informed of any opportunities and actions that could require its input and assistance.

**The Panel noted the report.**

## **14/02/21 Enterprise Risk Update – Inability to support new ways of working (ER10)**

Vernon Everitt and Ben Plowden introduced the item, which provided an overview of the risk of the inability to support new ways of working, focussing on technology, people and facilities. The risk was defined with input from Human Resources, Technology and Data, Safety, Health and Environment, Estates and the Transformation team, who had set up a “New Ways of Working” programme with input from the key internal stakeholders across TfL.

The risk, as defined, applied to office-based employees. Surface Transport and London Underground handled risk for their non-office based staff.

The coronavirus pandemic had accelerated the need to accommodate a hybrid way of working, and addressing matters such as disconnectedness, isolation and wellbeing. As work patterns had changed, so too had the challenges such as childcare, provision of training, access to local office hubs and equality impacts, and these were captured in the risk analysis. The changing public health environment needed to be factored into planning, where staff who had travelled abroad may be required to quarantine in non-home locations. It was noted that information security requirements in the home environment need further development. Work also had to take place to manage peaks and troughs in demand for office space during the working week. The aim was to be able to understand and provide an appropriate level of support to staff in a new working environment.

**The Panel noted the paper and the supplementary information on Part 2 of the agenda.**

## **15/02/21 Members' Suggestions for Future Discussion Items**

Howard Carter introduced the item.

Sustainability in TfL Buildings would become a bi-annual standing item.

**The Panel noted the paper.**

## **16/02/21 Any Other Business the Chair Considers Urgent**

There was no urgent business.

## **17/02/21 Date of Next Meeting**

The next scheduled meeting of the Panel would be held on Wednesday 30 June 2021 at 10.00am.

## **18/02/21 Exclusion of the Press and Public**

The Panel agreed to exclude the press and public from the meeting, in accordance with paragraph 3 of Schedule 12A to the Local Government Act 1972 (as amended), when it considered the exempt information in relation to the item on: Enterprise Risk Update - Inability to support new ways of working (ER10).

## **19/02/21 Close of Meeting**

The meeting closed at 2.00pm.

Chair: \_\_\_\_\_

Date: \_\_\_\_\_



**Date:** 30 June 2021

**Item:** Actions List

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### **This paper will be considered in public**

#### **1 Summary**

1.1 This paper informs the Panel of progress against actions agreed at previous meetings.

#### **2 Recommendation**

2.1 **The Panel is asked to note the Actions List.**

#### **List of appendices:**

Appendix 1: Actions List

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

Minutes of previous meetings of the Panel

Contact Officer: Howard Carter, General Counsel  
Email: [HowardCarter@tfl.gov.uk](mailto:HowardCarter@tfl.gov.uk)

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## Safety, Sustainability and Human Resources Panel Actions List (reported to the meeting on 30 June 2021)

### Actions from the meeting held on 10 February 2021

Minute No.	Description	Action By	Target Date	Status/note
05/01/21	<b>Operational Incidents on the Tram Network: August - October 2020</b> An update on progress to be given at the next Panel Meeting.	Gareth Powell	30 June 2021	Information included in Item 5 – Quarterly Safety, Health and Environment Report.
06/02/21	<b>Quarterly Safety, Health and Environment Performance Report – Staff sickness information</b> Further information on days lost to general sickness and COVID-19 would be provided to Mark Phillips.	Lilli Matson	11 February 2021	Completed. Information sent on 11 February 2021.
09/02/21	<b>Bus Safety Programme and Driver Health and Wellbeing</b> The next update to include further information on encouraging use of handrails and safer behaviours on buses.	Gareth Powell	14 September 2021	To be included in Bus Safety Update.
10/02/21	<b>Sustainability in TfL Buildings</b> The Panel would be updated on the Sustainable Development Framework (SDF) after its launch.	Graeme Craig	Autumn 2021	Updated to be provided after the launch of the SDF in the autumn.
12/02/21	<b>Human Resources Quarterly Report</b> Members to receive a briefing note on the anonymous recruitment software.	Tricia Wright	12 February 2021	Completed. Note sent to all Board Members on 12 February 2021.

**Outstanding actions from previous meetings**

<p><b>53/11/20 (1)</b></p>	<p><b>Diversity and Inclusion Update – Anti-racist charter</b>                  An Anti-Racist Leadership Charter was being drafted and would be shared with Members in due course.</p>	<p>Tricia Wright</p>	<p>28 May 2021</p>	<p>Completed. Information circulated on 28 May 2021.</p>
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**Date: 30 June 2021**

**Item: Rail Safety – Presentation by the Office of Rail and Road**

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**This paper will be considered in public**

## **1 Purpose**

- 1.1 The attached presentation provides an overview of the role of the Office of Rail and Road, it's current views on safety regulation in TfL during the last year, and it's current areas of focus.
- 1.2 The presentation will be given by Ian A. Skinner, HM Assistant Chief Inspector of Railways, and Catherine Hui, HM Principal Inspector of Railways.

## **2 Recommendation**

- 2.1 **The Panel is asked to note the report and presentation.**

### **List of appendices:**

Appendix 1 – Presentation

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

None

Contact Officer: Lilli Matson, Chief Safety, Health and Environment Officer  
Email: [lillimatson@tfl.gov.uk](mailto:lillimatson@tfl.gov.uk)

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# Rail Safety

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Presentation to the TfL Safety, Sustainability and HR Panel  
Ian A Skinner, HM Asst Chief Inspector of Railways

# Structure of Presentation

- What is ORR
- ORR's view on safety regulation in 2020/21
- ORR's areas of focus 2021 /22





# What is ORR?

The combined independent regulator for the rail industry (+roads)



## ORR

- ~ 320 strong - £38m 2021/22:
  - Railway Health and Safety Regulation approx. 170 FTE
  - Six offices across GB
  - Dedicated team for TfL railways

# ORR's vision for GB's Railways

*Zero industry-caused fatalities,  
with an ever-decreasing risk to passengers, workforce, and public*

- Achieved through 'excellence' in
  - *Health and safety management – Risk Management Maturity Model (RM3)*
  - *Understanding risk – understanding your asset; knowing your operation*
- *Result.*
  - *Better management capability;*
  - *Reduction in risks;*
  - *Reduction in harm; and*
  - *Reduced likelihood of catastrophic incident.*



# ORR's purpose

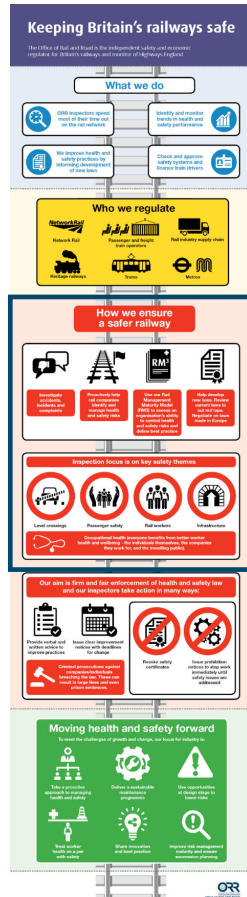
## Keeping Britain's railways safe

The Office of Rail and Road is the independent safety and economic regulator for Britain's railways and monitor of Highways England

### Our purpose

- As health and safety regulator for Britain's railway the law requires us to make sure railway companies have arrangements in place to protect the health, safety and welfare of workers, and protect others (including passengers) against health or safety risk created by the railways
- Ensure the legal framework for railway safety is developed and maintained.
- Use Health and Safety at Work Act etc 1974, complimented by rail specific legislation

# How we regulate



## How we ensure a safer railway



**Investigate accidents, incidents and complaints**



**Proactively help rail companies identify and manage health and safety risks**



**Use our Rail Management Maturity Model (RM3) to assess an organisation's ability to control health and safety risks and define best practice**



**Help develop new laws. Review current laws to cut red tape. Negotiate on laws made in Europe**

## Inspection focus is on key safety themes



**Level crossings**



**Passenger safety**



**Rail workers**

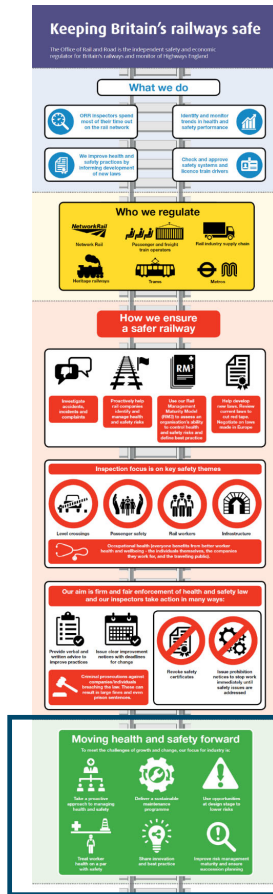


**Infrastructure**



**Occupational health (everyone benefits from better worker health and wellbeing - the individuals themselves, the companies they work for, and the travelling public).**

# Excellence in health and safety



## Moving health and safety forward

To meet the challenges of growth and change, our focus for industry is:

- Take a proactive approach to managing health and safety** (Icon: Person with cross)
- Deliver a sustainable maintenance programme** (Icon: Gear with wrench)
- Use opportunities at design stage to lower risks** (Icon: Warning triangle with exclamation mark)
- Treat worker health on a par with safety** (Icon: Scales with cross and worker)
- Share innovation and best practice** (Icon: Lightbulb with gears)
- Improve risk management maturity and ensure succession planning** (Icon: Magnifying glass over exclamation mark)



# ORR's view on 2020/21

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# Context

- This has been the most difficult year for the Railways in 20 years
- From a safety perspective the industry has experienced both highs and lows:
  - Highs
    - General positive response to COVID-19
    - Continued operations during the pandemic and period of uncertainty and change
  - Lows
    - Train crew and passenger fatalities
    - Track worker fatalities
    - COVID related drop in passenger numbers and related financial pressures across all parts of the industry
- TfL has experiences similar ups and downs this year
  - TfL and its operators continue to respond to Covid-19, demonstrating how well it can protect both the workforce and passengers and work in a highly collaborative way
  - Two passenger fatalities on LUL's system, both at platforms
  - As like the whole industry, TfL is having to deal with continued COVID related financial pressures; requiring mature and measured response



# Recent regulatory activity

- Management of workplace health and safety risks
  - COVID-19 impact on workforce and passengers
- Asset management arrangements
  - Strategic and tactical inspection activity
- Safe track access
- Crossrail
  - Monitoring transfer to operational railway
- Operational incidents
- Enforcement
  - Improvement notice in relation to management of platform train interface risk



# ORR View

## Positively

- TfL's railway operations have established safety management arrangements to control risks associated with their operations
  - Delivering a good level of safety overall to workers, passengers, public
- Good evidence of medium to long term projects to improve reliability of risk controls
  - Vulnerable to changing priorities?

## Areas to reflect upon:

- Integration of risk assessment to provide systemic approach to risk control
  - Clear line of sight from hazard to risk control measures
- Risk controls could be improved at an operational level
  - Implementation not always as intended / expected / assumed
  - Possible assurance issues, particularly around front-line monitoring & review
  - Investigation of incidents – making best use of findings to identify systemic issues.

# ORR's Themes - Areas of focus in 2021/22

- Managing for the future
- Supporting people
- Technology

# Managing for the future

- Managing recovery and restart on supporting people
- Managing significant change in response to external challenges
- Demonstrating strong visible leadership particularly at the coal face
- The health and wellbeing of passengers and of the work force must be at the heart of managing for the future. Our vision remains intact “***zero industry caused fatalities***”, with a culture and diversity in the industry that is well advanced from where we are today
- Continuing to promote health and safety by design as a key element of building a better way for the future and no gold plating

# Supporting people

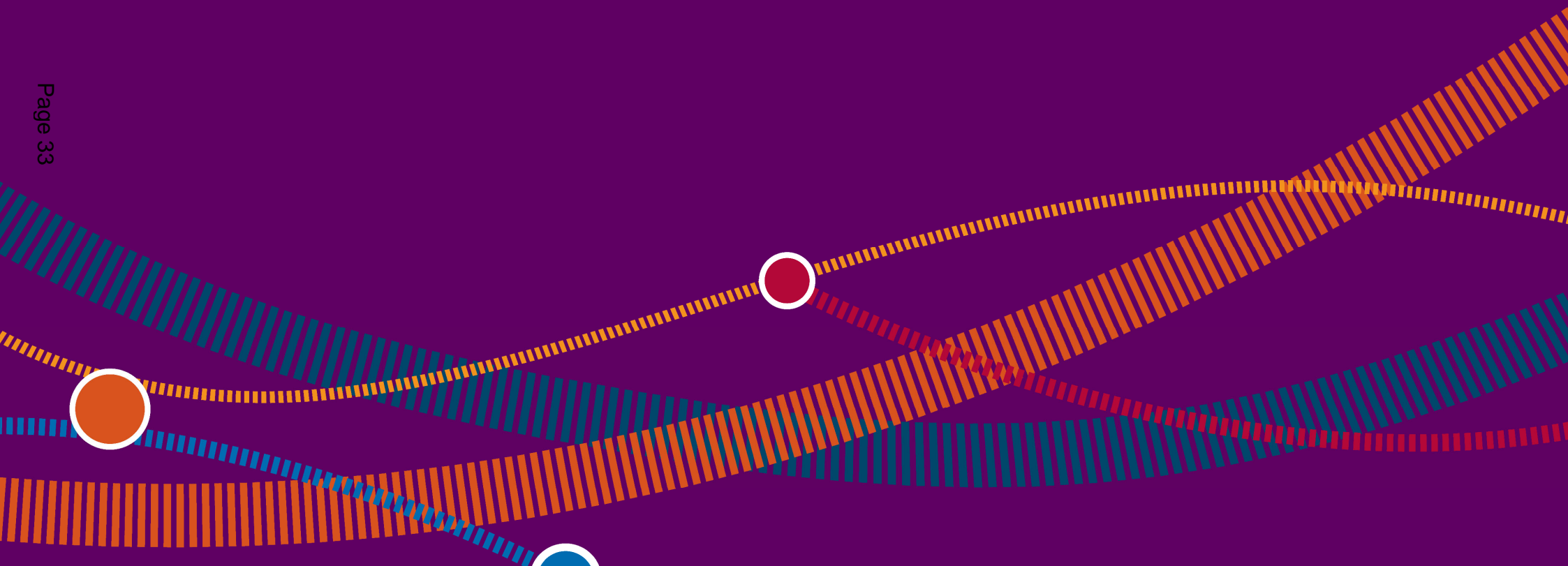
- Some good progress made on health and wellbeing, **but** it will be a challenge to keep up the momentum and accelerate advancement, particularly in the next year, as we continue to need to look after each other (especially in respect of our mental health)
- Improving front line support and assurance
- Improve the variability of human performance

# Technology

- LRSSB and London Tram's work on exploring how technology can support and complement human performance is a good example of how technology could lead to a step change, not just in risk reduction but customer experience and efficiency; bringing it into the 21<sup>st</sup> century
- Technology can also improve efficiency in many forms of inspection and train operations, such as train control and the platform train/tram interface
- Remembering the importance of human factors and quality risk assessment so that the human interface is well managed
- Automatic train operation – no objection in principle, when supported by robust risk assessment to demonstrate safety in operation.

# Conclusion

- Our engagement with TfL's railway dutyholders remains positive, and those we deal with generally cooperative and professional
- TfL's response to COVID-19 pandemic sound and robust
- London's railways continue to deliver a good level of safety for travelling public and workforce; risk management maturity remains stable
- TfL recognise the significant impact that the evolving financial pressures could have on safety if not carefully managed; but a good understanding of effectiveness of current arrangements essential
- Ensuring efficacy of assurance systems – accurate relevant data to inform decisions
- Asking the Panel to use its influence to promote the importance of *monitoring, assurance & review* at all levels in TfL, to help monitor the effectiveness of risk controls, and assist continuous improvement. This is the foundation in ensuring effective response to external challenges.



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Date: 30 June 2021

Item: **Quarterly Safety, Health and Environment Performance Report**

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## **This paper will be considered in public**

### **1 Summary**

- 1.1 This paper summarises key information reported in the fourth Quarterly (Q4) report for the 20/21 financial year. The Q4 period covers the dates 13 December 2020 to 31 March 2021 and most data presented covers this range, except for some road safety data. It is clearly highlighted when this is the case.
- 1.2 This paper summarises the key information and trends that are contained in the Quarterly (Q4) report.

### **2 Recommendation**

- 2.1 **The Panel is asked to note this summary in considering and discussing the Q4 report.**

### **3 Key information presented in the Q4 report**

- 3.1 The report shows that we have met and exceeded scorecard targets for safety and the environment.
- 3.2 During the Quarter, we continued to see lower than normal passenger numbers and on-street activity as tighter Government restrictions were imposed on people's movement and activity. Across our public transport network, there were no accidental customer or workforce deaths, and the number of serious injuries declined compared to the previous quarter. The number of customers or workforce being killed or seriously injured per million passenger journeys remained below our target at 0.08 per million journeys
- 3.3 In Quarter 4, there were 17 people killed and early estimates indicate 783 people seriously injured on London's streets. This is a reduction of six per cent when compared to the same quarter last year. There was an increase in the number of cyclists killed or seriously injured in the Quarter, but the risk of being seriously injured while cycling remained similar to last year. This reflects a significant increase in the number of people cycling, and a change in where, when and why people are cycling in London.
- 3.4 There were eight lost time injuries during the Quarter in our capital delivery projects. The top causes of injury remains slips, trips and falls. Our Capital Delivery teams have worked hard to continue delivery of our projects and maintenance in a COVID-19 compliant way

- 3.5 Despite passenger ridership being down in Quarter 4, compared with the previous quarter, police crime data for work-related violence and aggression offences showed a six per cent increase from Quarter 3. This was 32 per cent lower than Quarter 4 2019/20. Around half of the offences were targeted at bus drivers, with most incidents involving verbal abuse and threatening behaviour. The positive outcome rate for police investigated violence and public order offences increased compared to the previous year's Quarter.
- 3.6 It is with regret that we report that up to 31 March 2021, 89 people who worked on the transport network have tragically lost their lives to COVID-19 since the start of the pandemic. COVID-19 became the top cause of both short- and long-term absences in the Quarter, but absences related to mental health and musculoskeletal issues remain significant causes of long-term absences, which remain the focus of our preventative measures.
- 3.7 Our estimated electricity consumption in Quarter 4 was around 90 per cent of the equivalent period of 2019/20, following the trend seen in the last quarter for energy consumption, as rail services return to regular frequencies. Carbon emissions track closely with electricity consumption, and we are pleased to have met our target to minimise carbon emissions from our non-operational functions for the second half of the year

**List of appendices to this report:**

Appendix 1 - SSHRP Safety, Health and Environment Report (Q4)

**List of Background Papers:**

None

Contact Officer: Lilli Matson, Chief Safety, Health and Environment Officer  
Email: [LilliMatson@tfl.gov.uk](mailto:LilliMatson@tfl.gov.uk)

Contact Officer: James Pickford Phimmai, Insights and Direction Coordination  
Manager  
Email: [jamespickfordphimmai@tfl.gov.uk](mailto:jamespickfordphimmai@tfl.gov.uk)

# **Safety, Health and Environment quarterly report**

Quarter 4 2020/21

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## Introduction

This report summarises our performance in the last Quarter and identifies strategic trends covering the period from 13 December 2020 to 31 March 2021, unless specified.

It sets out ways in which we have continued to keep our customers and staff safe during the coronavirus pandemic. This quarter, our priority was to reassure them that we continue to operate safe services as we maintain and strengthen measures to help with the pandemic. In parallel, we have continued to make progress towards our longer-term safety, health and environmental objectives.

During the Quarter, we continued to see lower than normal passenger numbers and on-street activity as tighter Government restrictions were imposed on people's movement and activity. This reduced travel meant many of our key safety, staff and environmental performance indicators remain at different levels than they might normally be. Despite this, we continued to implement measures to improve our short- and longer-term safety, health and environmental performance. Where relevant, we present data in this report as rates, reflecting variation in activity over the past year.

## About this report

This report explores and highlights the performance, trends and measures we are implementing to improve performance in safety, health and environment.

Throughout this report, our 'customers' refers to direct users of our services, and our 'workforce' includes our directly employed staff as well as people working in our supply chain. For both groups, we use data collected directly from our operational businesses. Some assault data comes from both our own internal reporting systems and the police.

When referring to people killed or seriously injured, the following causes of injury are excluded: An injury which results from an incident arising from a disclosed pre-existing medical condition; Intentional self-harm resulting in a physical injury or death; Criminal activities perpetrated by customers or members of the public on other customers or members of the public.

Unless otherwise stated, 'Streets' refers to all of London's roads, including those managed by the London borough councils. Where we report safety data for streets, we use data collected by the Metropolitan Police Service and the City of London Police, in line with Government requirements. All road safety data is provisional and subject to review and assurance, with the final data published annually in line with Department for Transport requirements.

## Reporting period

Most data covers the quarter from 13 December 2020 to 31 March 2021. Some data is provisional and is subject to change.



# Mayor's Transport Strategy and Scorecard

Our role is to enable London to move safely and sustainably, in line with the goals of the Mayor's Transport Strategy. This includes increasing the attractiveness of public transport and making cycling and walking easier and more convenient options. We work with many partners, including London borough councils, businesses, the police, local communities and consumer organisations.

## Scorecard

Our Quarter 4 scorecard targets are listed in the table below. Carbon data is collected less frequently, so our associated target assesses Quarter 3 and 4 combined.

Quarter 4 2020/21 Scorecard			
Measure	Unit	Q4 Target	Q4 Actual
People killed or seriously injured in road traffic collisions per million journey stages	Killed or seriously injured per million journey stages	0.45	0.44 (1 person killed or seriously injured for every 2.3 million journeys)
People killed or seriously injured in road traffic collisions in or by a London Bus (per million surface journey stages)	Killed or seriously injured per million journey stages	0.021	0.016 (1 person killed or seriously injured for every 62.5 million journeys)
Customer and workforce killed or seriously injured per million passenger journeys	Killed or seriously injured per million journeys	0.13	0.08 (1 person injured for every 12.5 million journeys)
Second half of the year (H2) 2020/21 Scorecard			
Measure	Unit	H2 Target	H2 Actual
Reduction in CO2 emissions from TfL Operations & Buildings	Tonnes CO2e	409,000	399,550

The table sets out the relevant scorecard metrics, and accompanying targets and actuals. Below are brief explanations of the performance of each measure. More detailed explanations, with accompanying graphs is set out in the relevant section of the report.

### **Road safety measure**

Working towards our ambition to eliminate death and serious injury on the roads, our aim is to reduce the number to fewer than 0.45 people are killed or seriously injured on the roads per million journeys. Our Quarter 4 result was 0.44.

### **Bus safety measure**

Working towards our ambition to eliminate deaths and serious injuries on our roads, our aim is to have fewer than 0.021 deaths or serious injuries per million surface journey stages. Our Quarter 4 result was 0.016. Our target is more stretching than the general road safety target of 0.45, to reflect our greater level of control and ambition for our own bus services.

### **Public transport safety measure**

Working towards our ambition to eliminate deaths and serious injuries on our public transport network, our aim is to have fewer than 0.13 deaths or serious injuries to our customers and workforce per million journey stages. In Quarter 4, the result was 0.08, below the target of 0.13.

### **Carbon emissions measure**

There is no specific Quarter 4 specific target for our carbon emissions as data is compiled less frequently. However, looking at the second half of the year (Quarter 3 and 4). Our aim was to emit no more than 409,000 tonnes of CO2 emissions. In the second half of the year, we met this aim, at 399,550 tonnes.

# Safety

This section summarises our safety performance across construction activities, public transport operations, road safety and our workforce. It provides an overview of key trends for the year and the areas we are targeting for improvement.

## Road safety performance

### Quarterly performance

Number of people killed or seriously injured	Q4 2019/20	Q4 2020/21 *
Pedestrian	332	247
Pedal cycle	169	211
Powered two wheeler	186	198
Car	126	108
Bus or coach	14	9
Taxi	3	0
Private Hire	8	0
Goods vehicle	6	4
Other vehicle	5	23
<b>Total</b>	<b>849</b>	<b>800</b>

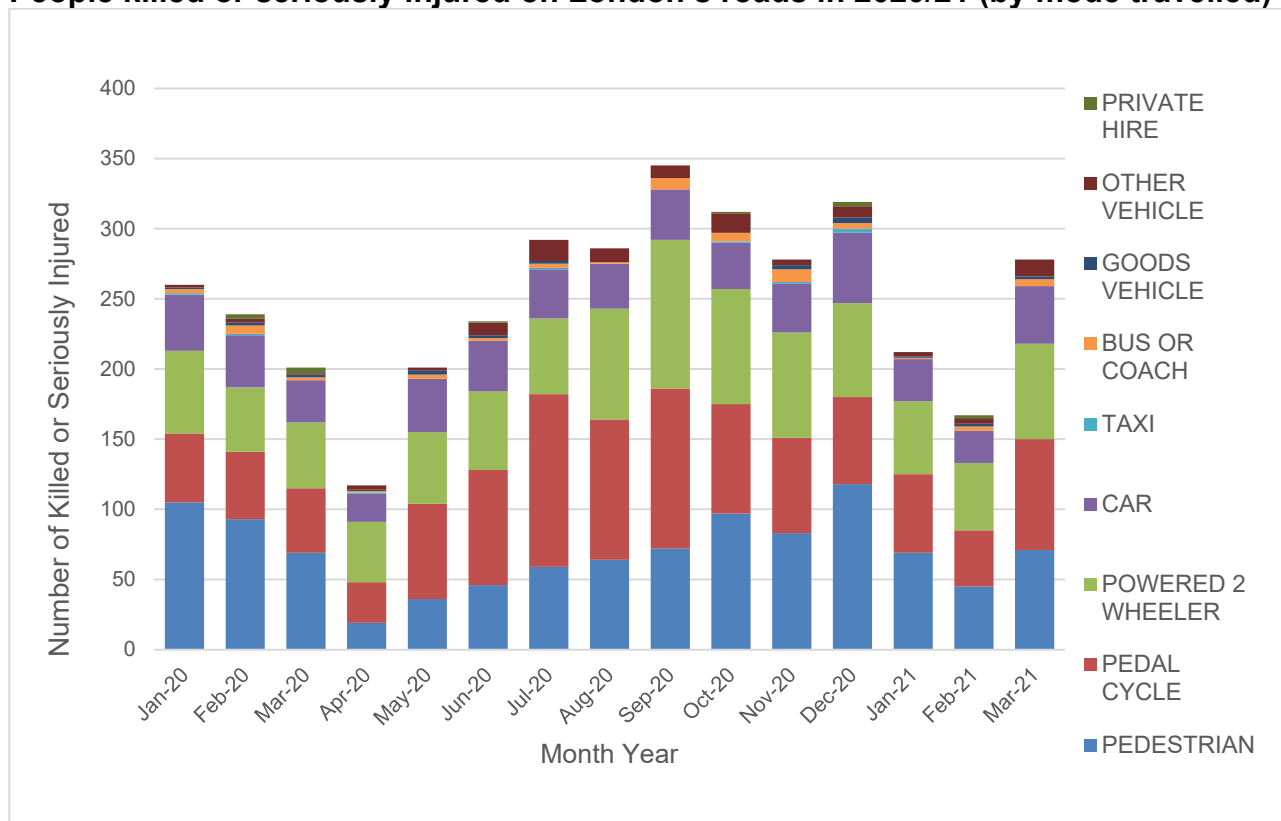
*\*Quarter 4 2020/21 figures are provisional and subject to change.*

Fewer people were killed or seriously injured for all modes in Quarter 4 2020/21 compared to the same period in 2019/20, except for people cycling or other<sup>1</sup> vehicles. The number of people tragically killed or seriously injured is provisionally estimated to have fallen by more than 22 per cent across the 2020 calendar year when compared to 2019 calendar year, largely as a result of the coronavirus pandemic and resulting lockdown restrictions that reduced road travel. The majority of the total 22 per cent reduction in people being killed or seriously injured was accounted for by the fall in pedestrian casualties.

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<sup>1</sup> Other vehicles are types of vehicle not falling into any of the main categories. Examples are ambulances, fire engines, motor caravans, E scooters and quad bikes

**People killed or seriously injured on London's roads in 2020/21 (by mode travelled)\***



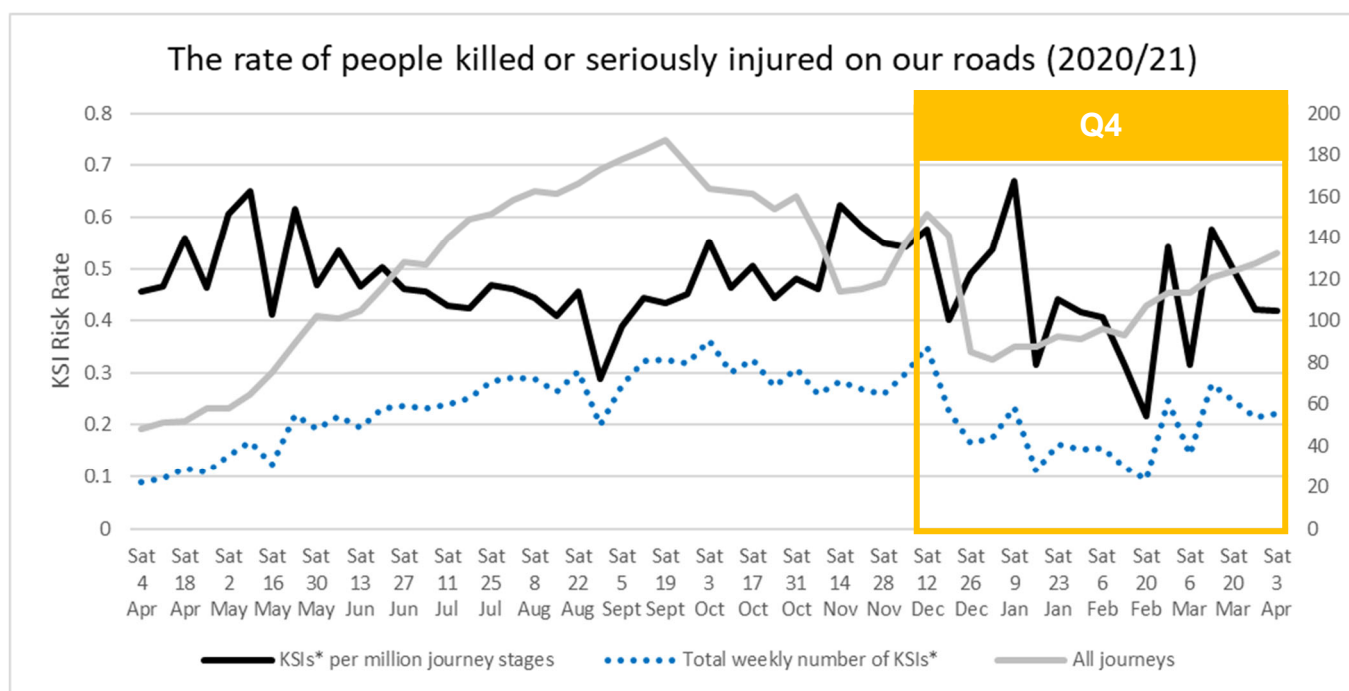
*\* Figures relating to January – October 2020 are provisional and subject to change. Figures relating to November 2020 and beyond have been factored for police severity review and are provisional, subject to change.*

In Quarter 4 2020/21, 211 pedal cyclists were killed or seriously injured, which was higher than the previous year's quarter (169). For the first year since the 2005-09 baseline, in the 2020 (calendar year) more cyclists were killed or seriously injured, per journey, compared to other transport modes, followed by pedestrians and then powered two-wheeler drivers, which is a significant change. Before the pandemic, pedestrians were consistently the most significantly injured group, followed by powered two-wheeler drivers and then cyclists.

The overall risk of being seriously injured while cycling remained relatively similar between 2019 and 2020 calendar year. Tragically, six people were killed while cycling in 2020. While this is one more person killed than the previous year, it is the second lowest number of deaths since 2012. The number of cyclists seriously injured in 2020 rose by 10 per cent from 2019. While this is concerning, it largely reflects a significant increase in the number of people cycling, and a change in where, when and why people are cycling in London.

Across the 2020 calendar year, despite pandemic conditions, people walking, cycling and riding motorcycles comprised 81 per cent of deaths and serious injuries in London, which is a continuation of a long-term trend.

**Scorecard measure: People killed or seriously injured in road traffic collisions 2020/21 (per million journeys)**



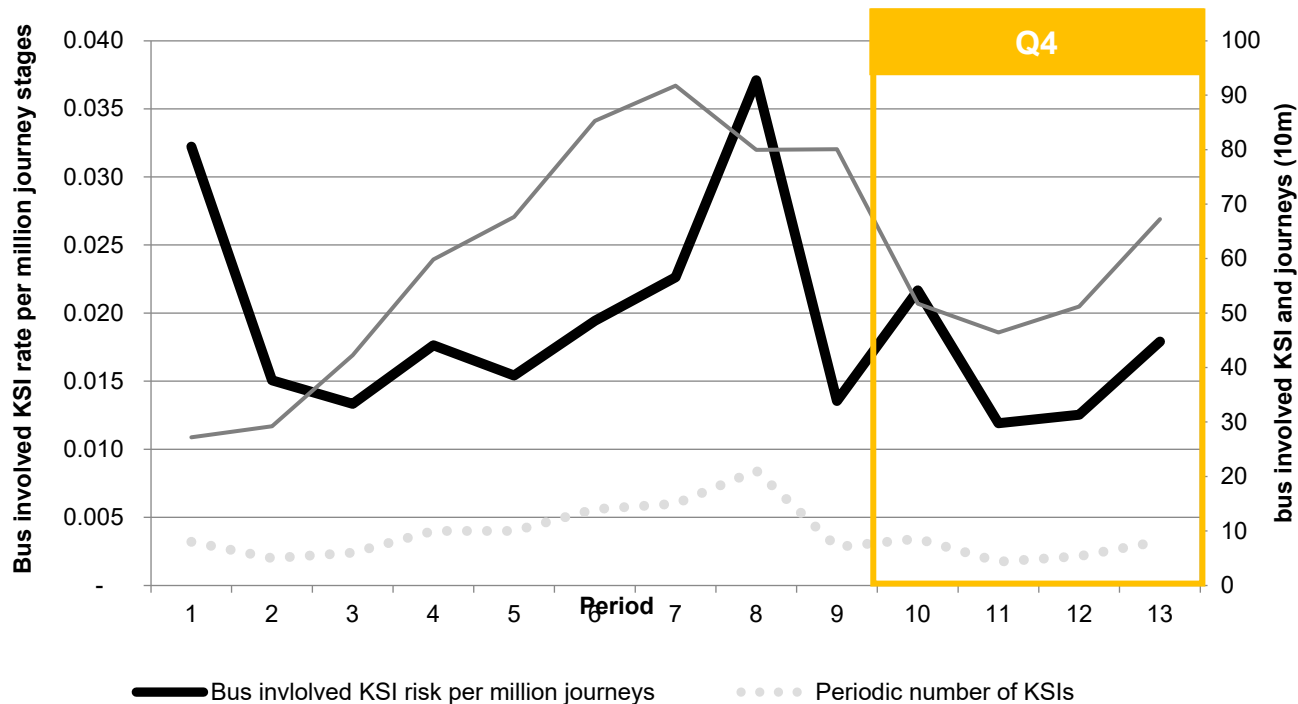
\* Figures relating to January – October 2020 are provisional and subject to change. Figures relating to November 2020 and beyond have been factored for police severity review and are provisional, subject to change.

Working towards our ambition to eliminate death and serious injury on the roads, our aim is to reduce the number to fewer than 0.45 people are killed or seriously injured on the roads per million journeys. Our Quarter 4 result was 0.44.

Looking at 2020/21 as a whole, tragically, more people were killed or seriously injured in the second half of the year than expected, however fewer were killed or seriously injured in the first half.

**Scorecard measure: Rates of fatal or serious injury experienced by people in collision with buses**

**Scorecard measure: Rates of fatal or serious injury experienced by people in collision with buses (2020/21)**



*\* Figures relating to January – October 2020 are provisional and subject to change. Figures relating to November 2020 and beyond have been factored for police severity review and are provisional, subject to change.*

Our Vision Zero target for 2022 is to reduce the number of people killed or seriously injured on or by a bus by 70 per cent, against the 2005-09 baseline. In 2019, we reduced this figure by 67 per cent, which suggests we are on track to reach this target. In the 2020 calendar year, provisional data suggests the reduction was as much as 84 per cent.

We exceeded our scorecard target for Quarter 4 of 0.021 deaths or serious injuries per million journeys. Our target is more stretching than the general road safety target of 0.45, to reflect our greater level of control on our own bus services.

## Long-term trend

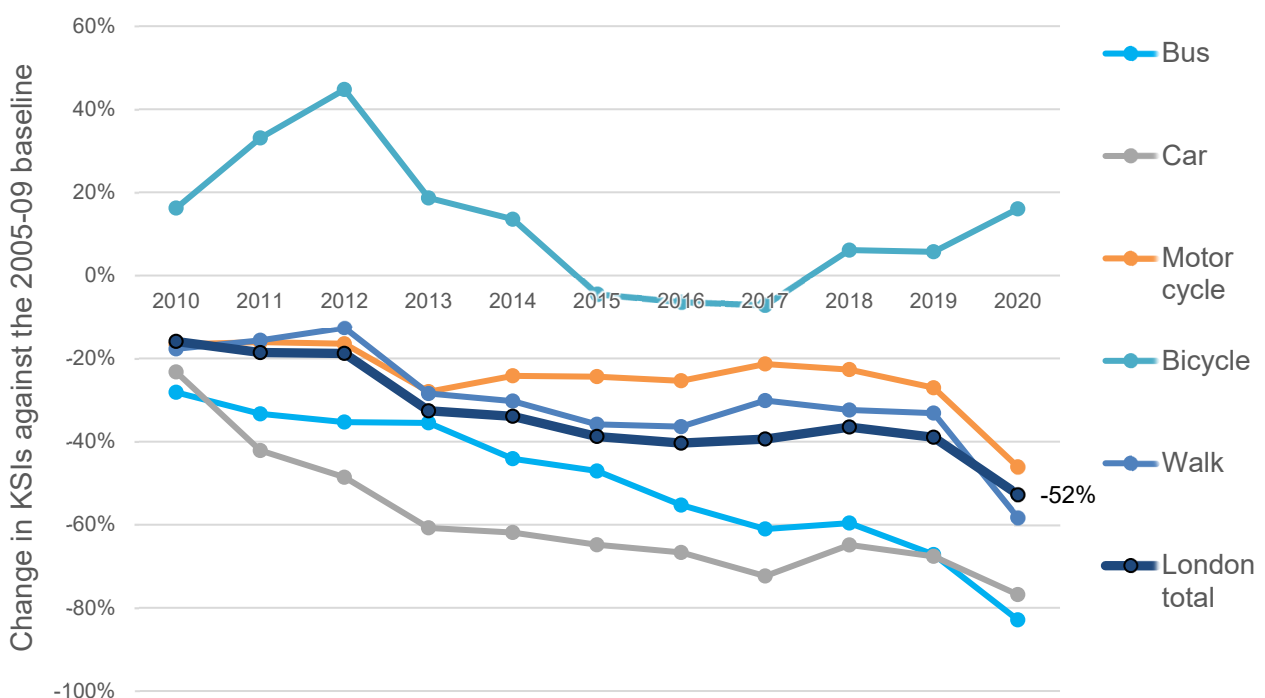
Our Vision Zero target is that by 2022 there will be a 65 per cent reduction in the number of people being killed or seriously injured, against 2005-09 levels.

Our 2020 calendar year data indicates a 52 per cent reduction when considered against the 2005-09 baseline, however, this is likely to be an anomaly to the long-term trend. The risk to different road users also changed this year, however, in the medium term we are expecting this to more closely resemble pre-pandemic levels of risk.

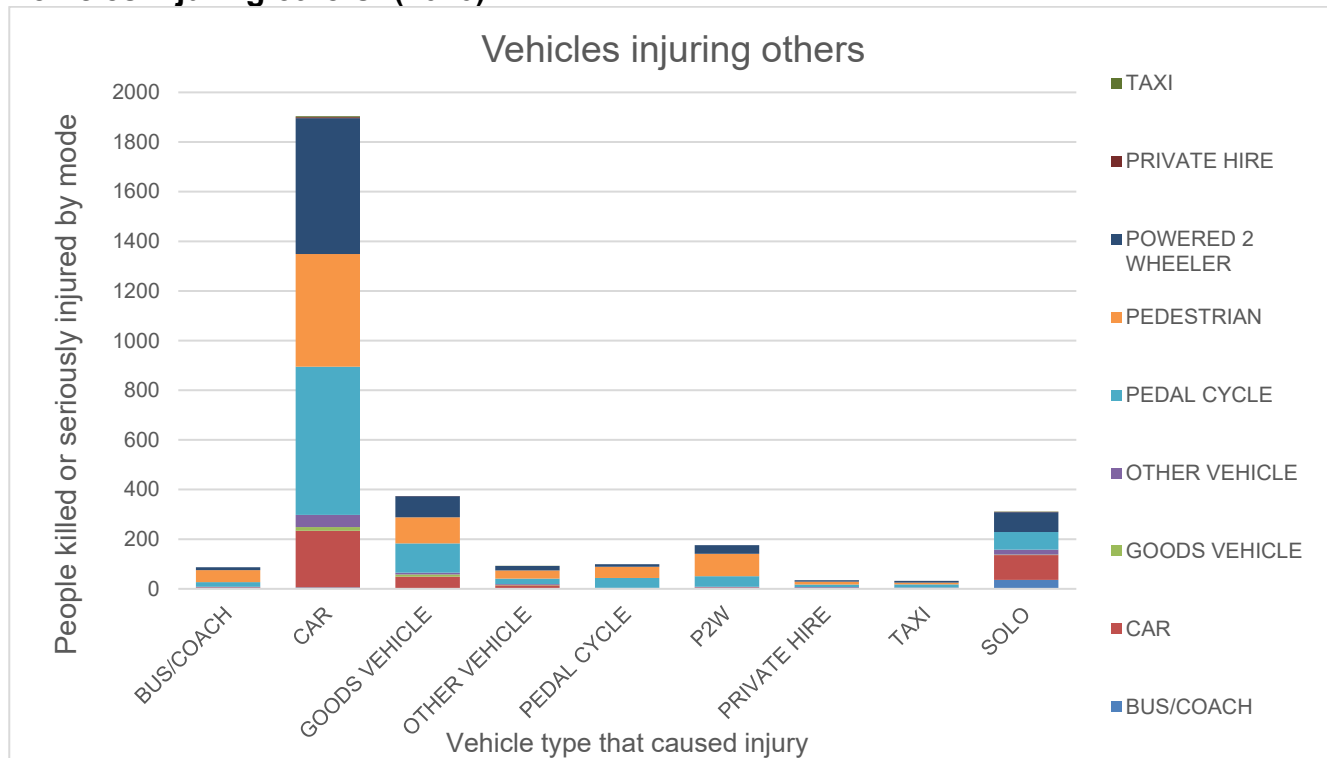
Buses carry more people than any other public transport mode in London and are also the safest way to travel on the roads. Our Bus Safety Programme is delivering the greatest reduction in people killed or seriously injured of any mode on the roads, with an 84 per cent reduction in those killed or seriously injured by a bus during 2020. This currently exceeds our aim of a reduction of 70 per cent by 2022.

However, as the chart below shows, we have still not yet made enough progress in reducing deaths and serious injuries among people walking, cycling and riding motorcycles, and despite the progress in 2020, it had been slow in recent years prior to the pandemic. Together, these groups make up 81 per cent of people killed or seriously injured on London's roads. The long-term trend suggests that if the roads return to 2019 travel patterns after the pandemic, we are unlikely to meet our ambitious 2022 target to reduce deaths and serious injuries by 65 per cent.

### People killed or seriously injured against the 2005-09 baseline (by mode of travel)\*



## Vehicles injuring others\* (2020)



*\* Figures relating to January – October 2020 are provisional and subject to change. Figures relating to November 2020 and beyond have been factored for police severity review and are provisional, subject to change.*

Over the past decade, cars have become safer for occupants, with better vehicle design and better ability to withstand the impact of collisions. However, looking at the 2020 calendar year data as a whole, we can see that people driving cars are most likely to be involved in a collision that kills or seriously injures someone else on the road, being involved in 67 per cent of collisions that kill or seriously injure people outside the vehicle.

There was a continued long-term trend in the 2020 calendar year for some types of vehicle to be disproportionately dangerous to other road users. Motorcycles are the mode most likely, per journey, to be involved in a collision that kills or seriously injures another road user, particularly people walking and cycling. Heavy goods vehicles also kill and seriously injure people at a rate that is disproportionate to their share of traffic. This is why we have specific programmes looking at reducing risks from these road user groups such as the launch of the Direct Vision Standard this year and upcoming plans to tackle risk from powered two wheelers.



## **Road safety updates**

### **Direct vision standard**

Working with the London borough councils, we have delivered improvements to road safety in the capital that will save lives and reduce serious injuries, with the introduction of the pioneering Direct Vision Standard. This vital lorry safety scheme reduces lethal blind spots by requiring owners of Heavy Good Vehicles (HGVs) weighing more than 12 tonnes to apply for a free permit, that assigns vehicles a star rating based on how much the driver can see directly through their cab windows, in order to be able to drive in London. It is now operating 24 hours a day, seven days a week and is enforced on all roads in London, with standards set to tighten further in 2024. Those without a permit face a new penalty charge notice. More than 135,000 permits have been issued, including more than 4,000 to 5-star vehicles which provide the highest levels of direct vision. Around 69,000 zero-star HGVs have now had safe systems fitted, improving protection for people walking and cycling. TfL data shows that around 150,000 HGVs enter London every year.

### **Safer Junctions**

In March 2021, Dalston Junction became the 41st Safer Junction to be completed. Collision data for the Safer Junctions programme indicates that the programme has reduced the number of collisions by 25 per cent at sites where Safer Junctions measures have been completed and where 36 months of collision data, before March 2020, is available. It is estimated that the improved junctions have resulted in 150 fewer collisions that would otherwise have occurred.

### **Lowering speed limits**

The second phase of our Lowering Speed Limits programme has restarted, with survey and design work currently under way. The programme will reduce the mandatory speed limit by 10mph (e.g reducing 30mph limits to 20mph) on more than 140km of our roads, including 37 town centres across London. Where possible, we will integrate 20mph speed limits into other schemes being completed under the wider Healthy Streets programme.

### **Police activity to support Vision Zero**

Together with the Metropolitan Police Service, we continue to support the Mayor's Vision Zero target to eliminate all deaths and serious injuries on London's roads by 2041, with a range of initiatives to make our roads safer. In February 2021, officers were deployed to various major roads to crack down on key causes of road danger, such as speeding and using a mobile phone while driving. The campaign saw 116 traffic offence reports issued, and 102 vehicles were seized for dangerous behaviours such as speeding, drink or drug

driving, no insurance and driving without a seatbelt. There were an additional 116 reports for dangerous or careless driving.

The Road Traffic Police Command ran an operation to tackle the use of a mobile phone while driving, in support of the National Police Chiefs' Council mobile phone campaign. This resulted in 436 traffic offence reports being issued for mobile phone usage.

### **Future plans**

We will publish an update to our Vision Zero action plan this year, taking into account updated data and reflecting on progress since the original plan was published in 2018. We will continue to work with the police to ensure enforcement is taken to reduce dangerous behaviours.

## **Public transport safety performance**

The coronavirus pandemic means this has been an unprecedented year for public transport. With fewer customers travelling on our network, we have seen corresponding falls in the number of customer and workforce injuries. These reductions have ranged from between 41 to 84 per cent reductions each period, when compared to the same period in 2019/20.

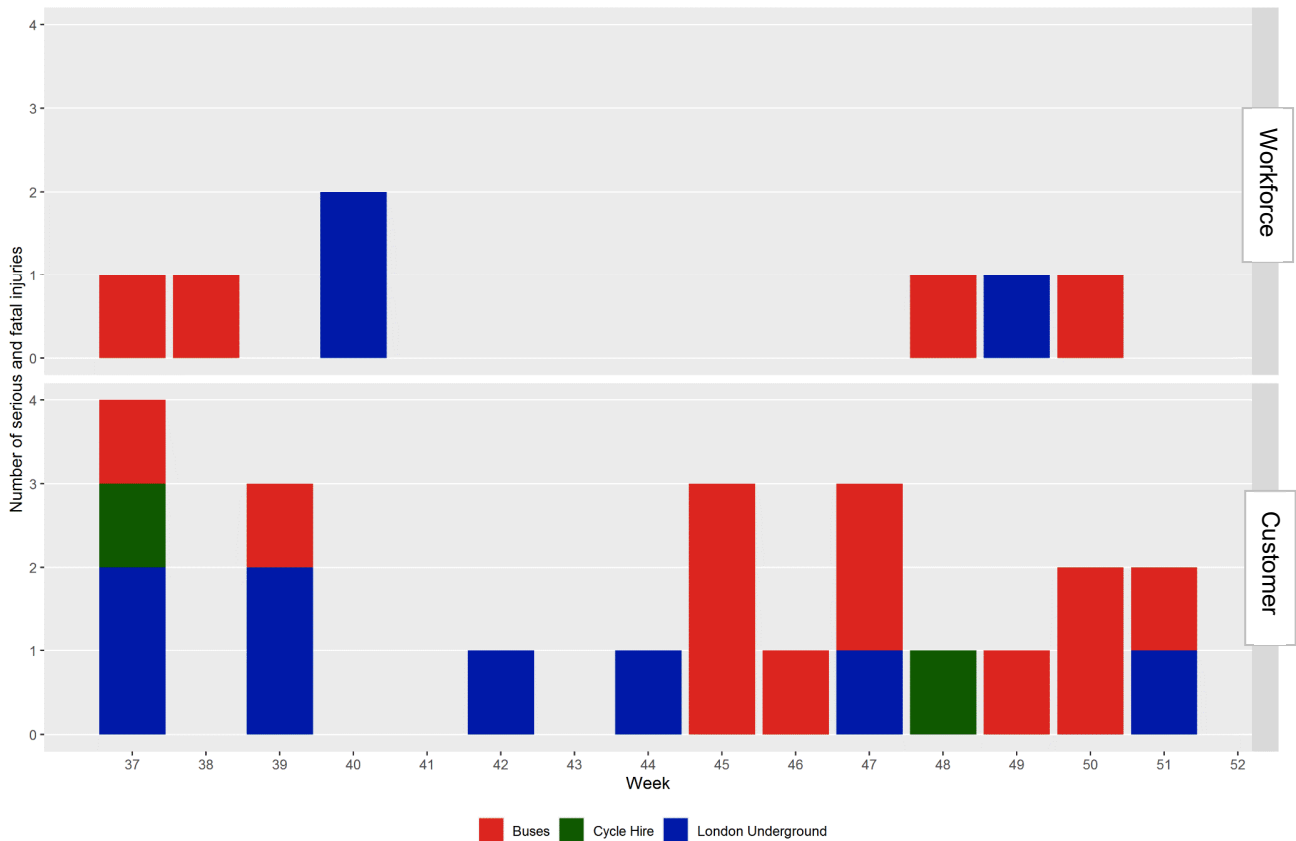
The introduction of a new definition of serious injury at the beginning of 2020/21 means we cannot accurately compare this year's data with data from previous years. However, we are confident that the pandemic has also caused a decrease in the overall numbers of fatal and serious injuries.

Quarter 4 performance was dominated by the third national lockdown, and this is reflected in our injury numbers, which fell at the start of the Quarter, but have risen again since the Government announced England's roadmap out of lockdown.

## Quarterly performance

### People killed or seriously injured per week in Quarter 4 (by mode)

Weekly serious and fatal injuries to our customers and workforce in Q4 of 2020-21



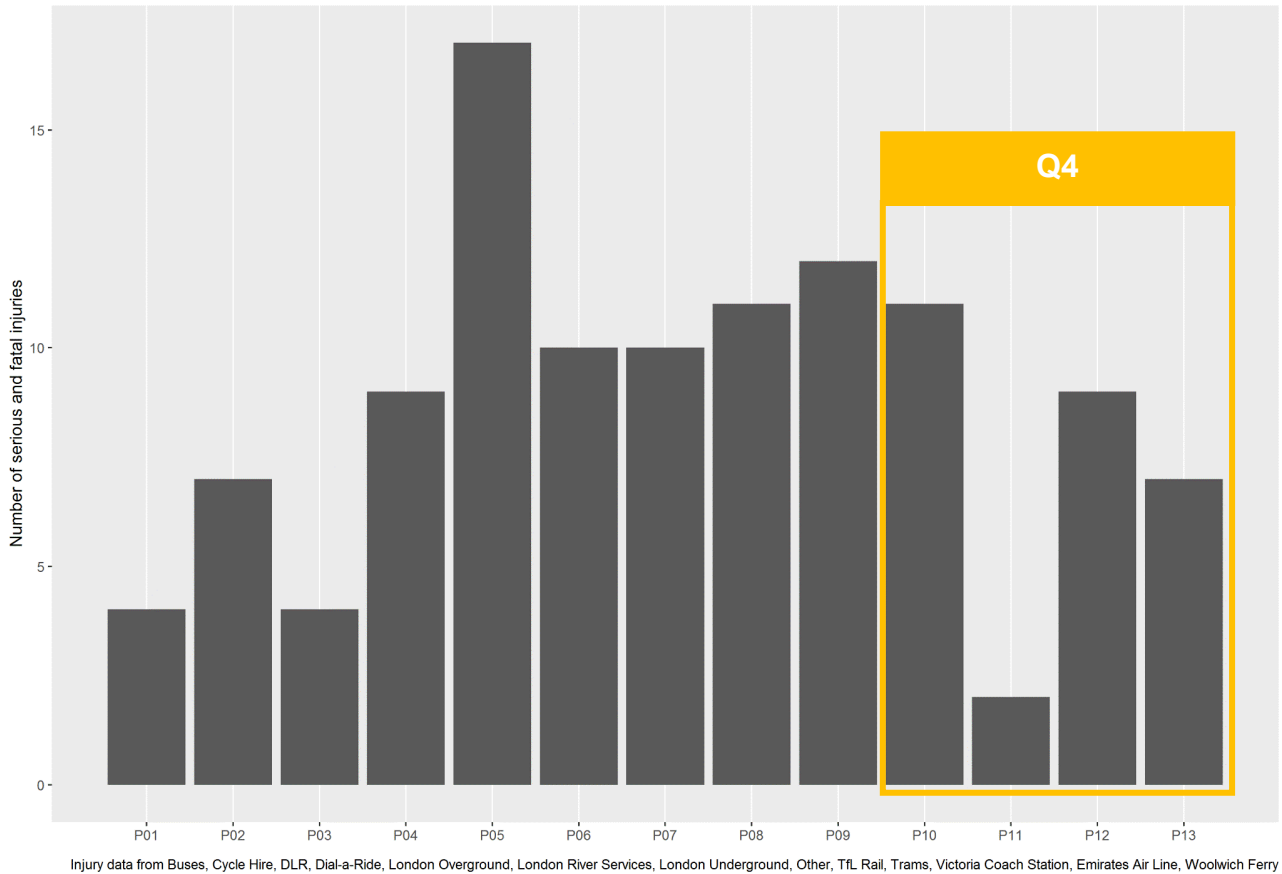
Boxes surrounded by dotted lines indicate fatalities

During Quarter 4, there were no accidental customer or workforce deaths, although 28 people were seriously injured. Of these, 21 were customers, predominantly on the London Underground and buses, with one serious injury involving a Santander Cycles customer. This is the lowest quarterly number of serious injuries for Santander Cycles customers this year, which is probably a result of seasonal variation in the number of cycle hire journeys.

Our workforce accounted for the remaining seven serious injuries, four of these among our buses workforce, and three from London Underground.

## People killed or seriously injured per period this year (total)

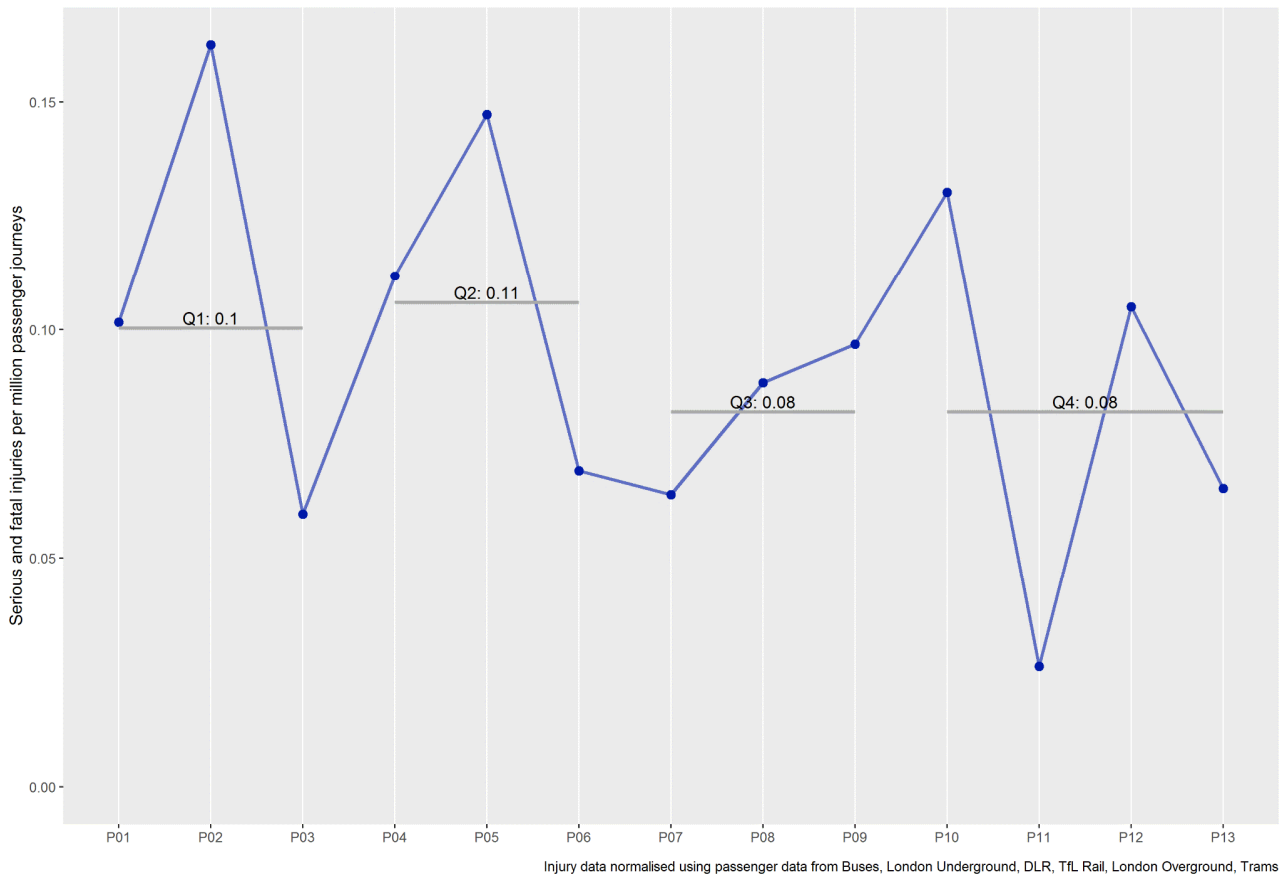
Periodic serious and fatal injuries in 2020-21



Putting the Quarter in the context of the year, the total number of reportable serious and fatal injuries to our customers and workforce decreased this year as a result of the pandemic. Tragically, in 2020/21 there were six accidental customer deaths and 91 customers were seriously injured. No members of our workforce were killed, however 20 of our colleagues were seriously injured.

## Scorecard measure: Rates of people killed or seriously injured in 2020/21

Periodic rate of serious and fatal injuries to our customers and workforce in 2020-21

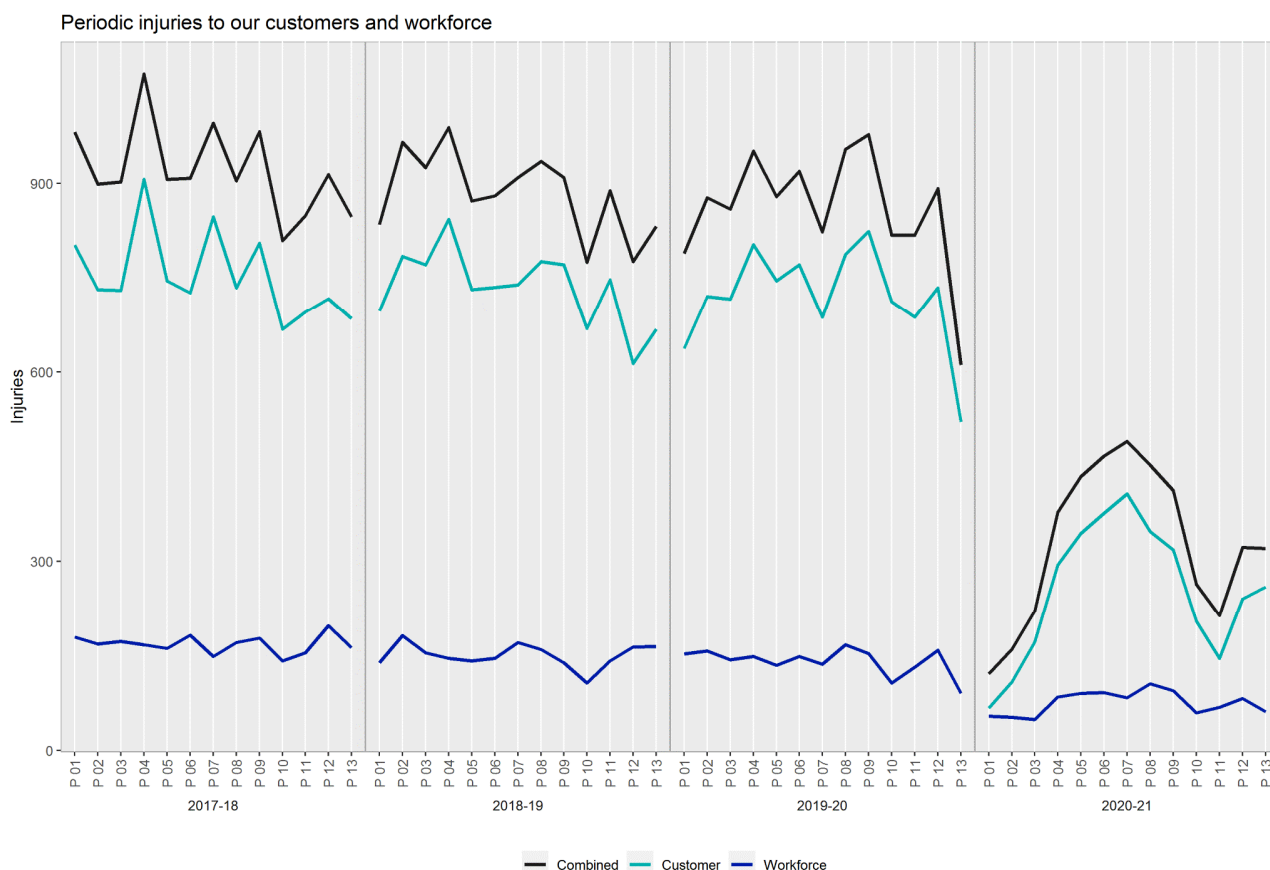


Given the impact of passenger numbers on our injury numbers this year, it is useful to understand how the risk to our customers and workforce has changed, using a rate-based metric of injuries per million passenger journeys.

Working towards our ambition to eliminate deaths and serious injuries on our public transport network, our aim is to have fewer than 0.13 deaths or serious injuries to our customers and workforce per million journey stages. In Quarter 4, the result was 0.08, below the target of 0.13. The rate of serious and fatal injuries to our customers and workforce has fluctuated this year. However, the quarterly rate has remained below the scorecard targets for the first and second halves of the financial year, with Quarter 3 and Quarter 4 having the lowest rates of serious and fatal injuries. This comparison does not, however, account for any seasonal variation. For example, we saw the greatest number of Santander Cycles customers seriously injured during the summer.

## Long term trend

### Customer and workforce injury numbers per period since 2017-18 (total)



Injury data from Buses, Cycle Hire, DLR, Dial-a-Ride, London Overground, London River Services, London Underground, Other, TfL Rail, Trams, Victoria Coach Station, Emirates Air Line, Woolwich Ferry

In the three financial years before the pandemic, both our customer and workforce injury numbers had been very gradually decreasing. However, during the pandemic, the number of injuries across our public transport network has fallen more significantly.

There have been fewer customer injuries this year, as fewer people travelled by public transport. The number of customer injuries per period was lowest when the financial year began, during the beginning of the first lockdown. Injury numbers then gradually grew, broadly in line with the easing of restrictions as customers returned to the public transport network, resulting in a peak during September 2020. As autumn and winter 2020/21 saw restrictions tightened again, both customer journeys and injury numbers gradually fell again.

London entered Tier 3 at the start of Quarter 4, before quickly moving to Tier 4 and then into national lockdown at the start of January 2021, which remained in place for the rest of

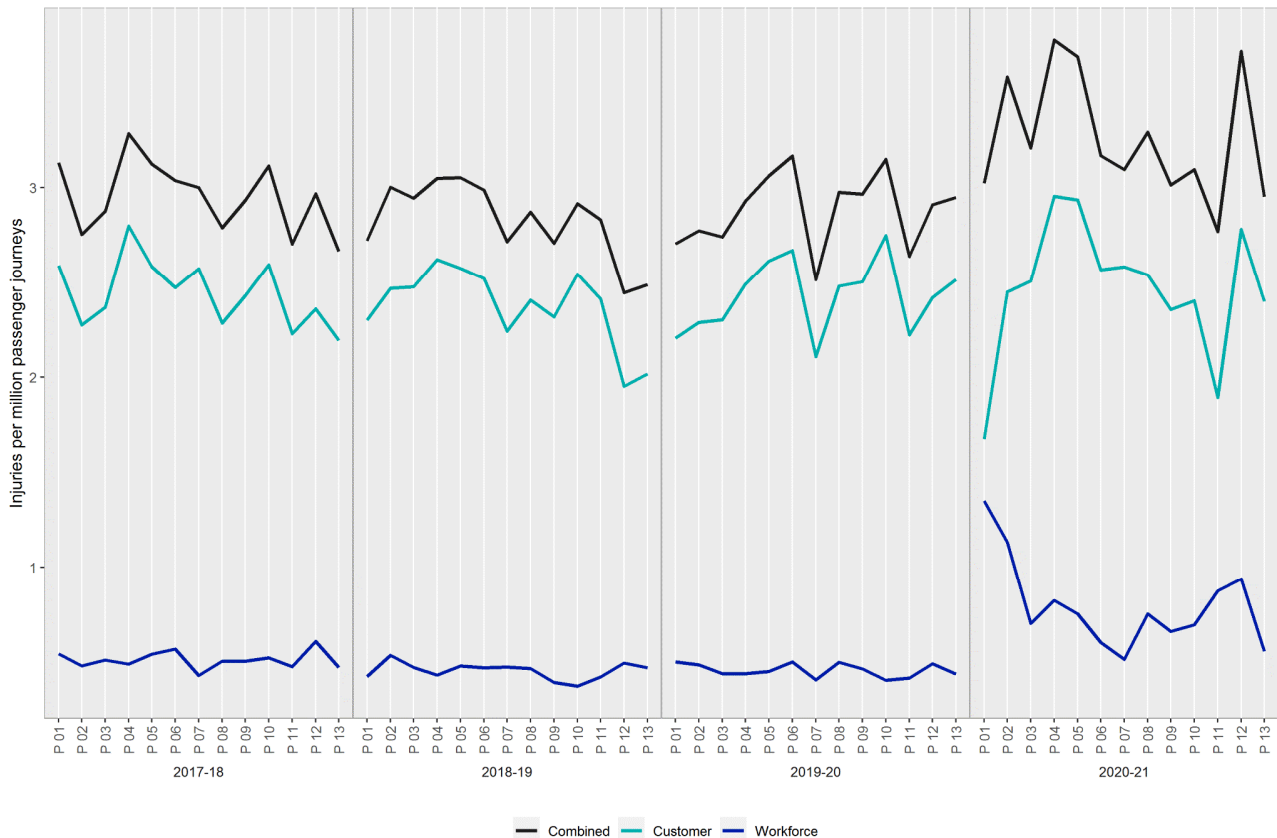
the quarter. This resulted in a sharp initial decline in passenger numbers, which corresponded with a fall in our customer injury numbers. However, passenger journeys and injury numbers did not fall to the same extent seen during the first national lockdown. Combined with a gradual easing of certain restrictions towards the end of Quarter 4, this has resulted in fewer injuries on average than Quarter 2 and Quarter 3, but more than Quarter 1, during the first national lockdown.

This year, there were also fewer workforce injuries than previous years. However, on average, the pandemic has had a less significant impact on workforce injuries than customer injuries. This is because, despite a large fall in customers using our services, the number people involved in the operation, construction and maintenance of our transport network are likely to have remained similar to pre-pandemic levels to ensure we can continue to operate a safe and reliable service.

Like customer injuries, average periodic workforce injury numbers during Quarter 4 were lower than Quarter 2 and Quarter 3, but higher than Quarter 1.

### All injury rates per period since 2017-18 (total)

Periodic rates of injuries to our customers and workforce



Injury data from Buses, London Underground, Cycle Hire, DLR, TfL Rail, London Overground, Trams, Dial-a-Ride, London River Services, Emirates Air Line

Our periodic customer injury rate has fluctuated more this year compared with the previous three financial years. However, on average, the risk of injury for our customers has not increased during the pandemic.

This year, we have also calculated our workforce injury rate using passenger journeys. As the number of people travelling during the pandemic has been lower, particularly during lockdowns, it is expected that the peak in our workforce injury rate during Periods 1 and 2 was driven by low passenger numbers, rather than increased injuries or risk to our workforce.

## **Public transport safety update**

### **Bus Safety Standard**

We now have 445 buses that meet the first generation of the Bus Safety Standard. From late 2021, our new vehicles will start meeting the second generation, which requires new buses to have camera monitoring systems in place of side mirrors, offering a wider field of view and clearer visibility in low light. It also includes toggling to help drivers identify the brake pedal and its relative position from their feet. There will be new safeguards on the brake system to prevent buses rolling away without a driver in the cab and enhancements to the interiors to reduce the risks of passenger injuries. These changes will help us eliminate all deaths and serious injuries from London's roads by 2041.

### **Preventing slips, trips and falls**

Work continues to reduce customer slips, trips, and falls on buses. While these incidents are not new, they have become more frequent since the start of the pandemic, relative to the number of people travelling. In the short term, we are trialling posters on stairways and new announcements to encourage passengers to hold on to rails and poles inside the buses. We have also reissued guidance to drivers on giving customers plenty of time to settle on board following calls at bus stops. A longer-term strategy is being developed to identify further action and will consider vehicle modifications, such as flooring and lighting improvements. It will also look at the results of predictive technology trial that warns a driver of hazards to help ensure they have enough time to brake smoothly. We are also reviewing research, evidence and best practice from other transport authorities.

### **Fire safety**

We take fire safety very seriously on the London Underground and we are constantly coming up with ways to improve how we do things. In May 2020, we launched a Fire



Safety Programme, which has delivered a number of actions which have improved safety on the Underground.

We have more than 1,000 buildings in London Underground and we are ensuring each site is part of a rolling programme of inspections to specifically review fire safety. Despite the impact of the pandemic, we have ensured this programme continues with pace and recommended improvements receive adequate funding.

We have refreshed the training we provide to our teams, including using technology to deliver training while many of our staff have been working from home. The Fire Safety Programme team and our Technology and Data team have worked together to create innovative solutions to monitor our fire safety data, including using apps and new reporting systems. This means our fire safety data can be visualised as a whole, in real time, which was not possible before.

### **London Underground polychlorinated biphenyls**

Polychlorinated biphenyls (PCBs) are substances that are toxic to humans and animals. There is legislation in England and Wales, as well as an international agreement, which bans their use. Some of the thousands of different types of electrical capacitor used in signalling, power, fleet, tunnel telephone systems on the London Underground predate this legislation and therefore sometimes contain PCBs.

In the last weeks of Quarter 4, a big milestone was reached – the last two remaining PCB transformers had their oil changed (PCBs are contained within the oil). These large power Transformers in substations are the assets which hold the largest volumes of potentially PCB contaminated oil and our last few were hermetically sealed so posed particular challenges. Transformers have their own specific PCB legislative requirements and London Underground has come in a few years ahead of the UK and international deadline which apply to them.

Meanwhile, also in Quarter 4, London Underground continued to survey and test for equipment that may contain PCBs and prepare to re-start on-site retrieval and replacement programmes which were delayed due to coronavirus. Programmes have been re-adjusted to meet legal deadlines. A previous difficulty reported regarded constraints in replacement of PCB components due to be replaced through the Piccadilly Line Upgrade. A planned way forward has now been identified and plans are progressing.

## **Future plans**

We continue to work on our priority areas, such as reducing slips, trips and falls on our transport network and continue to introduce buses that meet the latest safety standard.

## Capital delivery

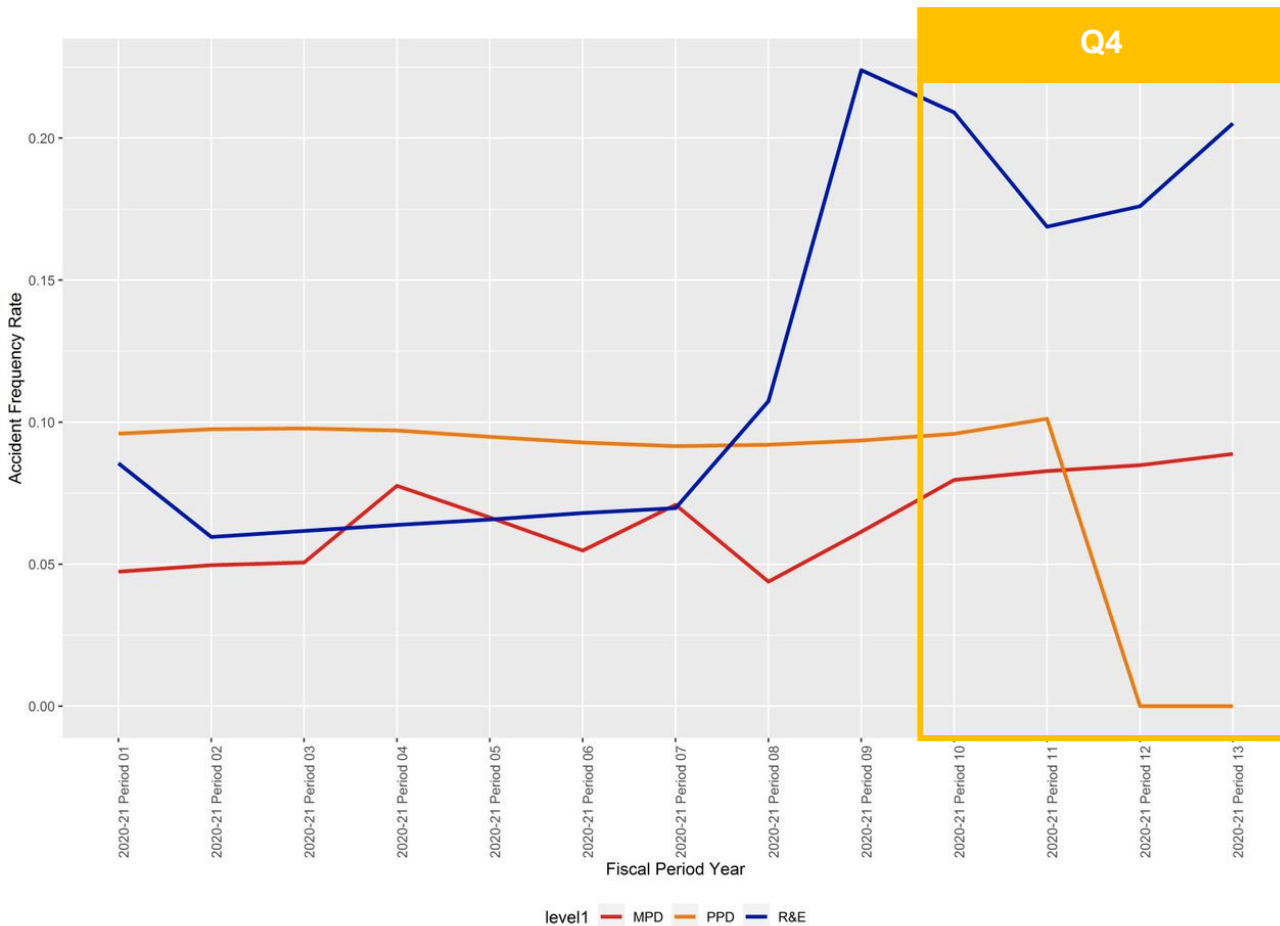
It is worth reflecting on the year since the first national lockdown. Capital delivery teams within TfL have had an incredibly difficult year but have overcome the challenges as an organisation to keep London moving through it all, whilst improving their SHE performance.

Despite national restrictions being in place for the majority of Quarter 4, our capital delivery activity continued under COVID-secure conditions. Some sites have made lateral flow tests available to the workforce on a voluntary basis. TfL also makes these available for colleagues, which is strongly encouraged, in line with Government guidance. We have also seen sites innovate their approach to delivery to not only improve COVID security but also minimise task risks, items include modular construction, task organisation and mobile protective screens.

Visits to construction sites were only made if it was absolutely essential, to assist in minimising possible spread of the virus. Site-based colleagues and workers were supported with regular communications and 'virtual' site visits to ensure colleagues felt supported and core assurance deliverables continued. More details of this are available in the 'Coronavirus' section of this report.

## Quarterly performance

### Workforce accident frequency rate (2020/21)

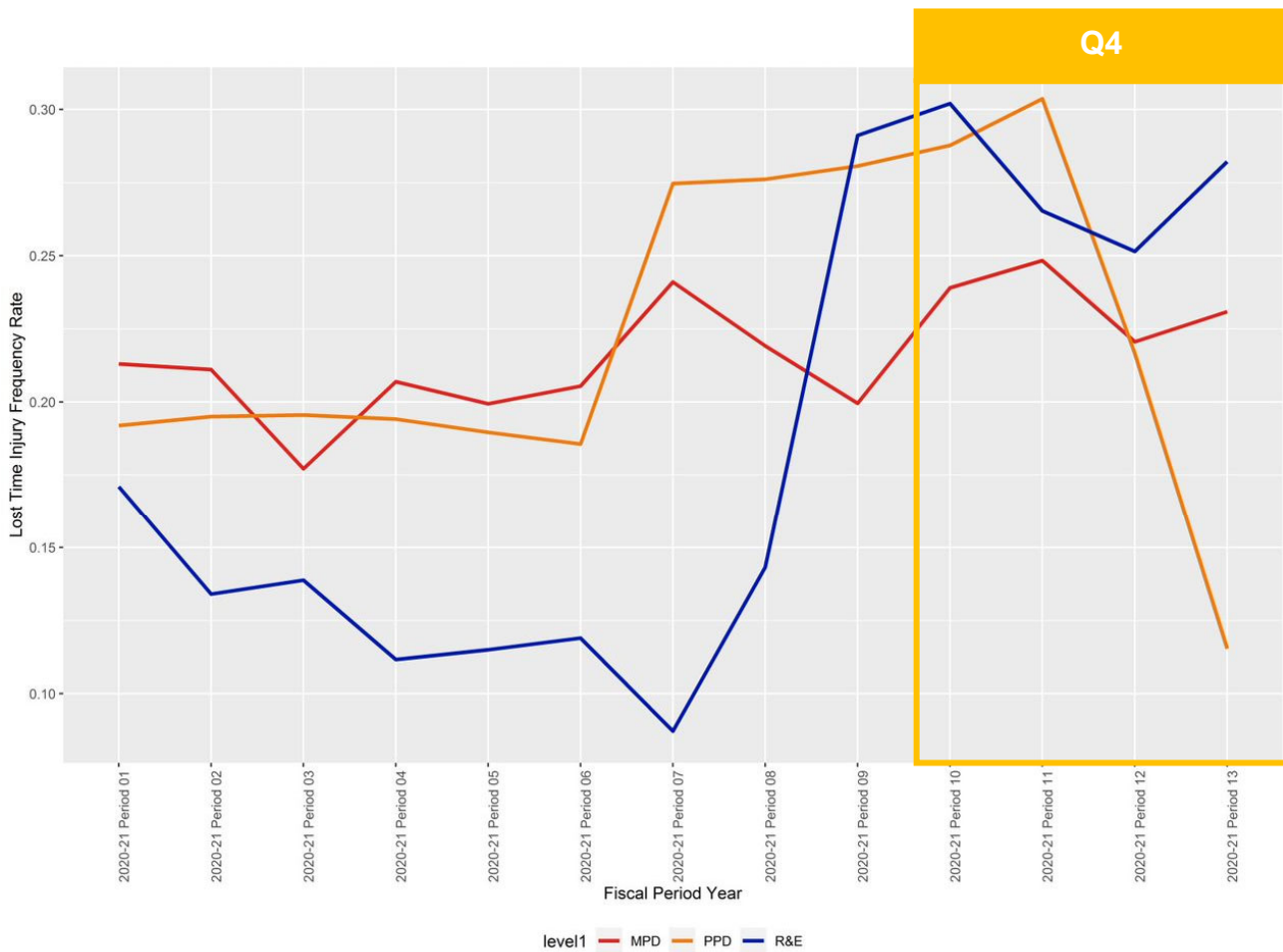


There were three Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) accidents in Quarter 4, with one in our Major Projects Directorate (MPD) and two in London Underground projects (referred to as Renewals & Enhancements – R&E in our data). This is lower than the eight reported in Quarter 3.

In Quarter 4, the average rates across the four periods improved for LU R&E and Surface Project & Programme Delivery (PPD), MPD’s performance was within the target threshold range.

The top cause of RIDDORs over the past financial year was slips, trips and falls.

## Lost time injury frequency rate (2020/21)

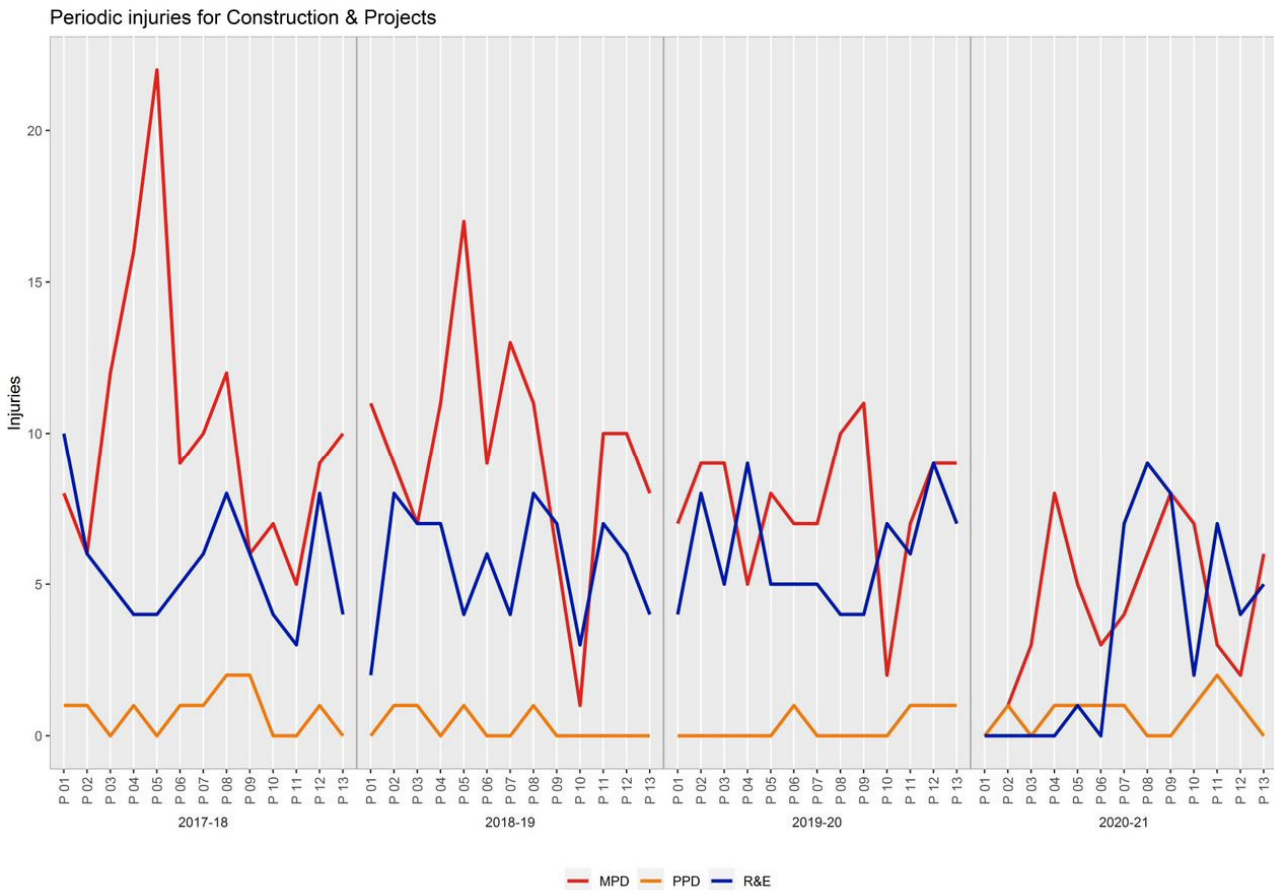


During Quarter 4, there were eight lost time injuries, with five in MPD and three in LU R&E. This means that lost time injury frequency rate in Surface PPD fell significantly during Quarter 4 and fell slightly in London Underground projects, but rose slightly in MPD. Rates are against a threshold of 0.2.

The top cause of lost time injuries over the past financial year was again slips, trips and falls.

## Long term trend

### Total capital delivery workforce injuries (since 2017/18)



There were 40 injuries during Quarter 4, with the most common cause being slips, trips and falls. This is a slight decrease on the previous quarter. All injuries are investigated by the suppliers involved, to establish root cause(s) and put in place mitigations to help prevent re-occurrence. Where identified, lessons from local investigations are shared across TfL capital delivery and, where appropriate, across the wider industry. In keeping with our risk based approach we will always ensure the level of investigation is proportionate to the potential for harm to be caused (see “Potential Signal Passed at Danger Risk” and “COVID-19 Outbreak at Old Street” pages 37 & 38).

Unfortunately, there were 108 workforce injuries in the past financial year, however this is a 41 per cent reduction on the previous year. This continues the year-on-year decline in the number of injuries across the three areas.

Despite this welcome news, injuries must be considered in the context of the hours worked, which were 39 per cent lower in 2020/21 than 2019/20 (due to the COVID-19 Safe Stop).

## **Capital delivery updates**

### **Zero Harm Forum**

We held a joint TfL and supplier Zero Harm Forum on 16 March 2021. The aim of the Zero Harm Forum is to enable ideas and initiatives to be shared with our suppliers and us, to help reduce the potential adverse impacts of our activities on our people and environment. There were 61 representatives from 35 supplier organisations present. Our guest speaker was Karl Simons OBE (Chief Health, Safety & Wellbeing Officer, Thames Water) who provided an insight into the health and wellbeing work being done at Thames Water. This event is evolving to cover more than the traditional health, safety and environment issues. We consciously broadened the scope with an emphasis on people issues, under the theme of 'Building Back Better Together. A great example was provided by the Morgan Sindall/ Volker Fitzpatrick joint venture, with their work on "Social Value" at the Barking Riverside Extension project, and the wider benefits being delivered beyond the site boundary during their works.

All attendees would have learned something new from the event from each other. We will be holding the next full Conference style event towards the end of the year. In keeping with our desire to share knowledge on a wide range of relevant issues we shall focus on innovation, aspects relating to "Challenges" within the Transport Infrastructure Efficiency Strategy (TIES) and the drive towards the goal of "carbon neutral".

### **SHE Capital Delivery & Maintenance Strategy**

In Quarter 1 of 2021/22, we will be launching a new strategy aimed at a more consistent approach to safety, health and environmental management across TfL. With the organisation managing some of the largest capital delivery and maintenance works in the UK, establishing a central framework will help us reach our goal of zero harm. The strategy is the first of its kind, and will enable better collaboration across TfL and with the supply chain, helping to raise standards and influence the industry as a whole.

## **Safe track access during maintenance and capital delivery**

Working on the track environment is potentially high risk. There have been a number of recent tragic incidents on the mainline railway, including the tragedy at Margam in July 2019 where two Network Rail track workers were killed, and a tragedy near Surbiton in February 2021 where a 30-year old man died.

While the risks for our workforce accessing the track differs from Network Rail, we want to improve the way our workforce access the track environment to ensure it is as safe as possible. We have established a Safe Track Programme, which will make it safer for those accessing our track environment during engineering hours and ensure no one is killed or seriously injured. This includes improvements to the process, cultural changes and building new infrastructure and technology to mitigate the main risks when accessing the track.

We will start to install new permanent signage at key locations on the London Underground track in June 2021.

The signage will identify areas of live current and make it easier to understand the local track layouts in complex areas, as well as helping those accessing the track environment to understand key areas of risk.

We reviewed the key learnings from the Rail Accident Investigation Branch (RAIB) report into the tragedy at Margam, which was published in November 2020, and have shared that learning with all our relevant teams as part of our ongoing conversation around safety in the workplace. The review identified a number of improvement actions which we have incorporated into our Safe Track Access programme.

## **Work-related violence and aggression**

Work-related violence and aggression towards our people and those of our operators and contractors is unacceptable. We have a programme to tackle it, which includes preventing incidents from occurring and improving support for those who experience it.



## Police recorded violence and public order offences against staff (volume)



Despite passenger ridership being down in Quarter 4 compared with the previous quarter, police crime data for work-related violence and aggression offences showed a six per cent increase (26 additional offences) from Quarter 3. This was 32 per cent lower (232 fewer offences) than Quarter 4 2019/20.

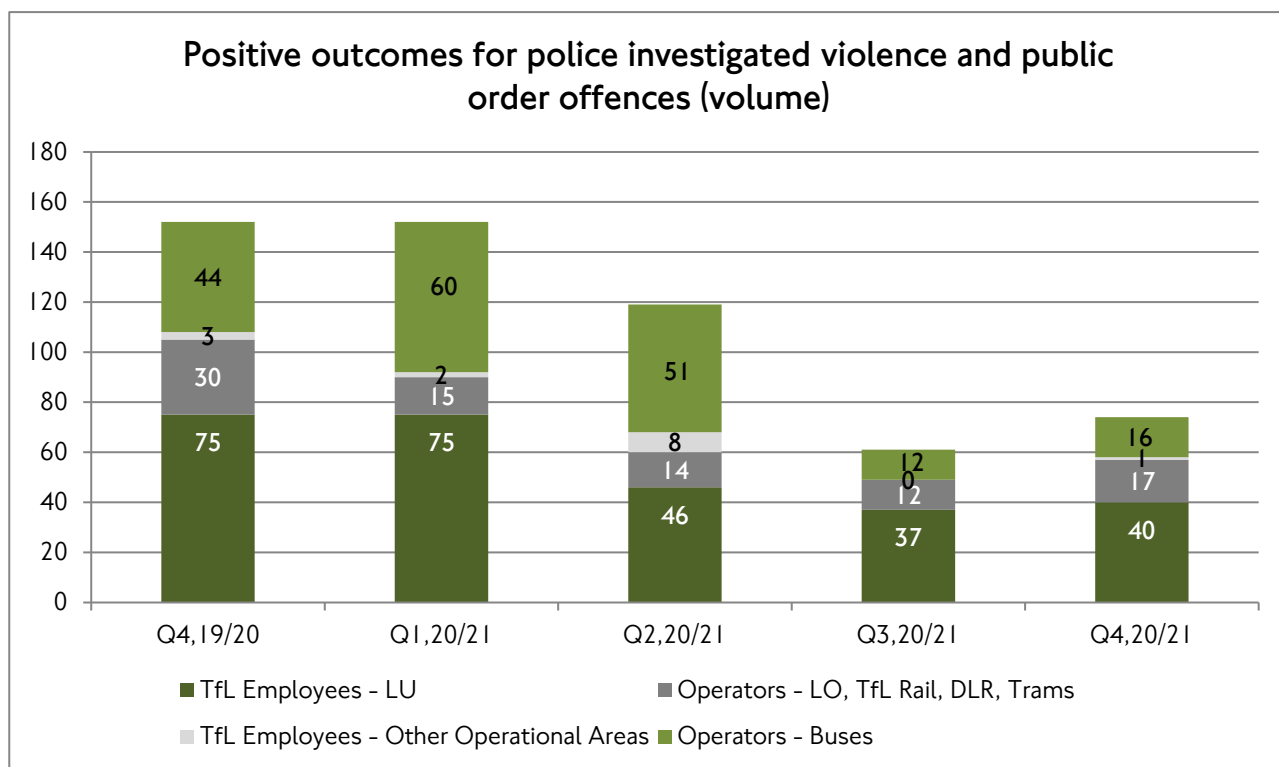
Around half of the offences were targeted at bus drivers, with the majority of incidents involving verbal abuse and threatening behaviour. Spitting incidents on the bus network – from both passengers and other road users – accounted for 32 per cent (68 offences) of all work-related violence and aggression offences involving bus drivers. While this figure is lower than Quarter 4 2019/20 (40 per cent, 97 offences) it remains a concern. Given the serious nature of the threat such behaviour poses, we are working closely with the Metropolitan Police Service Roads and Transport Policing Command to support the investigation of these offences.

We are using all evidential opportunities, including CCTV, Oyster card data and DNA spit kits to quickly identify and charge suspects and bring them in front of the courts as quickly as possible.

On the London Underground and rail networks, spitting incidents accounted for 18 per cent of all work-related violence and aggression offences involving staff, which is proportionately higher than Quarter 4 2019/20 (nine per cent). Again, we are working with the British Transport Police to take action against those who commit these offences.

It is completely unacceptable that transport staff are being subjected to hate-motivated violence and aggression as part of their jobs. In Quarter 4, the proportion of hate-crime offences against staff was 17 per cent (82 offences). This has steadily fallen throughout the year from a high of 25 per cent in Quarter 1 (102 offences). Most hate crimes are racially motivated, accounting for more than 80 per cent, which is consistent across all modes. The investigation of hate crimes against our staff and those of our operators and contractors is a priority for our transport policing partners.

### Positive outcomes for police investigated violence and public order offences (volume)



During 2020/21, the overall positive outcome rate for offences against our staff was 22 per cent, compared with 16 per cent in 2019/20. This value fluctuates between the British Transport Police and the Metropolitan Police Service, reflecting the live nature of investigations with many cases open at the time of reporting. Most work-related violence and aggression offences were on the bus and London Underground networks, with the positive outcome rate for 2020/21 being 14 per cent and 33 per cent respectively.

## **Prosecutions on buses**

### **Spitting offence on 472 bus**

On 20 December 2020, a person boarded a 472 bus and verbally abused the driver and passengers, including shouting and swearing about COVID-19. When police officers arrived, the suspect spat at them. They appeared in court in January 2021 and were given a four-month prison sentence.

### **Spitting offence on 128 bus**

On 15 July 2020, a bus driver on route 128 was spat at. The suspect was identified by the spit sample taken by the driver. On 11 January 2021, the suspect was given a 10-week suspended prison sentence, ordered to pay £100 compensation to the victim and given a six-month drug rehabilitation requirement.

### **Spitting offence on 264 bus**

On 6 September 2020, a bus driver on route 264 was spat at after a fare dispute. The suspect spat at the assault screen, ripped the wing mirror off the bus and attempted to smash the cab window. On 14 January 2021, he was given a 10-week suspended prison sentence, ordered to attend rehabilitation for 40 days and fined £50.

### **Hate crime and spitting offence against a bus driver**

On 14 August 2020, a drunk and disorderly passenger refused to leave a bus. The suspect became confrontational and racially abusive and spat at the driver. The DNA spit kit was used to confirm the suspect's identity. On 19 January 2021, the suspect was sentenced to six months imprisonment and ordered to pay a victim surcharge of £156.

### **Spitting offence on 436 bus**

On 13 February 2021, a passenger refused to pay a fare and tried to walk past the driver. When challenged, he became abusive, before pulling down his face mask and spitting at the driver, before getting back off the bus. The driver used a swab to collect a sample, which was used to identify the person, who was arrested. At court in March 2021, he was sentenced to 18 weeks' imprisonment and ordered to pay a victim surcharge of £128.

## **Prosecutions on London Underground**

### **Warren Street station**

A man pushed through the barriers without a ticket or touching in. When a member of staff reminded him that he needed to pay for his journey, the man threatened him and subsequently assaulted him. The man pleaded guilty to assault and criminal damage to

property and was sentenced at Westminster Magistrates Court on 11 March. He was been banned from Warren Street Tube station indefinitely, ordered to stay in his home overnight for three months, given a 16-week prison sentence suspended for 18 months and ordered to pay £550 to the victim.

### **Leicester Square station**

A man was causing an obstruction and became abusive when asked to move. He verbally abused two members of staff, who caught his actions on body-worn camera. The man admitted common assault and public order offences and was given a community order, which banned him from Leicester Square for a year, and ordered to pay £100 compensation and £125 costs.

### **Morden station**

A man became abusive after repeatedly being asked to maintain social distancing. He threatened a member of staff and spat at them twice. A spit sample was used to identify the man, who admitted the offence. He was ordered to pay £100 compensation and, after offending again, was sentenced to 12 weeks in prison, suspended for 12 months.

### **Tooting Broadway station**

A man asked for a refund on his Oyster card. When the member of staff explained that he would have to contact TfL Customer Services, he became abusive and spat twice at the member of staff. A spit kit was used to identify the offender. He was charged with common assault, which he admitted, but then failed to attend two court dates. When he finally appeared in court, he was sentenced to 10 weeks in prison, suspended for 18 months, and ordered to take part in rehabilitation activity.

### **Cockfosters station**

Two members of the public alerted a member of staff that a woman on a train had allegedly stolen items from a shop outside the station. The member of staff told the woman that the train would not leave with her on it. She then assaulted the member of staff and spat on the floor. Police arrived and she was arrested. She admitted common assault and was ordered to pay £100 compensation.

### **Earl's Court station**

A man approached a member of staff demanding a cigarette, before spitting at them. Police were called but the suspect had gone. He returned an hour later and was arrested by police. The man admitted common assault and was sentenced to 10 weeks in prison, suspended for six months. He was also ordered to pay £150 compensation and £100 costs.

## **Tackling work-related violence and aggression**

A year after the launch of our first Work-related Violence and Aggression strategy, we have made excellent progress in many important areas, despite the financial impact and restrictions imposed by the coronavirus pandemic.

These include completing the first phase roll out of body-worn cameras, rolling out our new transport support and enforcement officers, creating a workplace violence unit that combines the teams in London Underground and Surface Transport, and customer communications outlining the consequences of assaulting our people. While some projects had to be paused, our priority to do more to protect our frontline teams meant the roll out of body-worn cameras was given 'safety critical' status, enabling the work to continue. Around 6,000 colleagues now have access to a body-worn camera while they are on duty and we are assessing the possible roll out of body-worn cameras to other frontline colleagues.

Despite the restrictions of social distancing creating challenges for training, we have recruited and trained 58 new transport support and enforcement officers. These officers provide a highly visible and reassuring presence on our network, tackling the triggers of work-related violence and aggression, and dealing with anti-social behaviour through engagement and enforcement. They also enforce our byelaws, health regulations and other offences using a variety of powers. We will continue with our plans to recruit more officers over the coming year.

While developing our Work-Related Violence and Aggression strategy, frontline teams told us they wanted more customer-facing communications to highlight the consequences of assaulting our staff. We are now creating a multichannel campaign, which will launch in Quarter 1 of 2021/22.

### **Future plans**

Action to tackle work-related violence and aggression continues to be high on our agenda. The work plan for 2021/22 will be presented to Safety, Sustainability and Human Resources Panel at its next meeting for approval.

## **Significant incidents**

This section outlines significant incidents that have occurred during Quarter 4. It also provides an update to significant incidents of note.

### **Update on Sandilands tram derailment**

On 9 November 2016, Dane Chinnery, Donald Collett, Robert Huxley, Philip Logan, Dorota Rynkiewicz, Philip Seary and Mark Smith tragically died when a tram derailed and overturned on a curve as it approached Sandilands junction in Croydon. The RAIB investigated the incident, as well as the British Transport Police and the Office of Rail and Road (ORR). The RAIB issued its report in 2017 and updated it in 2018. The report made 15 recommendations. All of those recommendations that related to TfL and London Tramshave been implemented.

The Sandilands Inquests commenced on 17 May 2021 and are expected to last until 13 August 2021.

The victims and all others affected by this incident remain in our thoughts and we continue to offer support to those people directly affected as well as the wider community. Our Sarah Hope Line remains available to provide help with counselling and other support to anyone who needs it.

### **Incidents of note on the tram network**

In the previous report, we detailed three significant incidents that happened on the tram network between August and October 2020. None of these resulted in injury or harm to our staff or customers.

New Addington near miss – 14 August 2020

Mitcham near miss - 14 September 2020

Addiscombe derailment – 21 October 2020

While none of these instances resulted in injury or harm to our staff or customers, they are being taken very seriously. We are in regular dialogue with the ORR with regards to jointly working through the incidents with Tram Operations Limited (TOL), a subsidiary of FirstGroup, who operate the tram service under a 30 year contract, to ensure no further incidents occur in future and appropriate reporting to TfL and the ORR is undertaken. We continue to work collaboratively with TOL and the ORR and progress has been made in a number of areas including preparing a joint statutory reporting procedure with TOL, reviewing the Risk Model, and work to put in place the Joint System Safety Improvement Plan.

## **Failure of the iBus system**

On 10 February 2021 at around 05:20, there was a power failure affecting the data centre which hosts the iBus automatic vehicle location system, leading to a system-wide failure of vehicle tracking and voice communications between bus drivers, the Network Management Control Centre, bus operators and bus controllers. The incident recovery took around nine hours, during which time TfL and bus operators could not maintain communication with buses using the iBus system. Communications were eventually restored in the early afternoon.

A Formal Investigation Report was commissioned which included an independent review of factors underlying the failure. The provisional report has been reviewed by a cross-TfL panel which has agreed lessons learned and remedial actions.

## **Alleged bus passenger fatality**

On 14 May 2021, TfL Customer Contact Operations were contacted by the son of an 81-year-old lady, who had reportedly suffered a fall on a route 51 bus on the morning of 7 May 2021, during a heavy braking event. We were later advised on 20 May by the operator of the route that sadly the elderly passenger had died.

The passenger is reported to have fallen inside the bus and suffered a broken arm and ribs, as well as internal bleeding. The incident does not appear to have been reported at the time until the injured party was subsequently taken into hospital several days after the alleged incident.

Based on investigations so far, no records or CCTV of an incident matching the description have been reported by bus drivers of the route, however we are continuing to pursue all lines of enquiry.

We understand that the Coroner is involved, but at this stage, has not contacted TfL.

## **Potential signal passed at danger risk**

On 19 March 2021, on the westbound District line at Monument, an error within the recently commissioned Communication Based Train Control system meant that a train operator could engage the legacy 'tripcock mode' earlier than the stopping location. This would remove any speed supervision and protection and introduced a risk of a collision between trains. We took immediate action to address and eliminate this risk.

A technical investigation has been commissioned by Thales and we have initiated a formal investigation to focus on software root causes and our assurance processes.

Potential impacts on the signalling rollout have been analysed. This confirmed that the roll out of this next signalling section was safe, and it was successfully launched in April 2021.

The ORR has been informed and, in addition to specific immediate questions regarding potential ongoing risks, which have been answered to the satisfaction of the ORR, they are awaiting the outcome of our Formal Investigation Report.

## **COVID-19 outbreak at Old Street**

On the 23 March 2021, there were 18 positive COVID-19 tests over a 72-hour period at the construction site at Old Street. Those affected were a mixture of principal contractor, Morgan Sindall, and civils sub-contractor, J Coffey, TfL staff, plus a member of cleaning staff. No one who tested positive was subsequently hospitalised.

The site was temporarily stood down for it to be deep-cleaned. All office and construction staff working on the site were advised to get tested. We received assurances from both Public Health England and London Borough of Islington Environmental Manager that the controls on site were adequate and only minor improvements were suggested. Public Health England/Islington both looked at the evidence available and were unable to pin point a clear transmission source. Our recent assurance checks of the site highlighted a good standard of procedural and physical controls. Due to the scale of the outbreak, Morgan Sindall has reported this event under RIDDOR to the Health and Safety Executive (HSE). Currently, the HSE has not indicated any action.

We have a pan-TfL COVID-19 response for capital delivery, part of which has postponed non-essential visits to construction sites since December 2020. Our Capital Delivery Improvement Group has established a roadmap to unlock non-essential visits to site, aligned to the Government's four-step plan.



## **Issues identified with TXe model taxi**

In January 2021 we became aware of an incident with a glass panoramic roof of a London taxi becoming detached while the vehicle was in motion. This was a TXe model taxi which is manufactured by the London Electric Vehicles Company (LEVC). There were no reported injuries as a result of the incident but as the regulator of London taxis we were concerned that this issue had occurred and immediately discussed the matter with LEVC who agreed to embark on a safety check programme for all TXe vehicles.

There are 4,041 licensed TXe vehicles in London and 3,711 vehicles could potentially be affected. LEVC has, to date, conducted safety checks on 76 per cent with the remainder on track to be completed by end June 2021.

Through these safety checks LEVC has identified a failure rate of around seven per cent where remedial works are required on the glass panoramic roof due to finding contaminants in the bonding that is used to secure the roof.

While these safety checks were underway, unfortunately a second incident of the same nature occurred in April 2021 where a glass panoramic roof detached from a TXe vehicle while the vehicle was in motion. Again there were no reported injuries as a result of this incident and further investigation revealed that this vehicle had undergone a safety check at an LEVC dealership but the vehicle owner had declined the remedial works at the time.

Measures are now in place with LEVC to ensure no further vehicle owners can decline having the remedial works carried out immediately should a failure be identified.

We are in regular contact with LEVC and providing assistance to accelerate the safety check programme. As part of this, we have written to the owners of the remaining vehicles not yet checked highlighting the need to arrange for the safety checks to be undertaken or appropriate licensing action will be undertaken which could include the suspension of the vehicle licence until such time we are satisfied the vehicle is safe to be driven. We are also contacting all vehicles where their licence is due to expire, highlighting the vehicle will not be relicensed until the check has been carried out and any remedial work completed.

## **Engagement with regulators**

This section looks at how we have engaged with our regulators on safety issues over the past quarter.

## **London Fire Brigade**

We regularly share progress of our Fire Safety Programme with the London Fire Brigade (LFB), which gives us the opportunity to hear its views on our approach and for us to discuss our plans for improving fire safety across TfL. These collaborative discussions have allowed us to share the detail of our fire risk assessment programme and training with the LFB, as well as sharing detail on how we manage and maintain our fire assets with the LFB inspectors.

## **Engagement with the ORR**

We continue to work closely with the ORR to ensure we manage health and safety effectively across our railway networks. We have regular discussions around our ongoing response to the coronavirus pandemic, as well as constructive open and honest discussions about any incidents on our network. We are working closely with them to identify opportunities for improving how we manage health and safety.

## **Engagement with the Environment Agency**

We continue to work closely with the Environment Agency on our progress to remove Polychlorinated biphenyls (PCBs) on London Underground. PCBs are substances that are toxic to humans and animals. There is legislation in England and Wales, as well as an international agreement, which bans their use. Some of the thousands of different types of electrical capacitor used in signalling, power, fleet, tunnel telephone systems on the London Underground predate this legislation and therefore sometimes contain PCBs.

In the last weeks of Quarter 4, a big milestone was reached – the last two remaining PCB transformers had their oil changed (PCBs are contained within the oil). These large power Transformers in substations are the assets which hold the largest volumes of potentially PCB contaminated oil and our last few were hermetically sealed so posed particular challenges. Transformers have their own specific PCB legislative requirements and London Underground has come in a few years ahead of the UK and international deadline which apply to them.

Meanwhile, also in Quarter 4, London Underground continued to survey and test for equipment that may contain PCBs and prepare to re-start on-site retrieval and replacement programmes which were delayed due to coronavirus. Programmes have been re-adjusted to meet legal deadlines. A previous difficulty reported regarded constraints in replacement of PCB components due to be replaced through the Piccadilly Line Upgrade. A planned way forward has now been identified and plans are progressing.

## **Investigations started or concluded in Quarter 4**

### **Jubilee line longitudinal beam fracture – Complete**

On 17 October 2019, fractures were identified on the longitudinal beams of the coupling system on a Jubilee line train during a routine exam at Stratford Market Depot. The fractures were significant enough to warrant immediate escalation and checking of other trains in the depot.

The Jubilee line was suspended from service in a controlled way that evening. Over the following weeks, a more detailed examination identified 58 inner longitudinal beams with fractures on 44 out of 441 cars. Ten of these fractures were deemed Category 1, which is the most severe, and withdrawn from service until they could be repaired. During this time, strict checks were put in place to ensure that we continued to offer a safe service to our customers.

The formal investigation found two root causes and made 16 recommendations, eight of these related to engineering/technical aspects, including amendments to standards to future proof learning. The remainder related to human factors, such as record keeping, human error and learning from outside industries. These recommendations are being delivered by the relevant expert teams in TfL.

### **Ludgate Circus traffic signal issue – Complete**

On 16 December 2019, a pedestrian was crossing the road at New Bridge Street at the corner of Ludgate Hill on a green man crossing. They were involved in a near miss with a cyclist, who was also proceeding on a green signal from Farringdon Road.

Following completion of changes on 15 December 2019, representatives returned to site on Monday 16 December 2019 to see it in operation. While they were there, a member of the public told them about the green man being on at the same time as the green traffic light being on at the conflicting junction, which led to the near miss. The engineer found that the green man controlling the Ludgate Hill pedestrian crossing, went on at the same time as the green man controlling the conflicting traffic from Ludgate Hill and Fleet Street.

Four main causes were found, including not terminating cables correctly and more focus on the complex areas of the job. The formal investigation made three recommendations to address the root causes and observations were made in the course of the investigation. These were poor judgement, communication flaws and gaps in process.

### **Automated traffic signals formal investigation report – Ongoing**

This investigation will review the controls we have in place around the commissioning of automated road traffic signals. The focus will be on the incidents where automated traffic signals have been commissioned incorrectly, leading to unsafe conditions. This review will

include the design, installation, site acceptance testing and commissioning of these signals.

### **Potential signal passed at danger**

On 19 March 2021, an error was identified in the recently commissioned Communication Based Train Control system on the District line at Monument. This incident is covered previously in the Significant Incidents section of this report.

A TfL Formal Investigation into this incident has been commissioned. A separate technical investigation was commissioned by Thales and has fed into the TfL Formal Investigation. No formal action has yet been taken or indicated by the ORR.

Since this incident, the next signalling migration area, has been deployed safely and successfully onto the operating railway.

### **RAIB**

The RAIB is still investigating the incidents below. We are waiting for its final draft reports, which are due soon.

### **Customer fatality at Waterloo**

On 26 May 2020, a customer on the Underground tragically died while alighting from a Bakerloo line train at Waterloo station. We have carried out a thorough investigation into the incident and published our Formal Investigation Report in December 2020.

The RAIB is investigating this incident. We have provided all information requested by the RAIB to them.

On 29 October 2020, the ORR issued London Underground with an Improvement Notice. The notice focused on how we have identified the risks at this platform, how we document the risk and controls, and our justification for these controls being appropriate. We responded to the ORR's Improvement Notice on 22 December 2020. The ORR noted that it was content with our proposed approach and the seriousness with which we were treating this issue. The ORR confirmed it had closed the Improvement Notice on 22 December 2020.

### **Chalfont and Latimer signal passed at danger**

On 21 June 2020, a Chiltern Railways passenger train passed a signal on the Metropolitan line at danger. The driver reset and proceeded without authority, contrary to the London Underground Rule Book and Chiltern Railways Company Limited rules and instructions. This resulted in the train crossing a set of points at 25mph, which is 10.4mph above the permanent speed restriction. The train stopped around 23 metres short of a Metropolitan

line train. The RAIB is investigating this incident and is working closely with Chiltern Railways on the investigation. We have provided all information requested by RAIB to help during this investigation.

## **Lessons learned and actions**

### **RAIB**

The RAIB published its annual report in April 2021. This was accompanied by two new learning documents: 'The safe management of weather-related events that affect train operation' and 'The integrity of train braking systems'.

The RAIB also published a report into an accident at Southeastern-managed Eden Park, where a visually impaired person fell onto the track where there was no tactile paving and was killed. This was reviewed by TfL to ensure that we are confident that we are managing similar risks on TfL services.

# Coronavirus

Since the start of the coronavirus pandemic, our response has evolved from immediate responses that protect the safety and health of our customers and workforce, to more continuous measures as we adapt to new ways of working and travelling. We continue to support the Government advice that customers should walk or cycle where possible, and avoid busy times and routes when using public transport, and we have implemented all Government guidance relating to the virus

## Transport workers lost to COVID-19

As of 31 March 2021, we regret that 89 people who worked on the transport network have tragically lost their lives to COVID-19 since the start of the pandemic. Each of these losses is a personal tragedy to their friends, family and colleagues and our thoughts are with everyone affected.

We sadly lost 17 people from our Tube and rail areas, two people worked in our Head Offices, 66 people we tragically lost from Surface Transport, including 51 bus and two Dial-a-Ride drivers, and we also lost four people from our partner organisations.

## Face covering enforcement

Our enforcement officers continue to enforce the mandatory wearing of face coverings on all public transport modes, unless a passenger is exempt, using powers under the Health Protection (Coronavirus, Wearing of Face Coverings on Public Transport) (England) Regulations 2020. This work is being supported by the British Transport Police and the Metropolitan Police Service Roads and Transport Policing Command. Customer compliance remains very high in general, particularly during peak travel times. Customer research findings show that 90 per cent of customers say they are wearing a face covering at all times while using our transport services. Of those not wearing a face covering more than half claim to have an exemption or valid reason for not complying.

To help support our messaging, we have an ongoing communications campaign which includes radio advertising and posters across the network and extensive press coverage to encourage Londoners to wear a face covering at all times on public transport unless exempt. We have also developed new communications to target the stubborn minority who are still not wearing a face covering. This includes promoting video content of our enforcement officers stopping people not wearing face coverings and reiterating that if you do not wear one you could be turned away from our services or fined up to £6,400. The video runs on paid social media and predominantly targets 16 to 34-year-old males, as research and enforcement team feedback tells us this group is least likely to comply. In addition to this, we used Instagram to target 12 to 18-year-old children ahead of schools

restarting. We used trusted peer-to-peer voices to help change behaviours and persuade young people that wearing a mask on public transport is the caring and vital thing to do.

## **Research into bus driver deaths from COVID-19**

On 19 March 2021, we published the second phase in a two-part study looking at the impact of coronavirus on London's bus drivers. We commissioned the research, which was conducted by University College London's Institute of Health Equity.

The first phase of the report into coronavirus-related fatalities among London bus drivers between March to May 2020, was published in July 2020. This research found that many of the drivers who sadly died had underlying health conditions and characteristics that contributed to their risk of coronavirus, such as being from a Black or minority ethnic background, or living in areas of deprivation. Crucially, it showed the first national lockdown was an effective measure in saving lives, with most of the drivers who tragically passed away in this period having stopped work 10 days either side of 23 March. It concluded that more lives would have been saved if lockdown had happened earlier.

For the second phase, we invited all London bus drivers to complete a questionnaire, which gathered data such as where they lived, personal characteristics, underlying conditions and whether they thought they had COVID-19. The research found that bus drivers suffer from the same level of pre-existing conditions as the general population, although there is some evidence of earlier onset of some conditions.

The report made a number of recommendations, including:

- Bus drivers need continued protection by reducing exposure to coronavirus as long as it persists in the community
- In the longer term, early interventions on ill-health prevention are needed to reduce obesity in the population as a whole, with responsible employers playing their part
- Fatigue is a pre-existing issue for certain bus drivers, with some evidence showing that COVID-19 infection and lockdown has exacerbated this. Any action already being taken, following previous research into factors contributing to tiredness, should be enhanced to address any new issues arising from the pandemic, following a short-term review of shift lengths, patterns and rotas
- Drivers who have clinically verified ongoing symptoms of COVID-19 infection, known as long COVID, will continue to need financial, psychological and clinical support from the bus companies and the NHS, as will be the case for all those working for responsible employers
- Some bus drivers reported increased perceived passenger aggression and non-compliance during the pandemic, meaning enhanced enforcement and communication is recommended

Monitoring the health of London bus drivers is a priority following the ongoing presence of COVID-19 infection in the community, as well as consistent recording of the ethnicity of bus drivers.

We have moved quickly to ensure the bus operators have taken extensive action across the network to prevent the spread of coronavirus. This has included a relentless focus on cleaning with long-lasting anti-viral cleaning fluid and limits on the number of customers onboard buses. Staff facilities have been reconfigured to enable better social distancing and temporary Portakabin facilities have been constructed to enable staff to spread out. Throughout the pandemic, we have worked closely with bus operators and followed Public Health England and Government advice as it has evolved.

### **COVID-19 testing of our staff**

We have been at the forefront of rolling out asymptomatic rapid testing to staff to help control infection outbreaks. Testing continued and was expanded during Quarter 4 with new testing facilities opened at Hammersmith and Baker Street, which were opened in May 2021. This is in addition to testing sites at King's Cross St Pancras, our offices. To date, we have tested more than 5,000 staff, with the number testing positive at less than 0.7 per cent.

We also continue to operate a pilot scheme to test staff daily in operational control centres to help reduce absence rates by enabling regular testing as an alternative to self-isolation under the terms of the pilot. To date, this service has been used by 23 staff who were identified as being a close contact to an employee who had tested positive. None of these people subsequently tested positive themselves.

In March 2021, we launched a pilot programme in conjunction with the Department for Health and Social Care to enable the restart of in-cab training for train drivers, which had been suspended since December 2020. We used lateral flow home test kits, in conjunction with PCR tests, to ensure that drivers and trainers were negative before starting training which requires our trainers and train operators spend significant time in relatively close contact..

At the end of April 2021, we introduced the Home Test-Work Collect scheme at all our test sites, in conjunction with a nationwide roll-out by the Department for Health and Social Care. This gives staff more access to carry out coronavirus testing at home. We opened Work Collect-specific sites at Victoria Coach Station, Ashfield House and Lilley Bridge Depot, which started in May. Also in April 2021, we assisted the London Borough of Lambeth in the distribution of PCR kits to our workplace locations in the borough as part of a surge testing initiative in response to the emergence of a new variant of concern.



## **Ventilation**

We regularly review the latest Government, Public Health England and SAGE guidance, best practice advice from heating, ventilation and air conditioning industry bodies, and other relevant research to better understand how ventilation can be used as a mitigating factor against the transmission of the coronavirus. All of TfL's existing ventilation systems in both public and non-public areas, vehicles and buildings – and across all transport modes – have been reviewed against the currently available advice.

Train and bus doors open frequently ensuring a regular exchange of air across the public transport network, while the constant movement of trains draws fresh air into the system. In the deeper Tube lines, ventilation shafts and fans supplement this air movement. Buses, which are cleaned daily, have been modified to keep windows propped open and are also fitted with a range of air extraction and ventilation systems. These systems, in conjunction with leaving windows open and the frequent opening of doors, ensure the flow of fresh air through the vehicle.

Ventilation has been identified as a key factor in mitigating the risk of coronavirus, particularly in indoor spaces, and we have supported this by providing guidance about how to maximise ventilation in the workplace, along with other mitigations, such as the wearing of face coverings, social distancing, sanitisation of surfaces, effective communication, and hand hygiene, all of which we are encouraging, and where appropriate mandating, on our services.

## **Extensive cleaning regime**

Our extensive anti-viral cleaning regime continues across the transport network and includes using hospital-grade cleaning substances that kill viruses and bacteria on contact and provide ongoing disinfection. More than 1,000 hand sanitiser units have been installed across the network for everyone to use and we have now used 33,885 litres of hand sanitiser. Our cleaning contractors continue to focus on customer touch points, such as card readers, handrails and help points. This has been complemented by ultraviolet light sanitising units on escalators on the Underground helping to further increase the cleanliness of our handrails.

## **Imperial College London sampling**

As part of our continued efforts to keep everyone safe, we've been working collaboratively with Imperial College London to carry out monthly testing of the air and surfaces on the Underground and the buses - to see if coronavirus is present on our network. The testing included swabbing surfaces such as buttons, grab handles and escalator handrails to simulate a real customer journey, travelling at the same time each month to ensure comparable testing condition.

Independent testing by Imperial College London has been carried out monthly since September, taking swabs of touch points in stations, buses and air samples in ticket halls and has found no traces of coronavirus on the transport network. Testing has continued to take place on the Northern line from Waterloo to Euston, and on the 205 bus route. Researchers travelled these routes just outside peak hours, to simulate a real customer journey. This gives us confidence that the actions we have taken in response to the virus are working effectively.

Occupational Health continues to liaise with academic institutions and other transport networks worldwide to ensure our approach is at the cutting edge. The results of these surveys are continually communicated to the public and formed part of the campaign to reassure customers that we are taking all appropriate measures to protect them when travelling on our services.

# Health

## Health performance

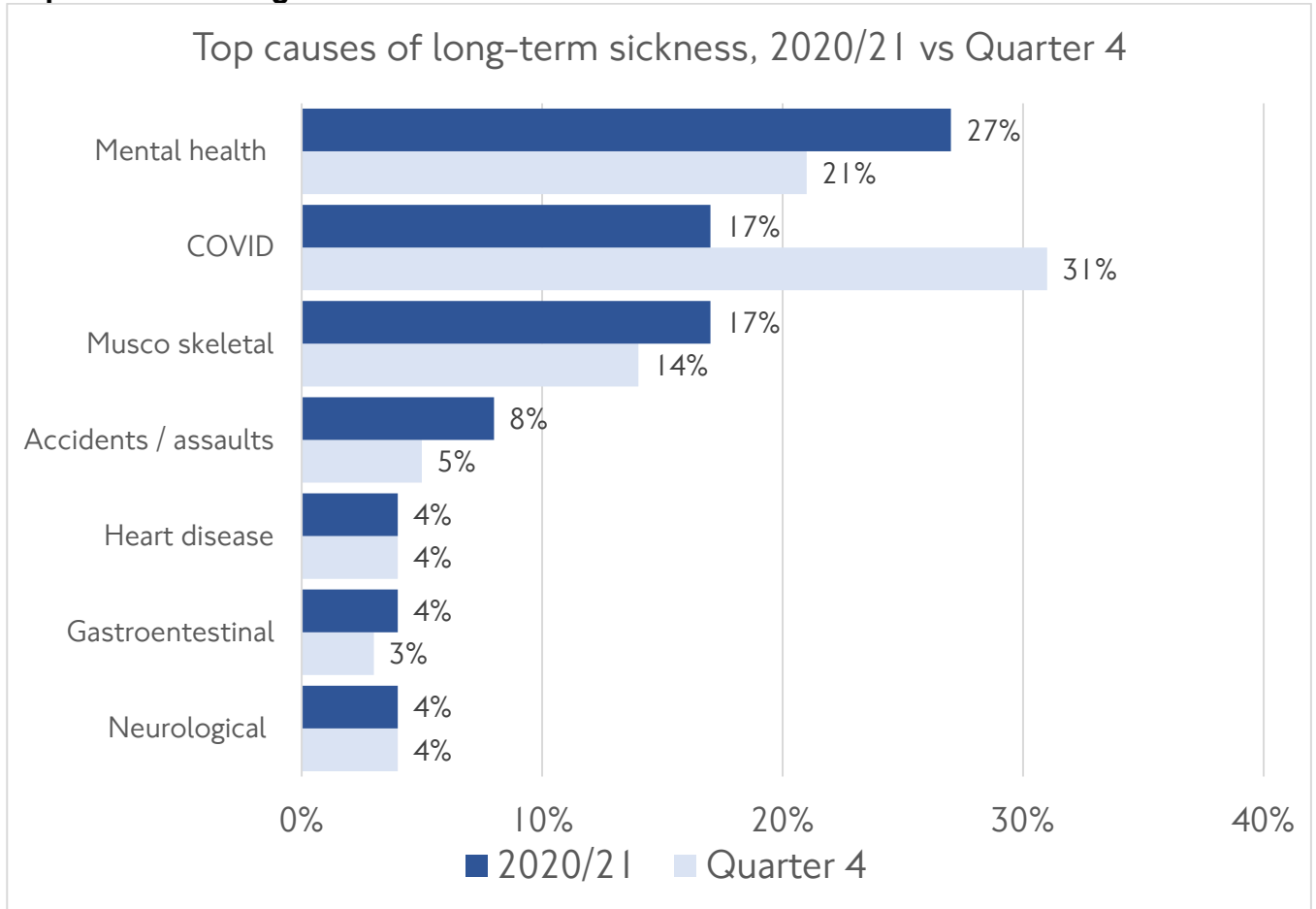
When looking at the health performance of an organisation, it is important to distinguish between short-term and long-term sickness, which is classed as absences of more than 28 days. While short-term sickness absence can be influenced by a range of factors, such as personal issues, it can provide an indication of trends and it can lead to long-term sickness absence.

By looking at the underlying causes in detail, we gain a meaningful insight into where we can best target preventative measures. Around 60 per cent of absences at any time are caused by long-term sickness.

The average sickness level over the past year was 4.9 per cent, which means at any point in time, approximately one in 20 planned work days were lost due to absence.

Total absences increased during Quarter 4, peaking in January 2021 and then reducing to a more sustained level of just below eight per cent. This means that in Quarter 4, nearly one in 10 planned work days were lost due to absence.

**Top causes of long-term 2020/21 vs Quarter 4**

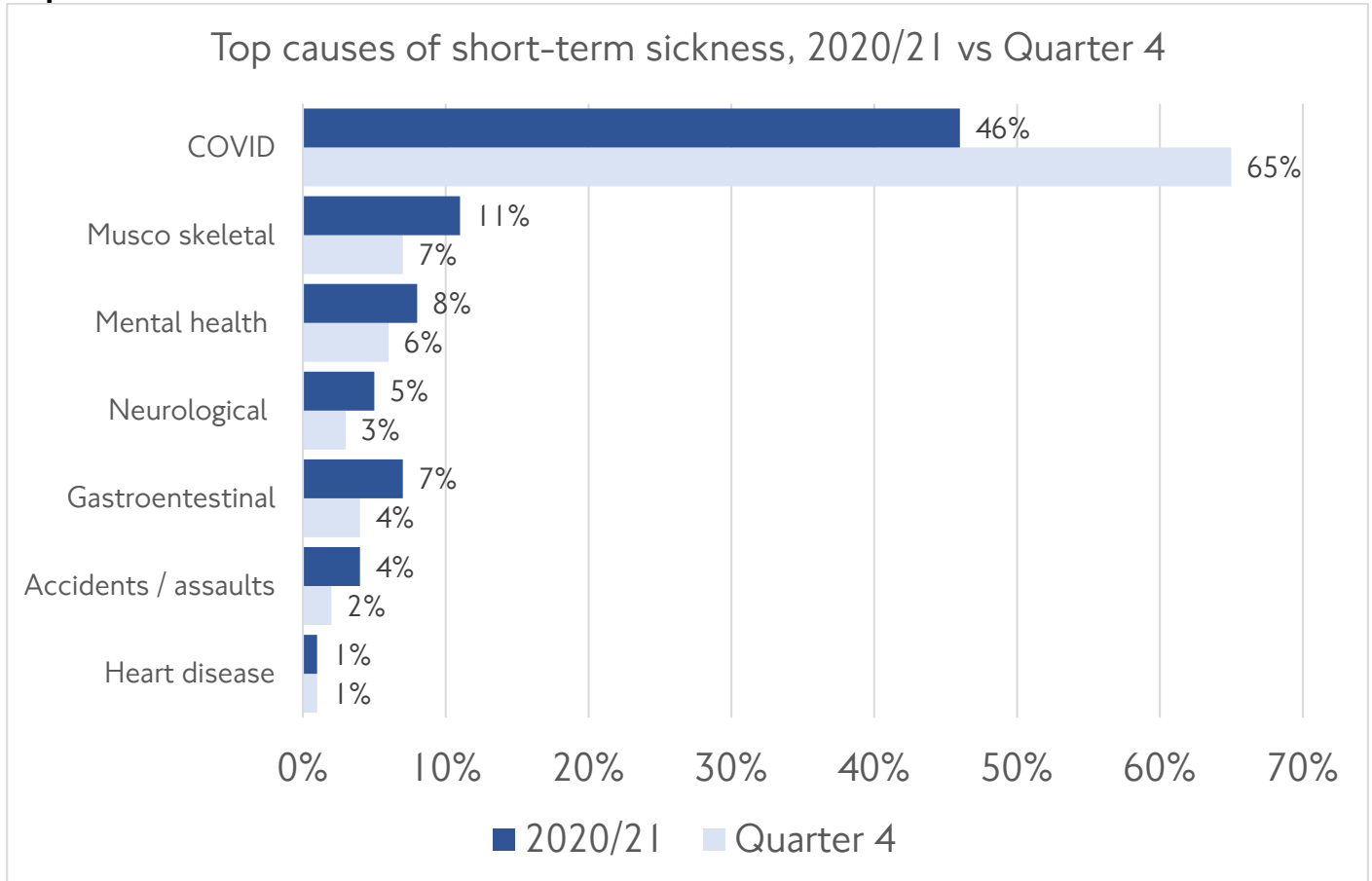


In Quarter 4, of all reported long-term absences, COVID-19 was also the main cause, accounting for 31 per cent. These rates fell following the third national lockdown, which might be expected. However, the increase in long-term sickness related to COVID-19 may require closer attention, particularly if it persists in future quarters.

Mental health was the second highest cause of absence in Quarter 4, but was the top cause of long-term absence in 2020/21, with 27 per cent of all long-term absences related to this.

Looking at the year as a whole, mental health and musculoskeletal were the top two causes of long-term absence, which is similar to the previous year. We continue to target our preventative measures at these causes.

**Top causes of short-term sickness –2020/21 vs Quarter 4**



Of all reported short-term absences in Quarter 4, COVID-19 accounted for 65 per cent of them, coinciding with the start of the global pandemic. COVID-19 was the top cause of short-term sickness over the past year, accounting for 46 per cent of all absences.

In the quarter, musculoskeletal problems were related to 7 per cent of absences, and related to 11 per cent of absences when looking at the year as a whole. Mental health was related to eight per cent of short-term absences in 2020/21, similar to the 2020/21 view

## **Health updates**

### **Understanding the impacts of dust on London Underground**

We commissioned Imperial College London to undertake a two-part study investigating potential health impacts of Tube dust on Underground workers. The study will run over three years, starting in 2021 and aiming to complete in 2024.

### **Improving sleep**

Sleep deprivation can have profound effects on health and can increase the risk of serious medical conditions. To help with poor sleep, we ran a series of Sleep Clinics from 18 January 2021, where our employees could book a one-to-one confidential slot with a member of the Mental Health team. These sessions are designed to highlight areas of change and signpost to further support where necessary.

### **Women's health**

In March 2021, the Wellbeing team, in conjunction with the Women's staff network group focused on supporting the health of women. This included a range of virtual talks from experts on miscarriage, strengthening the pelvic floor, pregnancy and ovarian cancer. Information and resources were also available for the menopause, cervical cancer and endometriosis.

### **Focus on stress**

Stress can have a big impact on how we feel physically. Although we all experience it from time to time, it is important to know what to do when it feels all encompassing. With April designated as National Stress Awareness month, there was a focus on stress, with promotion of our Employee Assistance Programme support line, online resources, tips and information on the Health and Wellbeing site. We also ran a 'Let's Talk About Stress' session on Teams on 14 April 2021, which was open to all colleagues.

### **Musculoskeletal health in the train cab**

Our Physiotherapy Team in Occupational Health & Wellbeing has developed new guidance to help our train operators and instructors look after their musculoskeletal health while in train cabs. Good musculoskeletal health means muscles, joints and bones work well together, so this guidance, which includes leaflets and videos, gives advice and tips on how to reduce the risk of pain and discomfort. It covers everything from adjusting the train cab seat to simple stretches that can be done when the operator changes ends.

## **Virtual health assessments**

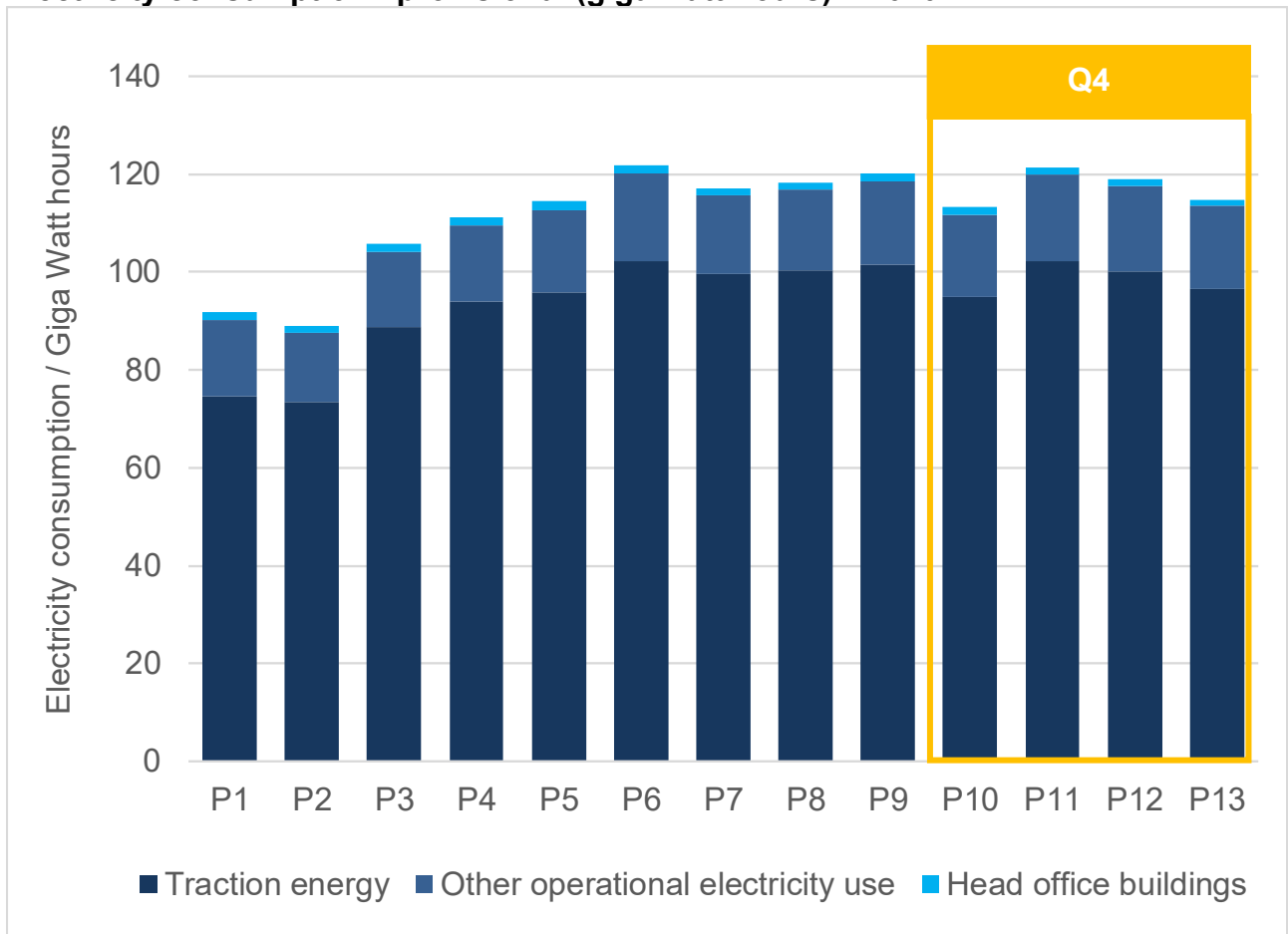
The Wellbeing team has launched a trial of virtual health assessments to operational staff. The assessments will be available from the middle of May 2021 and will give colleagues the chance to speak to a health professional to discuss physical and mental health. The sessions will give employees the chance to discuss glucose and cholesterol readings, and lifestyle factors that can affect health. Where appropriate, they will be referred to a GP or signposted to our internal services and support. The employee will receive an individual report with recommendations. Anonymised and aggregated data will be provided to help us better understand the health of our staff.

# Environment

## Environment performance

Environmental sustainability is a key priority for us and the Mayor. The main theme for this section is continuing to improve London’s air quality and reduce carbon.

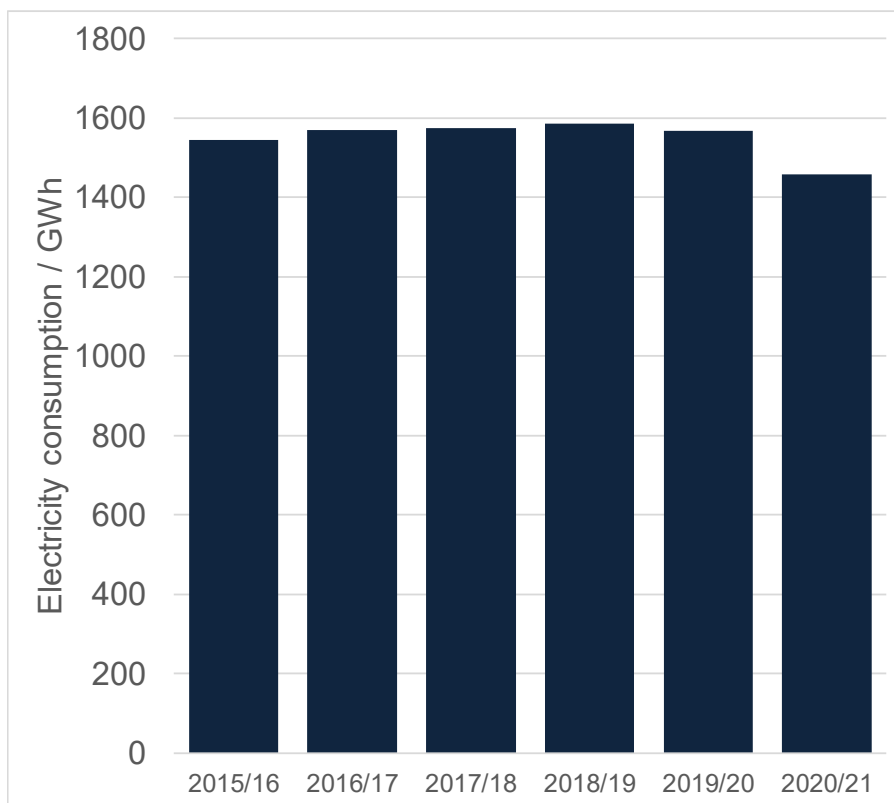
### Electricity consumption - provisional (giga watt hours) – 2020/21



Our estimated electricity consumption in Quarter 4 was around 90 per cent of the equivalent period of 2019/20, following the trend seen in the last quarter for energy consumption as rail services return to regular frequencies.

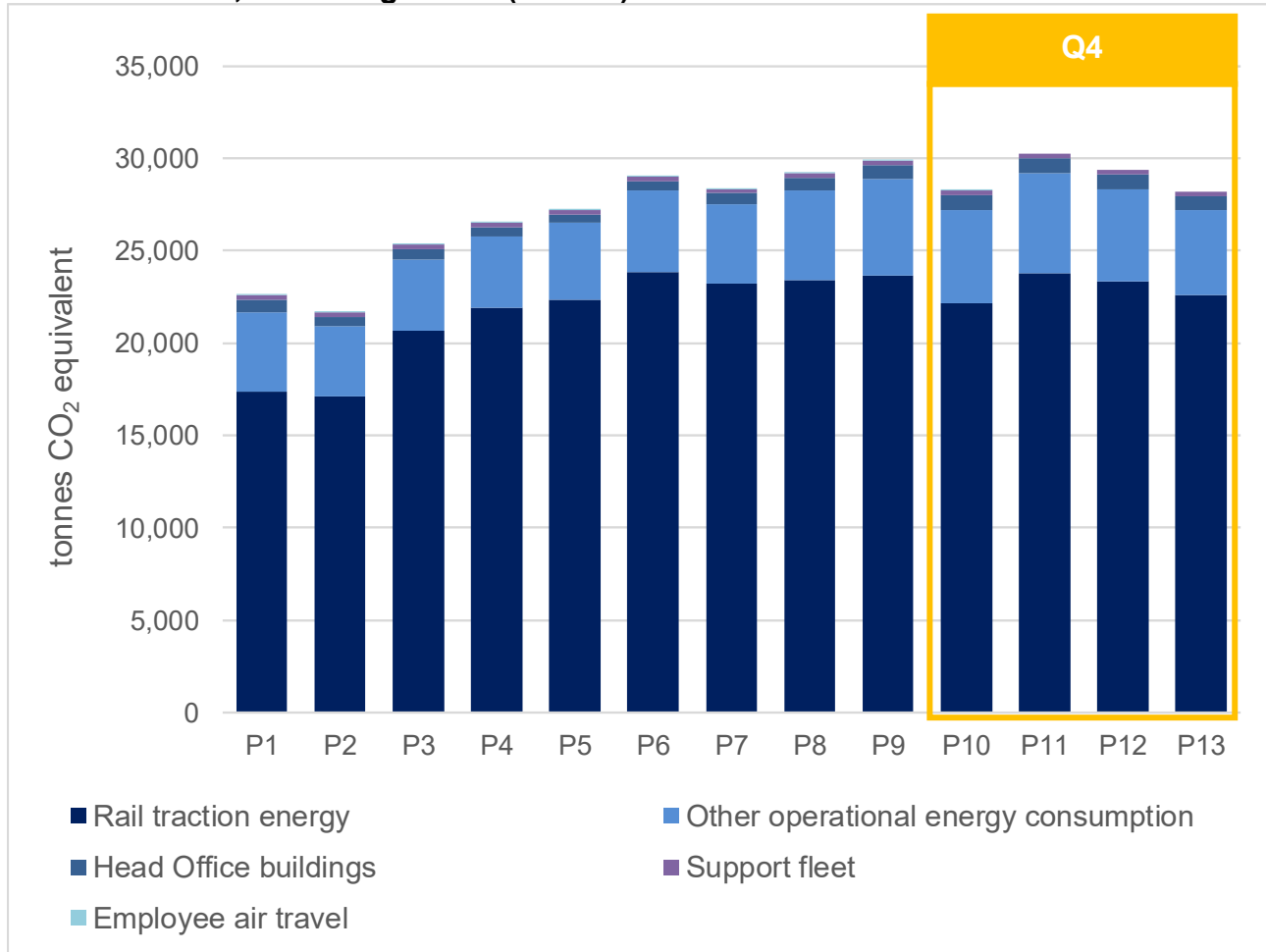


### Electricity consumption - provisional (Giga watt hours) – 2015/16 – 2020/21



Annual electricity consumption for our services was around seven per cent lower than last year overall, as a result of the reduction in services due to the coronavirus restrictions. This downturn follows electricity consumption being relatively stable in recent years, as increases in our services have been balanced by efficiency improvements. Electricity consumption is forecast to return to pre-pandemic levels in 2021/22.

**CO2 emissions, excluding buses (tonnes) – 2020/21**



Carbon dioxide emissions from operations, excluding buses, track closely to electricity consumption. Emissions in Quarter 4 were around 18 per cent lower than in the equivalent quarter in 2019/20.

The scorecard target for the second half of the year for CO2 emissions was met at 399,550 tonnes compared to a target of 409,000 tonnes.

Full reporting of our carbon dioxide emissions will be included in our Safety, Health and Environment annual report.

## **Environment updates**

### **Low emission zone**

The Low Emission Zone (LEZ) was set up to encourage the most polluting heavy diesel vehicles driving in the Capital to become cleaner. It covers most of Greater London and operates 24 hours a day, every day of the year. On 1 March 2021, LEZ emissions standards for heavy vehicles came into force. The LEZ standards for HGVs, vans and other specialist vehicles more than 3.5 tonnes and minibuses, buses and coaches more than five tonnes strengthened from Euro IV to Euro VI. This brings the LEZ standards for these vehicles into alignment with the Ultra Low Emission Zone (ULEZ) standards. The tougher LEZ is already having an impact, with new data showing compliance with the new standards is nearly at 90 per cent, compared to around 70 per cent in May 2019.

### **Update on the Ultra Low Emission Zone**

Research evaluating the impact of the central London ULEZ was published in March 2021. It showed that throughout the pandemic, compliance with the ULEZ standards has remained high. Compliance with the ULEZ at the end of December 2020 was more than 90 per cent for cars and 85 per cent for all vehicle types. This compares to 39 per cent compliance in February 2017 when the Toxicity charge, the precursor to the ULEZ, was announced by the Mayor of London, and Londoners started preparing for the ULEZ. Later this year, the expansion of the ULEZ to the North and South Circular is expected to reduce nitrogen oxides (NOx) emissions from road transport further by around 30 per cent across London in 2021 and will help deliver wider benefits for the Capital, including preventing more than one million air pollution related hospital admissions over the next 30 years, saving the NHS around £5bn.

### **Zero-emission buses**

As of 31<sup>st</sup> March 2021, there were 487 zero-emission buses in our fleet, which will be increasing to 700 by the end of 2021, subject to no further lockdowns or delays to vehicle delivery and roll out. Continued funding is essential to increase this total to further improve air quality in London and help tackle climate change.

### **Construction deliveries by cargo bike**

We are working with the City of London and London borough councils to reduce the adverse impacts of freight and service vehicles on our road network by finding more efficient ways to manage construction site traffic. Many companies in London are now having their goods delivered by cargo bike, which has opened up an opportunity for the construction industry to get involved. Cargo bikes have the capability to pull a trailer and

can use cycle lanes, which reduces the carbon footprint of construction deliveries. We have formed London's first cargo bikes in construction working group, which meets every five to six weeks and discusses what cargo bikes are, where they can be used, how to set up trials and the best practice approaches required to ensure safety. Members of the working group include numerous London borough councils, highway contractors, developers and constructors, logistics companies, planning consultants, couriers, suppliers and campaigners.



**Date:** 30 June 2021

**Item:** Rental E-scooter Trial June 2021 – June 2022

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## **This paper will be considered in public**

### **1 Summary**

- 1.1 The purpose of this paper is to set out the key areas of risk or relevance to the Panel, including safety risks, and the approach to mitigating and reducing these risks through the rental e-scooter trial launched in London on 7 June 2021.
- 1.2 A number of documents are already available publicly providing the detail to managing risks to safety and other risks through this trial, including a [Mayoral Decision](#), TfL's [Equality Impact Assessment](#) (see Background Papers) and risk assessment (Appendix 1) for the trial of rental e-scooters. It is not the intent to duplicate these documents in this paper but to provide a broad overview.
- 1.3 The paper starts by setting the background (section 4) to the Department for Transport (DfT) regulations for trials and the inevitability of a trial of some kind in one or more boroughs in London which led to the objectives of TfL's coordinated trial (section 5). Section 6 sets out the key safety risks and impacts TfL have assessed and which have driven the prioritisation of safety in all aspects of the trial, from the selection of operators (section 7), collection of data (section 8) and project governance (section 9).
- 1.4 Overall, the approach TfL is taking is designed to significantly reduce the risks associated with a trial in London. Though it is acknowledged that there is a residual risk, including that people with protected characteristics will be impacted by the trial in a negative way, such impacts would be significantly greater if this trial was not to be implemented and TfL were to play a lesser role in London, with the London boroughs potentially operating a series of independent trials and without the series of mitigations that have been put in place through this coordinated approach.

### **2 Recommendation**

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

### **3 Background**

- 3.1 In early May 2020, the DfT announced its intention to bring forward previously planned trials of rental e-scooters in the UK. Following consultation, new regulations to allow trials to take place across the UK came into force on 4 July 2020; this was necessary as e-scooters are otherwise unlawful for use on the

public highway. The trials are only permitted in approved local authority areas with explicit authorisation by the DfT (Vehicle Special Orders are issued to e-scooter rental providers contracted by approved authorities running trials, which allow their e-scooters to be used for trial purposes). Privately-owned e-scooters are still unlawful for use on public highways.

- 3.2 TfL's engagement with London boroughs and with e-scooter operators in summer 2020 demonstrated that there was strong interest in hosting trials and, as such, it was likely that some form of e-scooter trial(s) would happen in London. Although DfT has set vehicle standards for the trial (see Figure 1) and some user requirements, including the need for provisional or full licence, insurance (provided by the operators) and compliance with road laws, taking additional steps to enhance safety remained a priority for London. Without TfL's involvement, a patchwork of trials would have been likely to emerge, with operators and policies varying by borough and no consistent standards, which could potentially have had significant safety impacts in London.
- 3.3 To prevent a fragmented outcome and ensure better safety standards on a multi-borough basis, TfL has worked collaboratively with London Councils and the London boroughs on a coordinated multi-borough trial, with a single specification and set of operating policies for the whole trial area.
- 3.4 The trial launched on June 7 2021 in Ealing, Hammersmith & Fulham, Kensington and Chelsea and Richmond, with private land at Canary Wharf being made available for the trial under separate arrangements and with Tower Hamlets acting as a 'ride through' area. More boroughs are expected to join throughout the summer.

## **4 Objectives of the rental e-scooter trial**

- 4.1 The key objectives of TfL coordinating a trial in collaboration with London Councils and the London boroughs are to:
  - (a) promote safety at the trial's core and help to ensure operators meet strict minimum standards relating to vehicle design, vehicle maintenance, parking, customer education and training;
  - (b) achieve a consistent approach across London (improving upon the experience of dockless bikes, which created a patchwork of different approaches), including in relation to street clutter, access across different socio-economic groups and enforcement issues;
  - (c) provide the data to understand how e-scooters might impact the achievement of the Mayor's Transport Strategy, as well as helping to inform the DfT's consideration of whether to provide a statutory basis for e-scooters to be used in England, Scotland and Wales, following the trials;
  - (d) provide a platform and evidence to request any city-wide powers that might be needed in the longer term to manage e-scooter use; and

- (e) provide a potentially green and sustainable alternative to private car use and capacity restrained public transport to support coronavirus pandemic restart and recovery work.
- 4.2 Along with these wider project objectives, learning objectives have been prepared for the trial to ensure evidence is collected on:
- (a) user and non-user impacts (including on those sharing protected characteristics), perceptions, attitudes and experience;
  - (b) impact on mode shift;
  - (c) air quality;
  - (d) Vision Zero (including incidents and risky behaviours) and Healthy Streets;
  - (e) engineering and infrastructure implications;
  - (f) commercial viability of e-scooters;
  - (g) how e-scooters might support coronavirus pandemic recovery; and
  - (h) any regulatory standards to consider.

## **5 Assessment of safety risks and impacts**

- 5.1 Common concerns about the safety of e-scooters include riding on the pavement and the use of the vehicles in other spaces shared with pedestrians, the speed of the vehicles, the ability of the rider to safely navigate pot holes and safely brake in traffic, their association with the commission of crime and the conduct of riders, including riding under the influence of alcohol.
- 5.2 TfL has undertaken its own extensive research and engagement to actively identify the ways in which a trial of rental e-scooters could impact on TfL customers, staff and those who live, visit or work in London both positively and negatively. TfL's equality impact assessment (EQIA) which is appended to this paper for the Panel's information sets out evidence collected and identifies the impacts and risk areas that have been taken into account in relation to individuals with protected characteristics.
- 5.3 The risk assessment considers the wider impacts to TfL staff and customers and rates these risks using the Enterprise Risk Assessment Matrix (ERAM). The ERAM is a semi-quantitative approach to assessing risk consisting of probability (1-5 to represent low to high) and impact ranges (including impact to Safety, Health and Environment, Customers and Stakeholders, Finance and Stakeholder confidence).
- 5.4 Evidence gathered included consultation responses to the DfT in early 2020, published reports or articles in the public domain including those written by groups representing people with protected characteristics like the Royal National Institute of Blind People and those written about the experiences of other cities and information provided at multiple meetings with stakeholders and representative bodies. In July 2020, TfL also issued a questionnaire to 140 key

stakeholders to gain their direct views on e-scooters which received 48 responses.

- 5.5 Evidence for the risk assessment was gathered from engagement across TfL modes including trade unions to consider the breadth of potential safety, health and environmental hazards that might cause loss, harm or damage to people (including members of the public and operator staff), assets and operations.
- 5.6 The combined key risks and impacts identified across the two documents are summarised as:
- (a) **Safety impacts for users:** There is a risk of collisions/falls while riding a rental e-scooter and risk of injury; and whilst there is the potential increase in transmission of diseases to riders from rental e-scooter, this risk may be lower than for other modes of transport;
  - (b) **Safety impacts for non-users:** There is a risk of collision with a rental e-scooter and subsequent injury to pedestrians due to unlawful or poor rider use such as e-scooters being discarded poorly and becoming street litter; e-scooters potentially being harder than other vehicles to see or hear, the speed of the vehicle, their use on pavements and in shared areas, risky behaviours by riders including riding under the influence of alcohol. riding with a phone or double riding; and for TfL customers and staff, there are also risks of obstacles or clutter on other TfL modes;
  - (c) **Social impacts:** There is a risk of exclusion from the trial due to factors linked to gender, affordability, lack of a smartphone or bank account, or language barriers; increase in fear of going out and experiencing a collision with a rental e-scooter; increase in fear and risk of hate crime if pick up and drop off locations for rental e-scooters leave individuals feeling more at risk; and the potential use of e-scooters in connection with crime; and
  - (d) **Environmental impacts:** There are risks to TfL achieving net carbon zero status; moving to a zero-waste city; and eliminating the unethical disposal of toxic substances. There is also a risk that the trial may undermine the active travel plans of the Mayors Transport Strategy such as a reduction in walking journeys.
- 5.7 Highlighting these risks and issues allowed TfL, in collaboration with London Councils and the London boroughs, to develop mitigations in the standards set for any operator to deliver the trial in London, which are set out in Section 6.
- 5.8 Due to this being a new transport mode it was recognised that robust evidence is limited in many places. For example, although some people have experiences of e-scooters, either directly or indirectly, this has been up until now generally via their unlawful use rather than through an approved rental trial. Similarly, data from international trials is mostly incomparable with London, due to differences in classification of incidents, road design and context of the trials. This highlights the importance of London specific data that can be collected through a trial.



## 6 Safety prioritised in operator selection process

- 6.1 In collaboration with London Councils and the London boroughs, TfL used evidence collected through the EQIA and risk assessment, as well as lessons learnt from other international and UK trials and responses to a series of safety questions from a market sounding questionnaire (June 2020) to develop a set of high safety and operating standards for London to mitigate key risks and impacts. These standards formed the basis of the specification, evaluation criteria and scoring thresholds for selecting operators through a transparent and competitive procurement process, undertaken from November 2020 to March 2021.
- 6.2 Operators selected met all the relevant thresholds and were the top three scoring tenderers. Operators demonstrated their ability, understanding, experience, skills and resource to meet high safety standards for the e-scooters themselves (see Figure 1) as well as their ability to meet strict maintenance regimes; have strategies to mitigate risky behaviours and crime; ensure vehicles are parked in designated areas only without obstructing pedestrian access; provide customer education and training on how to ride safely and considerately; and facilitate 'no-go areas' and 'go-slow areas' (see 6.15) as well as 'key zones' to put limits on numbers of vehicles in local hotspots to ensure they do not become inundated.
- 6.3 Operators were also required to meet environmental and accessibility standards: to comply with the Ultra-Low Emission Zone (ULEZ), minimise water and energy consumption, use renewable energies, and consider the sustainable design, manufacture and maintenance of the e-scooters; and offer low income or equitable access customer plans to reduce transport inequality.
- 6.4 On the basis of scoring the highest on these requirements and their ability to deliver a multi borough trial, three operators - Dott, Tier and Lime - were selected and awarded a contract to operate an initial 12-month trial. TfL let an "Administration Agreement" centrally, allowing any London borough to join, ensuring the same standards apply across any trial area in London.
- 6.5 TfL will work with the operators, the London boroughs and London Councils to ensure standards are upheld through the contract and TfL expects that the MPS will continue to enforce against unlawful private e-scooter use.
- 6.6 The full set of TfL's requirements are set out in the operator specification which is appended to the EQIA. The EQIA also includes details about specific operator mitigations to address risks and issues raised by those with protected characteristics. A composite of the measures taken across all three operators to ensure the safety of the rider and non-rider through the vehicle, education and on street mechanisms follows in sections 6.7-6.17. Overall, the EQIA and risk assessment acknowledge that although there is a residual risk, including that people with protected characteristics will be impacted by the trial in a negative way, such impacts would be significantly greater if this trial was not to be implemented and TfL were to play a lesser role in London, with the London boroughs operating their own series of independent trials and without the series of mitigations that have been put in place through this coordinated approach.

### **Promoting safety of the user through stable and sturdy vehicles**

- 6.7 To prioritise the safety of the user and mitigate common concerns about high speeds the trial vehicles are much more stable, and sturdy than any private e-scooter. They are capped at 12.5 mph and have proven safety features including bells (with audible warnings to be added throughout the course of the trial), lights that are always on when being ridden, the ability to brake quickly and safely in all conditions, and a mixture of indicators and phone holders to enable riders to keep both hands on the handlebars. To ensure safety standards are sustained, strict maintenance and cleaning regimes are in place, and alerts remotely put any faulty scooters out of action.

### **Promoting safe behaviours through accessible customer education**

- 6.8 To discourage unsafe rider behaviour that might cause injury to themselves or other road users, mandatory training about how to ride safely and considerately with awareness of those with disabilities is provided, and beginner mode speeds are in place for first time riders. Operators also have pricing strategies to encourage safe behaviour, such as no charge for waiting at red lights.
- 6.9 Riders must be aged 18+ (the Operators have implemented a higher minimum age than the specification and national minimum age requirement of 16+) with a provisional or full driver's licence and must self-declare their fitness to ride to discourage riding under the influence of alcohol, with recommendations and partnerships in place with private hire companies to divert the rider to when they are not safe to ride.
- 6.10 The Metropolitan Police Service (MPS) have been enforcing and TfL expects that the MPS will continue to enforce the use of personal e-scooters in London. Penalties can include a £300 fixed penalty notice for no insurance, and six penalty points on their driving licence, and seizure of the e-scooter. Riders in the trial will also be subject to enforcement for any unlawful behaviour.
- 6.11 To ensure Londoners are not excluded from the trial, customer education in each operators' app is available in multiple languages, non-smart phone app access is provided, and all operators offer 50 per cent off for low income riders.
- 6.12 To enforce key safety messages, TfL's will deliver a marketing campaign to raise awareness of the key legal requirements for using rental e-scooters and key issues such as pavement riding and the necessity of correct parking.

### **Prioritising safe and clean streets and TfL modes of transport**

- 6.13 To prioritise safe streets, operators are contractually required to ensure trips can only begin and end in geofenced designated parking bays. These bays are selected by participating London boroughs and must use DfT approved road markings without obstructing pedestrian access. The vehicles have double kick stands to ensure they are kept upright in the parking bays, and strict service level agreements are in place for the removal of any obstructing e-scooter.
- 6.14 E-scooters taking part in the trial are able to use all cycling infrastructure in participating boroughs, and the use of mobile phone route navigation encourages

the use of quiet routes. Technology solutions are intended to discourage pavement riding and double riding.

- 6.15 To ensure that e-scooters cannot be ridden in pedestrianised areas, at speed in shared spaces or in certain locations on the TfL road network where to do so would present a safety risk (e.g. tunnels and flyovers) the use of 'no go' areas are in place where e-scooters cannot be ridden and will automatically come to a safe stop as well as 'go slow' areas where the speed of the e-scooter is automatically limited to eight miles per hour (mph).
- 6.16 To ensure the safety and comfort of TfL passengers on other modes of transport the TfL Conditions of Carriage have been updated to provide that e-scooters cannot be taken TfL's bus, Tube, Tram, DLR, London Overground, TfL Rail and Emirates Air Line services. In the same way that bicycles that can be folded are allowed on TfL services, private e-scooters that can be folded are permitted on these modes of transport.
- 6.17 To reduce the impact on air quality, the e-scooters have swappable batteries which are distributed using zero emission vehicle fleets, and to mitigate the use of e-scooters in crime, there is a unique identification number on every vehicle, and robust identification and licence verification in place.

## **7 Safety at the core of data collection**

- 7.1 A comprehensive research programme to collect extensive quantitative and qualitative data is at the heart of the trial, to inform the key learning objectives (see section 4.2).
- 7.2 As part of the contractual requirements, operators must comply not only with the DfT's data sharing, monitoring and evaluation processes but with TfL's own detailed data requirements, including for example, anonymised trip details and utilisation, user and usage information, safety and incident reporting and environment and sustainability metrics.
- 7.3 In addition to the collection of operator data, TfL will collect data and insights from participating boroughs, police and through a wider stakeholder engagement programme, including groups already engaged, to ensure we keep listening and understanding the impact on, and perceptions and attitudes of non-users, particularly older and disabled people.
- 7.4 Evidence collected through this trial will be used to: review and update the EQIA and risk assessment; shape the policy position for TfL, London Councils and the London boroughs on this vehicle type, which is being used privately and illegally already on London's streets in growing numbers; and help shape any national legislation relating to this new vehicle type, including informing TfL, London Councils and the London boroughs as to any powers needed to promote positive outcomes in London for the Mayor's Transport Strategy and for TfL.
- 7.5 The DfT will manage central monitoring and evaluation across all trials. This will include case studies within selected areas and a deep dive into local effects.

## Figure 1: How a higher vehicle safety standard was achieved through procurement

This example sets out how TfL sought a higher standard for the e-scooters themselves.

The DfT define in Regulations an e-scooter as a vehicle which:

- *Is fitted with an electric motor with a maximum continuous power rating not exceeding 500 watts;*
- *Is not fitted with pedals that are capable of propelling the vehicle;*
- *Has two wheels, one front and one rear, aligned along the direction of travel;*
- *Is designed to carry no more than one person;*
- *Has a maximum weight, excluding the driver, not exceeding 55 kgs;*
- *Has a maximum design speed not exceeding 15.5 miles per hour;*
- *Has a means of directional control through the use of handlebars which are mechanically linked to the steered wheel;*
- *Has a means of controlling the speed through hand controls; and*
- *Has a power control that defaults to the 'off' position.*

In the specification for the selection of e-scooter operators in London, TfL required the following additions:

*The vehicle must:*

- *Be capable of efficient braking at all times, for instance where the battery is drained, and on all road surfaces in typical weather conditions;*
- *Have a bell or acoustic warning device fitted which can be easily used by the rider without them having to move their hands from the handlebars;*
- *Have forward and rearward lighting which is always on throughout a rental;*
- *Have a unique identification number on each e-scooter which is easily visible, as well as other distinguishing features which allow e-scooters to be easily identifiable as a rental e-scooter. These numbers should link e-scooters to data collected;*
- *Be easily distinguishable from other Operators participating in the Trial;*
- *Have on-vehicle information outlining contact details for reporting; and*
- *Have a means of being self-standing (e.g. a kick-stand).*

*Operators' e-scooters must also be designed:*

- *With the safety of users, including under impact, and the general public in mind;*
- *To be adequately weather resistant and suitably robust for frequent, outdoor use across all of the Trial Area;*
- *With physical measures to prevent theft and vandalism;*
- *To ensure the stability of the rider on the carriageway and cycling facilities including under minor impacts of varied road surfaces; and*
- *To prevent the battery exploding, catching fire or leaking upon impact, or otherwise causing injury to riders or the public.*

*And must also have the onboard technology with the means of:*

- *Reporting and tracking in near-real time the location of the e-scooter and recorded trip origin and destination;*
- *Automatic (i.e. not within the remit of the rider) location-based speed restriction and deactivation (deactivation capabilities must enable an Operator to safely, by remote means, immediately make an e-scooter unavailable to rent in the event that it is reported as unsafe but also where an Operator is notified that an e-scooter may have been used in criminal activity or have been involved in a collision or injury and is needed for investigative purposes)*
- *Enforcing location-based parking restrictions as set out in the designated places for parking determined by the relevant Participating Borough; and*
- *Reporting the live status of the e-scooter, including battery charge levels and if any faults have been reported.*

A competitive number of proposals were received during the tendering process with innovative approaches to achieving these more detailed requirements. Furthermore, on the basis of their experience of operating in other major cities and their research in London, operators recommended further safety features including capping the speed at 12.5mph and introducing beginner modes at lower speeds.

## 8 Safety prioritised in project governance

- 8.1 The Transport Innovation Directorate at TfL is responsible for project managing and evaluating the trial, coordinating delivery across operators, London boroughs, London Councils and wider stakeholders, including the police.
- 8.2 The specification sets out how operator performance will be managed through a 'fleet size review' process every trial period (four weeks). This regular review will collate feedback on performance against all key aspects of the specification from all key delivery partners (participating boroughs, operators and police) to determine any fleet increase or decrease to operator fleets.
- 8.3 Core operational processes and governance have also been put in place to prioritise safety throughout the 12-month trial including: A safety forum including all three operators, to ensure lessons learnt from their respective safety issues are shared; and an established incident management process with all three operators, aligning to processes used by other modes. The contract provides the opportunity to suspend the trial for any critical safety concerns.
- 8.4 There is no change to decision making of participating organisations through the trial. London boroughs retain their authority to participate in the trial and are responsible for preparing the infrastructure on their highways for the trial. Similarly, TfL retains authority for preparing and making any necessary changes to the Transport for London Road Network.
- 8.5 To ensure that safety and a collaborative approach are prioritised in any contractual changes to the trial, including any changes to safety standards, two important governance groups are in place: An Operational Board with representatives from TfL, London Councils and the participating London Boroughs will consider and be consulted on core contract management issues, including fleet sizes, any performance management contraventions or required changes to the administration agreement. In addition, an internal TfL Operational Assurance Group, comprised of Directors from TfL's Safety, Health and Environment team, Compliance Policing Operators Security team, Network Management and Engineering has been set up to further ensure safety is prioritised in all contractual decisions after discussion at the Operational Board.

### Appendices:

Appendix 1 – Risk Assessment the trial of rental e-scooters

### List of Background Papers:

A [Mayoral Decision](#) for trialling rental e-scooters  
[Equalities Impact Assessment](#) for the trial of rental e-scooters.

Contact Officer: Becky Upfold, Senior Business Analysis Manager  
Email: [beckyupfold@tfl.gov.uk](mailto:beckyupfold@tfl.gov.uk)

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## RISK ASSESSMENT.

### Transport for London (TfL)'s approach to managing Safety, Health and Environment (SHE) risks associated with the trial of rental electric scooters in London.

21<sup>st</sup> June 2021

#### Transport for London

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### 1. Introduction

1.1 This paper sets out the safety, health and environment (SHE) considerations, risks assessed and the SHE strategy that Transport for London (TfL) will adopt during the 12-month trial of rental electric scooters (or e-scooters) in London.

### 2. Background

2.1 In early May 2020 the Department for Transport (DfT) announced its intention to bring forward trials of rental electric scooters and to roll the option out to any interested local area, as part of the government's response to COVID-19. On 18 May 2020, DfT launched a public consultation<sup>1</sup> (with subsequent updates) on urgent legislation to allow trials of rental electric scooters to commence more rapidly and in more areas than initially planned. DfT asked for evidence to be submitted to the Transport Select Committee to help shape the outline of the trial to be carried out.

2.2 The coronavirus pandemic changed the case for electric scooters in the UK, in particular the need to provide alternatives to conventional public transport services and avoid a car-based recovery to help facilitate social distancing. Recognising this, TfL submitted evidence to the Transport Select Committee on 22 May 2020 in support of the safe introduction of rental electric scooters with some key points for consideration, including the need for city-wide coordination to control the rental operator market; as well as safety considerations such as the suggested maximum speed and overall configuration of electric scooters.

2.3 The consultation closed on 2 June 2020 and after evaluating responses, the government formulated a working definition of an electric scooter (which is broadly similar to the definition set out in the regulations referred to in paragraph 2.4 below)

2.4 Following the DfT's consultation, new regulations allowing trials of rental electric scooters in the UK came into force on 4 July 2020. Trials will only be permitted with explicit authorisation from DfT and privately-owned electric scooters will remain illegal for use on public highways for the time being. In these new regulations, DfT define an "electric scooter" as a vehicle which:

- (a) is fitted with an electric motor with a maximum continuous power rating not exceeding 500 watts;
- (b) is not fitted with pedals that are capable of propelling the vehicle;
- (c) has two wheels, one front and one rear, aligned along the direction of travel;
- (d) is designed to carry no more than one person;
- (e) has a maximum weight, excluding the driver, not exceeding 55 kgs;

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<sup>1</sup> <https://www.gov.uk/government/consultations/legalising-rental-e-scooter-trials-defining-e-scooters-and-rules-for-their-use>

- (f) has a maximum design speed not exceeding 15.5 miles per hour;
- (g) has a means of directional control through the use of handlebars which are mechanically linked to the steered wheel;
- (h) has a means of controlling the speed through hand controls; and
- (i) has a power control that defaults to the 'off' position;

### 3. TfL's role

3.1 TfL's engagement with London boroughs and with e-scooter operators has demonstrated that there is strong interest in hosting trials and as such, it appeared likely that some form of e-scooter trial(s) would happen in London, even without TfL involvement. With only the 33 boroughs able to pass the road traffic regulation orders needed to put this trial in place, TfL is coordinating all borough partners across London on detailed plans for a trial. Although the DfT has set vehicle standards for the trials, taking steps to enhance safety remains a priority in London, and the trial will assist in the consideration of how this new vehicle type might impact the objectives of the Mayor's Transport Strategy (MTS). Without TfL's involvement there might otherwise have been an independent series of trials, of varying operators with less consistency applied which could have potentially significant impacts on safety for London. To prevent this outcome and to impose additional requirements for safety on a multi-borough basis, TfL is coordinating all borough partners across London using detailed plans for a trial.

3.2 The key objectives of TfL taking a coordinated approach to the trial are to:

- promote safety at the trial's core and help to ensure operators meet strict minimum standards relating to vehicle design, vehicle maintenance, parking, customer education and training;
- achieve a consistent approach across London (building upon the experience of dockless bikes), including in relation to street clutter, access across different socio-economic groups and enforcement issues;
- provide the data to understand how e-scooters might impact the achievement of the MTS, as well as helping to inform the DfT's consideration of whether to provide a statutory basis for e-scooters to be used in England, Scotland and Wales, following the trials; and
- provide the Mayor with the platform and evidence to request any city-wide powers that might be needed in the longer term to manage e-scooter use.

3.3 As noted in key objectives above, SHE is TfL's first priority and SHE considerations underpin all of the additional learning objectives of this trial to help TfL understand if and how these vehicles can be accommodated on London's streets:

- To explore and better understand the appropriate e-scooter operating standards, safety standards, environmental standards, regulations and city-level management powers required to ensure they benefit scooter Users as well as Londoners as a whole, and feed this insight gleaned through data collection into the DfT ahead of any changes to relevant legislation;



- To better understand the impact of e-scooters on air quality and demand for travel by car, walking, cycling and public transport as well as where e-scooters can enhance transport options and complement existing public transport;
- To establish the changes in infrastructure required (if any) for rental e-scooter schemes to deliver a safe and attractive environment on our streets;
- To better understand User and non-User reaction to e-scooters, their attitudes and perceptions;
- To better understand the commercial viability of rental e-scooters in London, determine any areas of market failure including inequality in access and to understand the total cost impacts for Boroughs and TfL; and
- To better understand how e-scooters might support ongoing restart and recovery objectives by providing a relatively green alternative to both private car and capacity restricted public transport, as part of London's wider re-opening following the coronavirus pandemic.

3.4 An important part of TfL's role has been to manage an open and transparent procurement process on behalf of London Councils and the London Boroughs to select the operators that are eligible to take part in the trial and ensure their performance is evaluated via specific metrics throughout the duration of the trial. With safety being one of the main concerns associated with the use of e-scooters, TfL aims to complement the vehicle safety standards set by DfT with additional requirements and recommendations.

3.5 TfL is also undertaking an on-going coordination role throughout the trial. TfL staff will continue to coordinate organisations involved in delivery of the trial, including London Councils, participating boroughs and selected operators. This includes the coordination of a comprehensive monitoring, data collection and evaluation programme capturing data from operators, London boroughs, the police, as well as e-scooter users and non-users, to better understand the benefits and impacts of this new vehicle type for London;

3.6 TfL is responsible for all activities in relation to Transport for London's Road Network (TLRN)/TfL land, while boroughs decide on matters related to their respective highways/land. TfL will share best practice and standards with the boroughs.

#### **4. Assessment of risks**

4.1 It is important to note that through the various modes across the London transport network, TfL has developed sophisticated ways of identifying and managing risks associated with the various operations. Each TfL business area's risk assessments consider hazards in the environments that they operate and identify controls for each which are implemented, monitored and modified as required to maintain as low a risk of harm, damage, or loss as reasonable/practical. This is done in collaboration with the business areas' recognised Trade Unions.

4.2 The risks considered in Appendix 1 of this paper relate to Safety, Health and the Environment and are in line with the organisation's "Safety and Operations" priorities contained in the TfL Scorecard. They are also aligned with the EQIA<sup>2</sup>. These considerations are:

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<sup>2</sup> <https://content.tfl.gov.uk/rental-escooter-trial-2021.pdf>

- (1) Healthy streets and Healthy people (clean, green, safe and efficient streets that promote active travel);
- (2) A good public transport experience (supports the growth of London, pleasant, fast, reliable, affordable and again, safe).

**4.3** There is a risk that some outcomes from the trial may undermine the Active Travel plans of the Mayor, such as a reduction in walking journeys. The mitigations in Appendix 1 of this paper include consideration of how to shift journeys from other modes (especially cars) to trial rental electric scooters and promote the long-term health of Londoners.

**4.4** Managing environmental risks is a high priority for TfL, so this paper also highlights mitigation against nuisance that may result from the trial and any environmental impacts that undermine TfL's and the government's efforts to achieve net carbon zero status; move to a zero-waste city; and eliminate the unethical disposal of toxic substances.

**4.5** With the trial of rental electric scooters, there are reasonably foreseeable hazards that can cause death, serious injury, loss, damage or harm across the different TfL modes. The approach taken in this paper is to identify and group these hazards; outline existing controls; and apply additional controls where required to reduce the risks to a tolerable level. Some of these groups of hazards assessed in Appendix 1 are:

- (1) collisions with other vehicles (including other electric scooters);
- (2) collisions with anything that is not a vehicle (in particular pedestrians);
- (3) falling from an electric scooter onto a road or track;
- (4) other road users taking evasive action to avoid colliding with trial rental electric scooters in use; and
- (5) in line with TfL's responsibilities<sup>3</sup>, criminal activity.

4.6 Added to this, controls that will reduce the severity of the aforementioned outcomes, should they occur, are outlined in this paper and appendix. These include government guidance for rental electric scooter users during the trial.

**4.7** The trial of rental electric scooters in London also provides some strategic opportunities, such as replacing some journeys that are made by car, resulting in cleaner air and less pollution. The trial can also provide an extra choice of travel mode for people who want to avoid other public transport services due to the pandemic and requirement for social distancing.

**4.8** In order to provide a consolidated and consistent approach to assessing the probability and impact of the risks (threats and opportunities) materialising, the Enterprise Risk Assessment Matrix (ERAM)<sup>4</sup> has been used. The ERAM is a semi-quantitative risk assessment scheme consisting of probability and impact ranges. There are five levels for both probability and impact: (1) Very Low, (2) Low, (3) Medium, (4) High and (5) Very High.

**4.9** The ERAM covers 4 impact ranges: (1) SHE, (2) Customers & Stakeholders, (3) Finance, (4) Stakeholder Confidence. In the ERAM, all strategic risks should be scored against probability and

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<sup>3</sup> <https://www.legislation.gov.uk/ukpga/1998/37/section/17/2005-01-18?timeline=true>

<sup>4</sup> <https://transportforlondon.sharepoint.com/sites/TMSManagementSystem/Management%20System/R0650.pdf>

all four impact ranges; while all other risks should be scored against probability and all applicable impact ranges. For this assessment, both the safety and environment risks in Appendix 1 will be scored against probability and all impact ranges. The health risks in Appendix 1 will be scored against probability and SHE impact ranges. The probability is based on a risk occurring in a rolling five-year period. Due to a lack of reliable historic data, the likely frequency will be scored on expert opinion. Scoring each impact category helps in determining whether the risk associated with the trial is within acceptable corporate tolerance levels. Controls and mitigation actions aim to reduce the risk exposure of impact categories that initially scored outside of corporate tolerance.

**4.10** TfL have implemented the following HM Treasury levels of risk tolerance:

- Risk averse – a preference to avoid risk or keep it as low as reasonably practicable;
- Risk neutral – a preference to take a balanced approach to risk;
- Open to risk – a willingness to take more risk to pursue greater rewards.

4.11 Using this categorisation, TfL is averse to SHE and Finance risks and neutral to Customer/Stakeholder and Stakeholder Confidence risks.

## **5. Existing controls**

**5.1** For all transport modes, other than specific parts of the road network, the use of trial rental electric scooters is forbidden. This clear position acts as the main control for those environments.

**5.2** The document which sets these conditions out is The TfL “Conditions of Carriage for Bus, Tube, Tram, DLR, London Overground and TfL Rail Services” (TfL CoC) <sup>5</sup>. Enforcement/management of these existing controls by staff will ensure that the risks on those modes that may arise from the trial will remain low. Electric scooters are a relatively new technology, so to support enforcement/management of risks, the TfL CoC has been updated to explicitly include electric scooters, thereby clarifying that they should not be used on the modes that the TfL CoC apply to. For safety reasons and for the comfort of other passengers, the TfL CoC state at section 2.5: On our buses, trams and trains, in our bus and rail stations and on tram platforms you must not:

- smoke or use an electronic cigarette (‘vape’)
- use bicycles, roller skates, roller blades, scooters (including electric scooters), skateboards or hoverboards.
- take flash photographs and/or use a tripod or other camera support equipment
- use emergency exits except in an emergency or when instructed to do so by our staff.”

5.3 The TfL CoC further state at section 9.6: You cannot take a rental electric scooter on our bus, Tube, Tram, DLR, London Overground, TfL Rail and Emirates Air Line services.

**NOTE:** This does not apply to mobility scooters, which are covered in paragraph 10 of the TfL CoC. It must also be noted that electric scooters provide an easy opportunity to readily use a motor

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<sup>5</sup> <http://content.tfl.gov.uk/tfl-conditions-of-carriage.pdf>.

vehicle and that there is a risk that this may still occur on TfL's buses, trams and trains, bus and rail stations and on tram platforms despite the changes to the TfL CoC.

**5.4** The remaining modes (London River Services, Emirates Airline and Woolwich Ferry) have also updated local operational rules to confirm that electric scooters should not be used on their premises. Members of staff will enforce/manage this, as they currently do with other vehicles which are prohibited from being used on their premises.

**5.5** Most of the foreseeable risks (set out in appendix 1) associated with the trial of electric scooters are road based as the use of trial rental electric scooters is permitted on the road network and cycle infrastructure on the TLRN and borough roads within participating boroughs. TfL has carried out some specific operational work. This includes:

- (1) defining the types of roads that trial rental electric scooters are not allowed to travel (e.g. high speed roads and tunnels);
- (2) setting and putting into action an appropriate highway maintenance regime (including inspections); and
- (3) ensuring that the vehicle design and usage on the road network are safe.

**5.6** Surface Transport has plans in place to maintain the TLRN in line with specified standards, and for the services that operate on it. These plans include the ability to maintain mandatory activities – including safety inspections and defect repairs. The TLRN is managed as follows:

- Up to and including 31<sup>st</sup> March 2021 – highway inspections and defects were managed in accordance with the existing TfL London Highways Alliance (LoHAC) maintenance contracts, split across four geographical areas.
- From 1<sup>st</sup> April 2021 onwards – highway inspections and defects are managed in accordance with the new TfL highway maintenance contracts, split into three geographical areas.

**5.7** The contracts define the type and frequency of highway safety inspections and provide the risk-based approach by which contractors are required to identify and assess defects, including the identification of the appropriate classification (and hence response time) for defects. This approach has been produced by TfL (Engineering, Asset Operations and Asset Strategy). Highway management practices will be reviewed in line with the aforementioned contractual agreements.

**5.8** As mentioned, TfL will be responsible for all activities in relation to the Transport for London's Road Network (TLRN)/TfL land, while boroughs will decide on matters related to their respective highways/land.

## **6. Important information, guidance and training**

**6.1** Our operational staff across the TfL network have ensured that Londoners have a safe environment to travel in as the government continues to review and adjust lockdown restrictions. The increase in activity has required many changes to account for pandemic illness controls. These changes have come with strong, consistent messaging, which has supported our efforts to maximise safety across the network. The upcoming rental electric scooter trial is also being delivered with clear messaging, with safety for all as its aim. Although the TfL SHE Policy is aimed at employees, customers, suppliers and contractors, it is essential that TfL has messaging specifically aimed at those who DfT, through the public consultation, have already identified as of particular concern. They are users of rental electric scooters during the trial; all pedestrians; older people; and disabled people, including those with dementia and visual impairments. Different

parties will have different roles in messaging. The government has started this already by publishing guidance for users of electric scooters<sup>6</sup>.

**6.2** With regards to information, guidance and training, TfL's role is to inform that the trial is taking place, and reassure that TfL is involved in a co-ordination capacity. Furthermore, TfL is helping to ensure operators meet detailed requirements on customer information, guidance and training they must deliver as part of the Administration Agreement. The full operator specification can be seen in the Administration Agreement (reference number: tfl\_scp\_002092\_Electric\_Scooter\_(e-scooter)\_rental\_trial\_project), but to highlight key examples, operators must:

- provide information that will be useful to users and non-users of the vehicles;
- encourage the sharing of data on the use of their electric scooters with highway authorities and the police throughout the trial;
- engage with key stakeholders and support efforts to tackle the wider issues related to electric scooters, both private and rented;
- provide comprehensive and clear information and training to users on how to ride their electric scooters safely and considerately; and have systems in place to confirm that users have understood this information prior to first-time users being able to start a ride. This will include the rules for use of trial rental electric scooters and relevant traffic offences, including the prohibition of riding them on footways; single person use (no passengers); and good hand hygiene before and after use;
- provide training and information to cover elements of disability awareness to ensure riders are aware of the possible implications of their actions;
- make this training and information easily available within their apps at all times and periodically prompt riders to refresh themselves of rules, training and guidance. The aforementioned training, information and outreach should be provided in a format that maximises understanding, including for those whose first language may not be English.

**6.3** TfL employees and those that operate services for TfL have been provided information about what is expected of them during the trial period. In most cases, there will be no change to how they go about delivering services. The messaging provided includes the need to report any use of electric scooters on TfL premises. This messaging will continue to be delivered by TfL Employee Communications and local operational managers, who will agree any changes to existing procedures or risk assessments (if required) with trade union representatives as part of the existing operational risk management processes.

**6.4** The Operator(s) are contractually obliged to recommend and promote the use by its Users of bicycle standard helmets and other personal protective equipment (PPE) relevant to this type of service. This promotion of helmets and PPE should include partnerships with local businesses or other relevant stakeholders in any way the Operator sees fit. Riders are also encouraged to wear light-coloured or fluorescent clothing in daylight, poor light and in the dark. The Operator(s) provide clear safety information. Safety information includes requirements to obey all relevant legislation and trial rules. In particular, as these vehicles are defined in UK law as “powered transporters”, which are motor vehicles, riders are made aware that they cannot use mobile phones when riding.

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<sup>6</sup> <https://www.gov.uk/guidance/e-scooter-trials-guidance-for-users>

**6.5** The Operator(s) are contractually obliged to have systems in place to verify riders, their age and their driving licence validity to avoid use by unauthorised persons. They are also contractually obliged to ensure that the necessary authentication is in place to prevent fraudulent misuse. The Operator(s) have strategies or technologies in place to minimise the risk of a vehicle being rented while a user is under the influence of alcohol or drugs; or has medical restrictions or exceptions, such as eyesight deficiencies, notification of conditions like sleep apnoea, and/or any other impediment to DVLA without discriminating against certain users. They also inform riders that the requirements and penalties for this are identical to those of drivers of motor vehicles.

## **7. Conclusion**

**7.1** As with the introduction of any emerging technology, there are complexities to fully understanding and quantifying the risks. In preparation for a London based rental electric scooter trial, TfL has been engaging closely with other cities, both in the UK and globally, to understand some of the foreseeable challenges which may arise. This includes carrying out a literature review with data that was available prior to the start of the trial to make assumptions on the likelihood of people being killed or seriously injured in the trial. That work proved inconclusive due to a lack of reliable data.

The approach to managing SHE issues during the trial has been developed based on the reasonably foreseeable SHE risks. This risk assessment is being reviewed every week for the first period of the trial and at least periodically thereafter. It will be updated if hazards which have not been captured emerge. The reviews will be carried out by the SHE Surface Business Partnering senior managers in conjunction with representatives or subject matter experts from TfL business areas where required. TfL's coordinating role provides an opportunity to reduce SHE risks. This is noted in the Delegation (MD2770) of Mayoral Powers for trialling e-scooters rental, where it states:

*"This decision identifies and acknowledges that, as might be expected from the introduction of a new form of motorised transport, a degree of residual risk in relation to the trial will remain even after a wide range of mitigations have been applied (which include impacts on individuals with protected characteristics and an expected increase in collisions and injuries). Nevertheless, those risks will be significantly lower than if this proposal were not to be implemented and if TfL were to play a lesser role in London with the London boroughs operating their own, fragmented, series of trials."*

## **8. Implementation**

8.1 Implementation of the controls in this paper and Appendix 1 require:

- Final confirmation post award of contract that the Operator(s) will perform the requirements that amount to controls in Appendix 1.

## **9. Reviews**

Available on request

# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

Residual Risk **WITHIN TOLERANCE**

Reference: APPENDIX I

No	Hazard	Activity / plant / Material	Persons that could be harmed	Consequence	Likelihood: Frequency and Probability (Very Low, Low, Medium, High, Very High)	Impact (Very Low, Low, Medium, High, Very High)	Mitigation / Actions
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1 Page 113	<b>Anxiety and Possible increase in fear of going out and experiencing a collision with a trial rental e-scooter.</b>	Going out in public	People, especially those with protected characteristics, including those with visual impairments, pregnant women, older people and those who find change difficult to manage.	- People, especially those with protected characteristics, including those with visual impairments, pregnant women, older people and those who find change difficult to manage, change their behaviours and do not go out in public	<b>SHE:</b> This relates to the likelihood of any detriment associated with possible anxiety and increased fear of going out. Anxiety and possible increase in fear of going out are very serious and amongst certain groups quite likely. Several stakeholder groups have raised the concern of anxiety and fear associated with the improper	<b>SHE:</b> This relates to the impact of any detriment following anxiety associated with the trial. The wellbeing of everyone, regardless of their background is very important. The mitigations that have been put in place will help to limit this impact, but it is ultimately assessed as	-The co-ordinated pan London trial with higher safety standards  -Education, training and marketing programmes delivered by operators, TfL, boroughs etc focusing on safe, legal and considerate use  -Community outreach delivered by operators and boroughs
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

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Residual Risk **WITHIN TOLERANCE**

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Page 114					use of trial rental e-scooters, in addition to existing anxieties. However, there is no evidence that this specifically will lead to mental health injury. With the mitigations that have been put in place for the trial, there is an opportunity for this risk to be reduced. Therefore, the likelihood of mental health injury being caused from the	<b>High.</b> <b>Customer &amp; Stakeholder</b> For TfL, every journey matters. An important feature of The Mayor's Transport Strategy is increasing the amount of Active Travel journeys undertaken in London. It will ultimately have impact on the delivery of this MTS goal if people don't feel that it is	<ul style="list-style-type: none"> <li>-Enhanced vehicle safety features e.g., lighting, bells etc</li> <li>-No-go and Go-slow areas can be introduced</li> <li>-Number of rental e-scooters available can be amended</li> <li>-Monitoring and evaluation programme including data collection</li> <li>-EQIA compiled from engagement with</li> </ul>
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# Risk Assessment – 12-month e-scooter trial in London



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Page 115					<p>anxiety associated with the trial is assessed as <b>Low</b></p> <p><b><u>Customer/Stakeholder</u></b> There is no evidence to show that people, especially those with protected characteristics, including those with visual impairments, pregnant women, older people and those who find change difficult to manage</p>	<p>safe to carry out Active Travel journeys. The mitigations in place and constant reviews with the aim of improving the public experience will help to limit this, but the impact is assessed as <b>Medium.</b></p> <p><b><u>Finance</u></b> It is unlikely that there will be a direct financial impact to TfL</p>	important stakeholder groups
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# Risk Assessment – 12-month e-scooter trial in London



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Page 116					change will not go out due to anxiety or fear of collisions. The EQIA for the trial highlights concerns raised by several groups, but none say that they would not go out as a result. Therefore, the likelihood of this impacting the delivery of the Mayor's Transport Strategy is assessed as <b>Low</b>	in this case. Therefore, it is assessed as <b>Low</b> . <b>Stakeholder Confidence</b> This relates to the impact of negative media comments and coverage due to anxiety by people (especially with protected characteristics ) in relation to the trial. This coverage and the extensive reach of social media at a	
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# Risk Assessment – 12-month e-scooter trial in London



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Page 117					<p><b>Finance</b> It is unlikely that there will be a direct financial impact to TfL in this case. Therefore, the likelihood is assessed as <b>Low</b>.</p> <p><b>Stakeholder Confidence</b> This relates to the likelihood of negative media comments and coverage due to anxiety by people (especially with protected characteristics) in relation to the</p>	<p>time when confidence in going out generally (especially on public transport) due to the pandemic is low, means that the impact is assessed as <b>High</b>.</p>	
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

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Page 118					trial. If the use of trial rental e-scooters is not managed effectively, this will be likely. However, the mitigations that have been put in place mean that the likelihood of this is assessed as <b>Medium</b> .		
2	<b>Collision with other vehicles. This includes other trial rental e-scooters.</b>	Trial rental e-scooters being used correctly or incorrectly according to trial rules and	-Trial rental e-scooter rider -Pedestrians -Occupants/	-Injury (physical or psychological) to trial rental e-scooter riders. This includes death or serious injury.  -Injury (physical or psychological) to members of the public/other drivers, rider/pillion/occupants of	<b>SHE:</b> In the most relevant study available, there are approximately 20 rider injuries	<b>SHE:</b> The loss of any life, or any serious injury on our network is severe. Given	-The co-ordinated pan London trial with higher safety standards

# Risk Assessment – 12-month e-scooter trial in London



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Page 119	<p><b>Some concerns associated with riding trial rental e-scooters include small vehicle size with fast sudden acceleration; motorised use of shared cycle tracks; small and ground level vehicle frame which is less visible; the rider is in a standing</b></p>	<p>regulations. This includes vehicles that become defective while in use.</p>	<p>riders/pillion of other vehicles</p>	<p>other vehicles. This includes death or serious injury.</p> <ul style="list-style-type: none"> <li>-Reputational harm to TfL</li> <li>-Anxiety and Possible increase in fear or negative mental health effects from witnessing collisions</li> </ul>	<p>per 100,000 e-scooter trips<sup>1</sup>. This study was published in April 2019 and was based in Texas, US. The same study does not provide analysis of the likelihood of shared rental e-scooters colliding with other vehicles but notes that 16% of the incidents with injured riders involved a</p>	<p>our vision zero aims, regardless of likely frequency, this impact is assessed as <b>High</b>.</p> <p><b>Customer &amp; stakeholder:</b> Should any of the foreseeable incidents listed occur, the result is likely to be a relatively small number of customers/sta</p>	<ul style="list-style-type: none"> <li>-Enhanced vehicle safety features e.g., lighting</li> <li>-Operator safety processes e.g., confirming training understood</li> <li>-Education, training and marketing programmes delivered by operators, TfL, boroughs etc focusing on safe use</li> </ul>
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<sup>1</sup> [https://www.austintexas.gov/sites/default/files/files/Health/Epidemiology/APH\\_Dockless\\_Electric\\_Scooter\\_Study\\_5-2-19.pdf](https://www.austintexas.gov/sites/default/files/files/Health/Epidemiology/APH_Dockless_Electric_Scooter_Study_5-2-19.pdf)

# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

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Residual Risk **WITHIN TOLERANCE**

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Page 120	position; less easy to distinguish from pedestrians at times.				motorised vehicle. There was no mention of incidents with non-motorised vehicles. As this is a percentage of the injured people who took part in the trial, (there were 200 injuries per 1000,000 trips), the likelihood is assessed as <b>Low</b> . However, this study was in the U.S and many factors in the London trial will be different. <b>Customer &amp; Stakeholder:</b> In	keholders affected with minimal disruption to service delivery or impact to assets. However, the possible impact of people with some protected characteristics becoming afraid to travel is very important. Therefore, the impact is assessed as <b>Medium</b> .	<ul style="list-style-type: none"> <li>-Existing TfL road safety campaigns</li> <li>-Operator maintenance programmes for rental e-scooters</li> <li>-Community outreach delivered by operators and boroughs</li> <li>-Monitoring and evaluation programme including data collection</li> <li>-Parking</li> </ul>

# Risk Assessment – 12-month e-scooter trial in London



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Page 121					<p>the same study, only 10% of injuries involved collisions with motorised vehicles. Therefore, the likely service disruption is 5%-25% of injuries, meaning that the likelihood is assessed as <b>Low</b>.</p> <p><b>Finance:</b> In most cases, it is expected that financial losses following collisions will be managed through the operator's</p>	<p><b>Finance:</b> Losses are likely to be less than £1m. Operators are contractually required to carry insurance. Therefore, the impact is assessed as <b>Very Low</b>.</p> <p><b>Stakeholder confidence:</b> The likely impact of the foreseeable incidents occurring is On-going negative media</p>	<p>provision on the Transport for London Road Network (TLRN) will be risk assessed</p>

# Risk Assessment – 12-month e-scooter trial in London



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Page 122					<p>insurance, which they will be contractually required to have in place. Therefore, the likelihood of TfL incurring losses of £1m or more from vehicle collisions is assessed as <b>Very Low</b>.</p> <p><b>Stakeholder Confidence:</b> TfL has received strong public reaction from cyclist deaths in the past, so it is likely that multiple fatalities will attract the</p>	<p>coverage resulting in loss of confidence with significant regulator or stakeholder intrusion. Therefore, the impact is assessed as <b>Medium</b>.</p>	
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# Risk Assessment – 12-month e-scooter trial in London



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Page 123					same level of public attention. The number of fatalities of e-scooter riders globally is estimated at over 29 since the rentable market started in 2018. <sup>2</sup> . Given the potential effect of press and social media attention, the likelihood is assessed as <b>Medium</b> .		
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<sup>2</sup> <https://qz.com/1793164/at-least-29-people-have-died-in-electric-scooter-crashes/>

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3 Page 124	<b>-Collision with anything that is not a vehicle, including people of any background or capability.</b>	Trial rental e-scooters being used correctly or incorrectly according to trial rules and regulations. This includes vehicles that become defective while in use.	-Trial rental e-scooter rider. This includes riders of any background and capability.  -Pedestrians  -Occupants/riders/pillion of other vehicles	-Death to trial rental e-scooter riders  -Injury (physical or psychological) to trial rental e-scooter riders, pedestrians and other road users.  -Anxiety and Possible increase in fear or negative mental health effects  -Reputational harm to TfL	<b>SHE:</b> in the most relevant study available, there are approximately 20 rider injuries per 100,000 e-scooter trips <sup>3</sup> . This study was published in April 2019 and was based in Texas, US. The same study does not provide analysis of the likelihood of shared rental e-scooters colliding with	<b>SHE:</b> the loss of any life, or any serious injury on our network is severe. Given our vision zero aims, regardless of likely frequency, this impact is assessed as <b>High</b> . <b>Customer &amp; stakeholder:</b> Should any of the foreseeable incidents listed	-The co-ordinated pan London trial with higher safety standards  -Enhanced vehicle safety features e.g., lighting, bells etc  -Education, training and marketing programmes delivered by operators, TfL, boroughs etc focusing on safe, legal and

<sup>3</sup> [https://www.austintexas.gov/sites/default/files/files/Health/Epidemiology/APH\\_Dockless\\_Electric\\_Scooter\\_Study\\_5-2-19.pdf](https://www.austintexas.gov/sites/default/files/files/Health/Epidemiology/APH_Dockless_Electric_Scooter_Study_5-2-19.pdf)

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Page 125					other vehicles but notes that 16% of the incidents with injured riders involved a motorised vehicle. There was no mention of incidents with non-motorised vehicles. As this is a percentage of the injured people who took part in the trial, (there were 200 injuries per 1000,000 trips), the likelihood is assessed as <b>Low</b> . However, this study was in	occur, the result is likely to be a relatively small number of customers/stakeholders affected with minimal disruption to service delivery or impact to assets. However, the possible impact of people with some protected characteristics becoming afraid to travel	considerate use -Operator safety processes e.g., confirming training understood -No-go and Go-slow areas can be introduced -Notifications to alert of discarded rental e-scooters - Operators contact details clear and accessible -Community outreach delivered by
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Page 126					<p>the U.S and many factors in the London trial will be different.</p> <p><b>Customer &amp; Stakeholder:</b> In the same study, only 10% of injuries involved collisions with motorised vehicles. Therefore, the likely service disruption is 5%-25% of injuries, meaning that the likelihood is assessed as <b>LOW</b></p> <p><b>Finance:</b> In most cases, it is expected that</p>	<p>is very important. Therefore, the impact is assessed as <b>Medium.</b></p> <p><b>Finance:</b> Losses are likely to be less than £1m. Operators are contractually required to carry insurance. Therefore, the impact is assessed as <b>Very Low</b></p> <p><b>Stakeholder confidence:</b> The likely impact of the</p>	<p>operators and boroughs</p> <p>-Police enforcement programmes</p> <p>-Monitoring and evaluation programme including data collection to inform safety improvements</p>
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# Risk Assessment – 12-month e-scooter trial in London



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Page 127					<p>financial losses following collisions will be managed through the operator's insurance, which they will be contractually required to have in place. Therefore, the likelihood of TfL incurring losses of £1m or more from vehicle collisions is assessed as <b>Very Low</b>.</p> <p><b>Stakeholder Confidence:</b> TfL has received strong public</p>	<p>foreseeable incidents occurring is On-going negative media coverage resulting in loss of confidence with significant regulator or stakeholder intrusion. Therefore, the impact is assessed as <b>Medium</b>.</p>	
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Page 128					reaction from cyclist deaths in the past, so it is likely that multiple fatalities will attract the same level of public attention. The number of fatalities of e-scooter riders globally is estimated at over 29 since the rentable market started in 2018. <sup>4</sup> . Given the potential effect of press and social		
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<sup>4</sup> <https://qz.com/1793164/at-least-29-people-have-died-in-electric-scooter-crashes/>

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Page 129					media attention, the likelihood is assessed as <b>Medium.</b>		
4	<b>Other road users taking evasive action to avoid trial rental e-scooters. Factors giving rise to such a concern includes upright position of rider, less distinguishable from</b>	Trial rental e-scooters being used correctly or incorrectly according to trial rules and regulations. This includes vehicles that become defective while in use.	-Trial rental e-scooter rider  -Pedestrians  Anyone, but particularly people with some protected characteristics (eg older people or pregnant women)	-Anxiety and Possible increase in fear of going out  -Collision with other vehicles. This includes other trial rental e-scooters.  -Collision with anything that is not a vehicle, especially people.  -Injury (physical or psychological) to trial rental e-scooter riders. This includes death or serious injury.  -Injury (physical or psychological) to members of the public	<b>SHE:</b> in the most relevant study available, there are approximately 20 rider injuries per 100,000 e-scooter trips <sup>5</sup> . This study was published in April 2019 and was based in Texas, US. The same study does not provide	<b>SHE:</b> the loss of any life, or any serious injury on our network is severe. Given our vision zero aims, regardless of likely frequency, this impact is assessed as <b>High.</b> <b>Customer&amp;</b>	-The co-ordinated pan London trial with higher safety standards  -Enhanced vehicle safety features e.g., lighting, bells etc  -Education, training and marketing programmes

<sup>5</sup> [https://www.austintexas.gov/sites/default/files/files/Health/Epidemiology/APH\\_Dockless\\_Electric\\_Scooter\\_Study\\_5-2-19.pdf](https://www.austintexas.gov/sites/default/files/files/Health/Epidemiology/APH_Dockless_Electric_Scooter_Study_5-2-19.pdf)

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Page 130	pedestrians, fast acceleration, novice riders, low position of vehicle/lights and unfamiliarity.			-Reputational harm to TfL	analysis of the likelihood of shared rental e-scooters colliding with other vehicles but notes that 16% of the incidents with injured riders involved a motorised vehicle. There was no mention of incidents with non-motorised vehicles. As this is a percentage of the injured people who took part in the trial, (there were 200 injuries per	<b>stakeholder:</b> Should any of the foreseeable incidents listed occur, the result is likely to be a relatively small number of customers/stakeholders affected with minimal disruption to service delivery or impact to assets. However, the possible impact of people with	<p>delivered by operators, TfL, boroughs etc focusing on safe, legal and considerate use</p> <p>-Operator safety processes e.g., confirming training understood</p> <p>-No-go and Go-slow areas can be introduced</p> <p>-Notifications to alert of discarded rental e-scooters</p> <p>-Community outreach delivered by</p>
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# Risk Assessment – 12-month e-scooter trial in London



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Page 131					<p>1000,000 trips), the likelihood is assessed as <b>Low</b>. However, this study was in the U.S and many factors in the London trial will be different.</p> <p><b>Customer &amp; Stakeholder:</b> In the same study, only 10% of injuries involved collisions with motorised vehicles. Therefore, the likely service disruption is 5%-25% of injuries, so the likelihood is assessed as</p>	<p>some protected characteristics becoming afraid to travel is very important. In addition, the possible impact of people with some protected characteristics becoming afraid to travel is very important. Therefore, the impact is assessed as <b>Medium</b>.</p> <p><b>Finance:</b></p>	<p>operators and boroughs</p> <p>-Monitoring and evaluation programme including data collection to inform safety improvements</p>
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Page 132					<p><b>LOW Finance:</b> In most cases, it is expected that financial losses following collisions will be managed through the operator's insurance, which they will be contractually required to have in place. Therefore, the likelihood of TfL incurring losses of £1m or more from vehicle collisions is <b>Very Low Stakeholder</b></p>	<p>Losses are likely to be less than £1m. Operators are contractually required to carry insurance. Therefore, the impact is assessed as <b>Very Low Stakeholder confidence:</b> The likely impact of the foreseeable incidents occurring is On-going negative media coverage</p>	
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

Residual Risk **WITHIN TOLERANCE**

Reference: APPENDIX I

No	Hazard	Activity / plant / Material	Persons that could be harmed	Consequence	Likelihood: Frequency and Probability (Very Low, Low, Medium, High, Very High)	Impact (Very Low, Low, Medium, High, Very High)	Mitigation / Actions
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Page 133					<p><b>Confidence:</b> TfL has received strong public reaction from cyclist deaths in the past, so it is likely that fatalities will attract the same level of public attention. The number of fatalities of e-scooter riders globally is estimated at over 29 since the rentable market started in 2018.<sup>6</sup>. Given</p>	<p>resulting in loss of confidence with significant regulator or stakeholder intrusion. Therefore, the impact is assessed as <b>Medium.</b></p>	
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<sup>6</sup> <https://qz.com/1793164/at-least-29-people-have-died-in-electric-scooter-crashes/>

# Risk Assessment – 12-month e-scooter trial in London



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Page 134					the potential effect of press and social media attention, the likelihood is assessed as <b>Medium.</b>		
5	<b>DLR (driverless trains and some unstaffed stations)- trial rental e scooters being ridden onto the platform, or onto the tracks.</b>	Trial rental e-scooters in use. This includes vehicles that become defective while being used.	-Trial rental e-scooter rider  -Occupants/riders/pillion of other vehicles  Anyone, but particularly people with some protected characteristics (eg older people or	-Anxiety and possible increase in fear of going out  -Injury (physical or psychological) to trial rental e-scooter riders. This includes death or serious injury.  -Injury (physical or psychological) to members of the public/other drivers, rider/pillion/occupants of other vehicles. This includes death or serious injury.  -Financial losses  -Insurance pay outs	<b>SHE:</b> Through a competitive procurement process, the three selected operators - Dott, Lime and Tier – have met and in many places exceeded our high safety and operating requirements with regards to vehicles,	<b>SHE:</b> TfL has ambitions of providing a harm-free transport network, so any injury on the TfL network is a serious occurrence. The monitoring and analysis that will be carried out by	-Education, training and marketing programmes delivered by operators, TfL, boroughs etc focusing on safe, legal and considerate use  -Operator safety processes- eg. Checking that the training has

# Risk Assessment – 12-month e-scooter trial in London



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Page 135			pregnant women)	-Damage to trial rental e-scooter(s), personal property and/or TfL infrastructure	maintenance regimes, parking and customer education, including having strategies in place to mitigate risky behaviours. Further detail is included in an updated version of the EQIA published June 4, 2021. Added to this, the application of geofence technology at some DLR stations will reduce the likelihood of	operators and TfL throughout the trial will provide information that can aid operational (and police if required) deployment to "hotspot" locations. The ability to pause or cancel the trial can also minimise the impact of this occurrence. Therefore, the impact is assessed as <b>Low</b> <b>Customer &amp;</b>	been understood.  -Enhanced vehicle safety features e.g., Braking, lighting, bells etc  -Geofence technology to stop trial rental e-scooters from being ridden in risky areas (eg. platform). Certain criteria apply (eg. No-go areas will not be applied where there is parking or in close proximity to significant
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# Risk Assessment – 12-month e-scooter trial in London



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Page 136					injury from riding on the platform or onto tracks. Trial rental e-scooters will also not be permitted on DLR trains (as per TfL Conditions of Carriage) and disincentivised from DLR stations through things such as the weight of the vehicles and hire pricing structure, thereby reducing the likelihood of this occurrence	<b>Stakeholder:</b> Should such an incident occur, it is not likely that there will be any disruption to the overall TfL network, unless it causes injury, damage or loss. In those instances, disruption will still be minimal, as most DLR services are near to other TfL services. Therefore, the impact is	<p>cycling infrastructure (eg. Cycle Superhighway or TLRN). Further No-go and Go-slow areas can be introduced.</p> <p>-Number of rental e-scooters available can be amended</p> <p>-Monitoring and evaluation programme including data collection</p> <p>-EQIA compiled from engagement with</p>
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# Risk Assessment – 12-month e-scooter trial in London



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Page 137					<p>further. Therefore, likelihood is assessed as <b>Very Low</b>.</p> <p><b>Customer &amp; Stakeholder:</b> In the event of such incidents occurring, it is likely that there will be minimal (if any) disruption to TfL services on the network. Therefore, the likelihood is assessed as <b>Very low</b>.</p> <p><b>Finance:</b> Other than the possibility of</p>	<p>assessed as <b>low</b>.</p> <p><b>Finance:</b> The likelihood of costs being incurred by TfL has been assessed as very low. Therefore, the impact on TfL is also likely to be <b>Very low</b>.</p> <p><b>Stakeholder confidence:</b> Given the profile and status of London, and the various ways in which complaints can be made, the</p>	<p>important stakeholder groups</p> <p>-Trial rental e-scooters are not allowed on Buses, London Underground, Trams, London Overground, TfL Rail and DLR.</p>
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# Risk Assessment – 12-month e-scooter trial in London



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Page 138					replacing damaged infrastructure, there are no foreseeable financial implications to TfL resulting from this hazard. Therefore, the likelihood is assessed as <b>Very low.</b> <b>Stakeholder Confidence:</b> Looking at the coverage that has been received in other trial areas across the UK and the status of	potential effects of negative press and social media commentary are significant. TfL is in contact regularly with important stakeholder groups. However, some stakeholders, especially young and those with some protected characteristics (eg older	
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# Risk Assessment – 12-month e-scooter trial in London



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Page 139					London, the trial itself will be under some scrutiny. TfL is working closely with important stakeholder groups throughout the trial but given the potential effect of press and social media attention, the likelihood is assessed as <b>Medium</b> .	people or pregnant women) may be negatively affected. This can cause reluctance to travel or even leave the home, meaning that the overall impact is assessed as <b>Medium</b> .	
6	<b>Trial rental e-scooter users targeted by criminals. This includes</b>	Trial rental e-scooters in use or parked. This includes trial rental e-scooter	-Trial rental e-scooter rider  -Occupants/riders/pillion of	-Anxiety and Possible increase in fear of going out  -Injury (physical or psychological) to trial rental e-scooter riders. This includes death or serious injury.	<b>SHE:</b> In discussions with CPOS, it is apparent that the number of	<b>SHE:</b> TfL can pause or restrict operations if required, as	-Education, training and marketing programmes delivered by

# Risk Assessment – 12-month e-scooter trial in London



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Page 140	<b>vehicles being taken with force, personal belongings or data being stolen, and vandalism or tampering with/theft of vehicle parts.</b>	users downloading the app, reading training documents online with a mobile device, or searching for parking locations.	<p>other vehicles</p> <p>-Emergency services personnel acting in official capacity</p> <p>Anyone, but particularly people with some protected characteristics (eg older people or pregnant women)</p>	<p>-Injury (physical or psychological) to members of the public/other drivers, rider/pillion/occupants of other vehicles. This includes death or serious injury.</p> <p>-Injury (physical or psychological) to emergency services personnel acting in official capacity</p> <p>-Financial losses</p> <p>-Insurance pay outs</p>	criminal incidents associated with e-scooters is growing. The likelihood is that such incidents in the e-scooter trial may be higher at the start of the trial due to them being new on our roads, but are likely to reduce over time, and taken as a percentage of overall hires, the likelihood	some other authorities in the UK have done at the time of this assessment <sup>7</sup> . Added to this, the vehicle specifications and close working with police mentioned in the mitigation actions mean that the impact will be kept <b>Low</b> <b>Customer &amp; Stakeholder:</b>	<p>operators, TfL, boroughs etc focusing on safe, legal and considerate use</p> <p>-Parking provision made available for rental e-scooters</p> <p>-No-go and Go-slow areas can be introduced</p> <p>-Programmes to remove poorly left rental e-scooters</p>

<sup>7</sup> <https://www.bbc.co.uk/news/uk-england-coventry-warwickshire-54164922>

# Risk Assessment – 12-month e-scooter trial in London



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Page 141					<p>will be <b>Medium</b>.  <b>Customer &amp; Stakeholder:</b> In the event of the reasonably foreseeable criminal behaviour occurring, it is likely that there will be minimal (if any) disruption to TfL services on the network. Therefore, the likelihood is assessed as <b>Very low</b>.  <b>Finance:</b> Other than the possibility of replacing</p>	<p>As the likelihood of service disruption following criminal activity is very low, the likely impact to TfL customers and stakeholders overall is also assessed as <b>Very low</b>.  <b>Finance:</b> The likelihood of costs being incurred by TfL from criminal activity has been assessed as very low.</p>	<ul style="list-style-type: none"> <li>-Notifications to alert of discarded rental e-scooters</li> <li>- Operators contact details clear and accessible</li> <li>-Community outreach delivered by operators and boroughs</li> <li>-Police enforcement programmes</li> <li>-Monitoring and evaluation programme</li> </ul>
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# Risk Assessment – 12-month e-scooter trial in London



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Page 142					<p>damaged infrastructure, there are no foreseeable financial implications to TfL resulting from this hazard. Therefore, the likelihood is assessed as <b>Very low</b>.</p> <p><b>Stakeholder Confidence:</b> Looking at the coverage that has been received in other trial areas</p>	<p>Therefore, the impact on TfL is assessed as <b>Very low</b>.</p> <p><b>Stakeholder confidence:</b> Given the profile and status of London, and the various ways in which complaints can be made, the potential effects of negative press and social media commentary</p>	<p>including data collection</p> <p>-Boroughs have a legal duty to take necessary steps to prevent crime and disorder<sup>8</sup></p> <p>-Vehicles designed with physical measures to prevent theft and</p>
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<sup>8</sup> <https://www.legislation.gov.uk/ukpga/1998/37/section/17/2005-01-18?timeline=true>

# Risk Assessment – 12-month e-scooter trial in London



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Page 143					across the UK and the status of London, the trial itself will be under some scrutiny. Given the potential effect of press and social media attention, the likelihood is assessed as <b>Medium.</b>	are significant. However, the ability to pause or cancel the trial provides TfL an opportunity to limit this. In addition, the possible impact of people with some protected characteristics becoming afraid to travel is very important. Therefore, the impact is assessed as <b>Medium.</b>	vandalism
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# Risk Assessment – 12-month e-scooter trial in London



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7 Page 144	<b>Trial rental e-scooters used for criminal activity. This includes traffic offences, parking offences and riding on pavements.</b>	Trial rental e-scooters used illegally. This includes riding on pavements or in contravention on any rules (eg TfL CoC), committing crimes (eg theft) and evading police.	<ul style="list-style-type: none"> <li>-Trial rental e-scooter rider</li> <li>-Occupants/riders/pillion of other vehicles</li> <li>-Emergency services personnel acting in official capacity</li> </ul> <p>Anyone, but particularly people with some protected characteristics</p>	<ul style="list-style-type: none"> <li>-Anxiety and Possible increase in fear of going out</li> <li>-Injury (physical or psychological) to trial rental e-scooter riders. This includes death or serious injury.</li> <li>-Injury (physical or psychological) to members of the public/other drivers, rider/pillion/occupants of other vehicles. This includes death or serious injury.</li> <li>-Injury (physical or psychological) to emergency services personnel acting in official capacity</li> <li>-Financial losses</li> <li>-Insurance pay outs</li> </ul>	<b>SHE:</b> As trial rental e-scooters are new to London, and with a lack of relatable studies to draw from, it is difficult to determine the likelihood of this occurring. However, the mitigations in place, such as police, enforcement, distinctively marked vehicles and operator	<b>SHE:</b> TfL can pause or restrict operations if required, as some other authorities in the UK have done at the time of this assessment <sup>9</sup> . Added to this, the vehicle specifications and close working with police mentioned in the mitigation actions mean	<ul style="list-style-type: none"> <li>-Education, training and marketing programmes delivered by operators, TfL, boroughs etc focusing on safe, legal and considerate use</li> <li>-No-go and Go-slow areas can be introduced</li> <li>-Notifications to alert of discarded rental e-scooters</li> <li>-</li> </ul>

<sup>9</sup> <https://www.bbc.co.uk/news/uk-england-coventry-warwickshire-54164922>

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Page 145			(eg older people or pregnant women)		contact details being visible on vehicles may help to reduce the likelihood. It is therefore assessed as <b>Medium</b> . <b>Customer &amp; Stakeholder:</b> Using the Santander Cycle Hire scheme as a comparator, there is minimal (if any) disruption to services on the network caused by the foreseeable criminal activity noted.	that the impact is assessed as <b>Low</b> . <b>Customer &amp; Stakeholder:</b> The likelihood of service disruption following criminal activity is very low, the likely impact to TfL customers and stakeholders overall is also assessed as <b>Very low</b> . <b>Finance:</b> The likelihood of costs being incurred by TfL from criminal	Operators contact details clear and accessible  -Community outreach delivered by operators and boroughs  -Police enforcement programmes  -Monitoring and evaluation programme including data collection
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# Risk Assessment – 12-month e-scooter trial in London



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Page 146					Therefore, the likelihood is assessed as <b>Very low</b> . <b>Finance:</b> Other than the possibility of replacing damaged infrastructure, there are no foreseeable financial implications to TfL resulting from this hazard. Therefore, the likelihood is assessed as	activity has been assessed as very low. Therefore, the impact on TfL is assessed as <b>Very low</b> . <b>Stakeholder confidence:</b> Given the profile and status of London, and the various ways in which complaints can be made, the potential effects of	-Boroughs have a legal duty to take necessary steps to prevent crime and disorder <sup>10</sup>  -Vehicles can be disabled remotely
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<sup>10</sup> <https://www.legislation.gov.uk/ukpga/1998/37/section/17/2005-01-18?timeline=true>



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Page 147					<p><b>Very low.</b>  <b>Stakeholder Confidence:</b>                      Looking at the coverage that has been received in other trial areas across the UK and the status of London, the trial itself will be under some scrutiny. Given the potential effect of press and social media attention, the likelihood is assessed as <b>Medium.</b></p>	<p>negative press and social media commentary are significant. The ability to pause or cancel the trial provides TfL an opportunity to limit this. However, the possible impact of people with some protected characteristics becoming afraid to travel is very important. Therefore, the</p>	
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# Risk Assessment – 12-month e-scooter trial in London



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Page 148						impact is assessed as <b>Medium.</b>	
8	<b>Increased use of illegal e-scooters</b>	E-scooters that are not part of the trial in use.	Trial rental e-scooter rider -Occupants/riders/pillion of other vehicles -Emergency services personnel acting in official capacity	-Anxiety and Possible increase in fear of going out -Injury (physical or psychological) to trial rental e-scooter riders. This includes death or serious injury. -Injury (physical or psychological) to members of the public/other drivers, rider/pillion/occupants of other vehicles. This includes death or serious injury. -Injury (physical or psychological) to emergency services personnel acting in official capacity	<b>SHE:</b> Prior to the trial starting, there has been an increase in the sale of e-scooters. These are not allowed to be used other than on private property. When used otherwise, it is illegal. The messaging from	<b>SHE:</b> The messaging from TfL, Operators and Boroughs is one of the mitigations against illegal e-scooter use; as well as police enforcement and some of	-Education and marketing programmes delivered by operators, TfL, boroughs etc -Community outreach delivered by operators and boroughs -Police

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Page 149			Anyone, but particularly people with some protected characteristics (eg older people or pregnant women)	-Financial losses	TfL, Operators and Boroughs is one of the mitigations against illegal e-scooter use; as well as police enforcement and some of the specifications of the trial rental e-scooters (eg distinctive markings). However, the uptake of illegal e-scooters is likely to continue, so the likelihood of injuries associated with illegal e-	the specifications of the trial rental e-scooters (eg distinctive markings). However, the uptake of illegal e-scooters is likely to continue. Despite the mitigations in place, the impact of injuries associated with illegal e-scooters is assessed as <b>Medium</b> .	enforcement programmes  -Monitoring and evaluation programme including data collection around illegal use
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# Risk Assessment – 12-month e-scooter trial in London



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Page 150					<p>scooters is assessed as <b>High</b>.</p> <p><b>Customer &amp; Stakeholder:</b> The likelihood of disruption to the TfL network due to illegal e-scooters being used is assessed as <b>very low</b>.</p> <p><b>Finance:</b> It is unlikely that there will be any financial implications to TfL if the use of illegal e-scooters grows. Therefore, the likelihood is</p>	<p><b>Customer &amp; Stakeholder:</b> The likelihood of disruption to the TfL network due to illegal e-scooters being used is assessed as <b>very low</b>.</p> <p><b>Finance:</b> It is unlikely that there will be any financial implications to TfL if the use of illegal e-scooters grows. Therefore, the likelihood is</p>	
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Page 151					assessed as <b>Very Low.</b> <b>Stakeholder Confidence:</b> Looking at the coverage that has been received across the UK around e-scooters, the media have not differentiated clearly between legal and illegal vehicles. Due to the status of London, the trial itself will be under some scrutiny. Given the potential effect of press and social	assessed as <b>Very Low.</b> <b>Stakeholder Confidence:</b> Looking at the coverage that has been received across the UK around e-scooters, the media have not differentiated clearly between legal and illegal vehicles. Due to the status of London, the trial itself will be under some scrutiny. Given	
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Page 152					media attention, the likelihood is assessed as <b>Medium.</b>	the potential effect of press and social media attention, the impact is assessed as <b>Medium.</b>	
9	<b>Trial rental e-scooter Operator staff targeted by criminals. This includes vehicles being taken with force, personal belongings or</b>	Field-based activities, including distributing, cleaning and collecting vehicles.	-Trial rental e-scooter Operator staff  -Emergency services personnel acting in official capacity	-Anxiety and Possible increase in fear of going out  -Injury (physical or psychological) to trial rental e-scooter Operator staff. This includes death or serious injury.  -Injury (physical or psychological) to members of the public/other drivers, rider/pillion/occupants of other vehicles. This includes death or serious injury.	<b>SHE:</b> In discussions with CPOS, it is apparent that the number of criminal incidents associated with e-scooters is growing. The	<b>SHE:</b> TfL can pause or restrict operations if required, as some other authorities in the UK have done at the time of this	-Operator risk assessment and training for staff carrying out field-based operations.  -Education, training and marketing

# Risk Assessment – 12-month e-scooter trial in London



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Residual Risk **WITHIN TOLERANCE**

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Page 153	data being stolen.		Anyone, but particularly people with some protected characteristics (eg older people or pregnant women)	<ul style="list-style-type: none"> <li>-Injury (physical or psychological) to emergency services personnel acting in official capacity</li> <li>-Financial losses</li> <li>-Insurance pay outs</li> </ul>	likelihood is that such incidents in the e-scooter trial may be higher at the start of the trial due to them being new on our roads, but are likely to reduce over time, and taken as a percentage of overall hires, the likelihood is assessed as <b>Medium.</b> <b>Customer &amp; Stakeholder:</b> In the event of the	assessment <sup>11</sup> . Added to this, the vehicle specifications, operator risk assessments and close working with police mentioned in the mitigation actions mean that the impact is assessed as <b>Low</b> <b>Customer &amp; Stakeholder:</b> As the likelihood of service	<ul style="list-style-type: none"> <li>programmes delivered by operators, TfL, boroughs etc focusing on safe, legal and considerate use</li> <li>-Programmes to remove poorly left rental e-scooters</li> <li>-Notifications to alert of discarded rental e-scooters</li> <li>Operators contact details to be clear and</li> </ul>
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<sup>11</sup> <https://www.bbc.co.uk/news/uk-england-coventry-warwickshire-54164922>

# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

Residual Risk **WITHIN TOLERANCE**

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Page 154					<p>reasonably foreseeable criminal behaviour occurring, it is likely that there will be minimal (if any) disruption to TfL services on the network. Therefore, the likelihood is assessed as <b>Very low</b>.</p> <p><b>Finance:</b> Other than the possibility of replacing damaged infrastructure, there are no foreseeable</p>	<p>disruption following criminal activity is very low, the likely impact to TfL customers and stakeholders overall is also assessed as <b>Very low</b>.</p> <p><b>Finance:</b> The likelihood of costs being incurred by TfL from criminal activity has been assessed as very low. Therefore, the impact on TfL is assessed as</p>	<p>accessible.</p> <ul style="list-style-type: none"> <li>-Community outreach delivered by operators and boroughs</li> <li>-Police enforcement programmes</li> <li>-Monitoring and evaluation programme including data collection</li> <li>-Boroughs have a legal duty to</li> </ul>
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

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Page 155					financial implications to TfL resulting from this hazard. Therefore, the likelihood is assessed as <b>Very low</b> . <b>Stakeholder Confidence:</b> Looking at the coverage that has been received in other trial areas across the UK and the status of London, the trial itself will be	<b>Very low. Stakeholder confidence:</b> Given the profile and status of London, and the various ways in which complaints can be made, the potential effects of negative press and social media commentary are significant. However, the ability to pause	take necessary steps to prevent crime and disorder <sup>12</sup>  -Vehicles designed with physical measures to prevent theft and vandalism
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<sup>12</sup> <https://www.legislation.gov.uk/ukpga/1998/37/section/17/2005-01-18?timeline=true>

# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

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Page 156					under some scrutiny. Given the potential effect of press and social media attention, the likelihood is assessed as <b>Medium.</b>	or cancel the trial provides TfL an opportunity to limit this. In addition, the possible impact of people with some protected characteristics becoming afraid to travel is very important. Therefore, the impact is assessed as <b>Medium.</b>	
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

Residual Risk **WITHIN TOLERANCE**

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10 Page 157	<b>Nuisance: -noise, light or other issues associated with any parking or docking facilities.</b>	<ul style="list-style-type: none"> <li>-Storing or parking trial rental e-scooters</li> <li>-Discarding or failing to correctly store or park trial rental e-scooters</li> </ul>	<ul style="list-style-type: none"> <li>-Trial rental e-scooter rider</li> <li>-Pedestrians</li> <li>-Local residents or businesses</li> <li>-Anyone, but especially people with some protected characteristics (eg visually impaired)</li> </ul>	<ul style="list-style-type: none"> <li>-Harm to pedestrians</li> <li>-Anxiety or possible increased fear of going out</li> <li>-Damage to trial rental e-scooters,</li> <li>-Damage to mobility aids and vehicles</li> <li>-Private nuisance action by affected individuals leading to fines against operators</li> <li>-Reputational harm to TfL, trial boroughs and/or operators</li> <li>-Insurance pay out(s)/ premium rise</li> <li>-Complaints</li> <li>-Dumping of trial rental e-scooters in waterways</li> </ul>	<p><b>SHE:</b> Due to the controls in place, including close liaison with stakeholder groups, the likelihood of these consequence occurring is assessed as <b>LOW</b></p> <p><b>Customer &amp; Stakeholder:</b> TfL has learned a lot from Cycle Hire's operations, including what is required for docking stations, as well as dock less</p>	<p><b>SHE:</b> Due to the size of the trial and TfL's ability to manage, restrict or pause the growth of operators based on performance, the impact is assessed as <b>Low</b></p> <p><b>Customer &amp; stakeholder:</b> Taken as a part of the whole TfL operation, the consequence would be a small number</p>	<ul style="list-style-type: none"> <li>-Messaging before, during and after trial to stakeholders from the trial boroughs, TfL and operators</li> <li>-Training/briefing provided with Terms and Conditions, as well as on-going support from the operator</li> <li>-operator staff in the field deployed quickly to investigate and address local problems</li> <li>-Intervention or possible enforcement action by Local</li> </ul>
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

Assessed By: Transport for London

Residual Risk **WITHIN TOLERANCE**

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Page 158					<p>provision. This knowledge will be shared; therefore, the likelihood is assessed as <b>Very Low</b></p> <p><b>Finance:</b> Should these consequences occur, the likely costs to TfL would be less than £1m. Therefore, the likelihood is assessed as <b>Very Low</b></p> <p><b>Stakeholder Confidence:</b> Given the various ways in which</p>	<p>of customers/stakeholders affected with minimal disruption to service delivery or impact to assets. Therefore, the impact is assessed as <b>Very Low</b></p> <p><b>Finance:</b> Should these consequences occur, TfL can act in various ways, so the impact is assessed as <b>Very Low</b></p>	<p>Authority to abate any statutory nuisance</p> <ul style="list-style-type: none"> <li>-Vehicle specifications include contact details for reporting back to the operator and specific identification numbers that link back to the operator and trial</li> <li>-Design of any parking in line with requirements</li> <li>-Close liaison between boroughs, operator and TfL</li> <li>-All trial rental e-</li> </ul>
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

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Page 159					complaints can be made and the amount of negative press and social media commentary that is carried with news cycles, the likelihood of damage being caused to stakeholder confidence is assessed as <b>Medium.</b>	<b>Stakeholder Confidence:</b> Due to the nature of media cycles, there is a possibility (at least at the start of the trial) of short-term negative media coverage. The option of pausing or cancelling the trial on safety grounds gives TfL the opportunity to limit the impact. However, the	scooters have a means of self-standing (e.g., Kickstand)  - Operators have devices on their vehicles that report when a parked vehicle has fallen over (when parked) or otherwise removed from a parking area  -Operators are contractually obliged to find and adopt new ways of improving user and public safety
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# Risk Assessment – 12-month e-scooter trial in London



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Page 160						possible impact of people with some protected characteristics becoming afraid to travel is very important. Therefore, the impact is assessed as <b>Medium</b>	<p>-Parking bays at TfL Stations are designed to fit with national DfT parking guidelines</p> <p>-Parking bays at TfL Stations are located according to criteria that includes safety (e.g. well-lit areas; clearly marked out bays; not blocking any signage)</p> <p>-Ongoing monitoring throughout the trial and engagement with Operators and stakeholders to identify and implement improvements as</p>
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# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

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Page 161							appropriate
11	<b>-Incorrect management of battery lifecycle</b>	-Maintenance of trial rental e-scooters	-TfL -Trial boroughs -Trial Operators	-Breaches of waste legislation  -Loss: -Fines against operators -Prosecutions against TfL  -Reputational harm to TfL and/or operators			-Operators are contractually obliged to ensure the safe and legally compliant repurposing or disposal of batteries

# Risk Assessment – 12-month e-scooter trial in London



Applicable to: Transport for London

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12 Page 162	-No change to the overall level of car use and/or displacement of Active Travel journeys	-Use of rental trial rental e-scooters	-Trial rental e-scooter users  -People who visit, live or work in London  -Disabled, older, pregnant people	-Undermining Active travel plans and worsening health, as the objective of lowering car use is not met, but Active Travel journeys are rather replaced by trial rental e-scooter journeys  -Long term health problems such as obesity and the effects of air pollution  -Disabled, older or pregnant people have reduced confidence while carrying out Active Travel journeys	<b>HSE:</b> Given the introduction of new congestion charging terms and the extensive rollout of the London Streetspace Plan, non-car journeys are currently more attractive than ever. If trial rental e-scooter distribution is data led and strategically applied, this may help, but there is little evidence to show that trial rental e-	<b>HSE:</b> Although the identified consequences can contribute to health problems, they are unlikely to be the sole cause, so the impact is assessed as <b>Very Low.</b>	-Adoption of “priority areas” throughout the trial to encourage uptake by specific groups (e.g., some car journeys)  -Trial operators under obligation to replenish trial rental e-scooter distribution across participating boroughs daily  -The project team collect data to inform future policy and strategy for managing mode shift  - TfL customer communications campaign targeted at



# Risk Assessment – 12-month e-scooter trial in London



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Page 163					scooters will replace car journeys. Therefore, the likelihood is assessed as <b>Medium</b> .		sustainable mode shift we want to see from car drivers
13	<p><b>-Transmission of COVID-19, or other diseases</b></p> <p><b>-Adverse reactions from contact with cleaning chemicals</b></p>	-Routine and emergency cleaning of trial rental e-scooters	<p>-Operators' staff</p> <p>-Members of the public</p> <p>-trial rental e-scooter users</p> <p>-Animals</p>	<p>-Anything ranging from mild illness to death Any conditions resulting from adverse reactions.</p> <p>-Reputational damage to TfL, trial boroughs and/or operators</p>	<p><b>SHE:</b> This cleaning regime is the same as with Santander Cycle Hire's docking stations and bikes. To date, there have been no confirmed cases</p>	<p><b>SHE:</b> At the time of this assessment, there is a COVID-19 pandemic. On 31 July 2020, the ONS reported that the number of</p>	<p>-The co-ordinated pan London trial with higher safety standards</p> <p>-Operator maintenance programmes for rental e-scooters</p>

# Risk Assessment – 12-month e-scooter trial in London



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Page 164			-Any other person coming into contact with trial rental e-scooters		of people having caught any diseases or suffered adverse reactions. Therefore, the likelihood is assessed as <b>Very Low</b>	COVID-19 infections appeared to be rising. <sup>13</sup> . However, at the same time, the number of deaths with COVID-19 has fallen well below peak levels. Nevertheless, given the pandemic, the impact is assessed as <b>Medium</b> .	-Existing Covid-19 marketing and awareness raising messages  -Education, training and marketing programmes delivered by operators, TfL, boroughs etc focusing on safe, legal and considerate use  -Monitoring and

<sup>13</sup> <https://www.ons.gov.uk/peoplepopulationandcommunity/healthandsocialcare/conditionsanddiseases/articles/coronaviruscovid19roundupdeathsandhealth/2020-06-26#infectionstudy>

# Risk Assessment – 12-month e-scooter trial in London



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Page 165							evaluation programme including data collection  -Contractors employed by the Operator clean the touch points daily; and provide a reactive clean when required (confirmed COVID-19 cases).  -Cleaning contractors use antibacterial agents which are equal to, or greater in strength than those used on other TfL assets.  -COSHH
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# Risk Assessment – 12-month e-scooter trial in London



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Page 166							assessments of cleaning products -Ensuring cleaning products will not have adverse environmental impact -PHE instructions on hand hygiene, face coverings, social distancing/emerging controls
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# Risk Assessment – 12-month e-scooter trial in London



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**Date:** 30 June 2021

**Item:** **Work-related Violence and Aggression Strategy – 2021/22  
Delivery Action Plan**

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**This paper will be considered in public.**

## **1 Summary**

1.1 Following endorsement by the Panel of TfL's Work-related Violence and Aggression (WVA) Strategy, in February 2020, this paper seeks endorsement for the associated Work-related Violence and Aggression Strategy – 2021/22 Delivery Action Plan for 2021/22.

## **2 Recommendation**

2.1 **The Panel is asked to note the Work-related Violence and Aggression Strategy – 2021/22 Delivery Action Plan.**

## **3 Background**

3.1 The safety of our workforce and our customers is our highest priority. Our people have the right to work without fear of being assaulted, abused or threatened. They should never accept this as a part of their jobs.

3.2 In February 2020, the Panel endorsed TfL's first organisation-wide Work-related Violence and Aggression Strategy.

3.3 Our vision is to eradicate work-related violence and aggression. The Strategy commits TfL to a new organisation-wide approach to work-related violence and aggression. It places a strong emphasis on preventing incidents from occurring in the first place; improving the support we give to our people when they are a victim and continually learning and improving our approach to keeping our people safe.

## **4 Work-related Violence and Aggression Strategy: Progress to date**

4.1 In 2020/21, we continued to make excellent progress on delivering the Strategy, despite the financial impact and restrictions imposed by the coronavirus pandemic. Progress includes:

- (a) the roll out of 4,500 body worn cameras across 302 TfL sites, available for over 6,000 users;
- (b) the recruitment and training of 55 new Transport Support and Enforcement Officers (TSEOs). TSEOs provide visible support to our frontline colleagues, dealing with the triggers of work-related violence and aggression;

- (c) the creation of a single pan-TfL Work-related violence and aggression team (combining the teams in London Underground and Surface) and recruitment to the Senior Lead for Work-related Violence and Aggression; and
- (d) A new customer-facing communications campaign on the consequences of assaulting our people. Our ‘Serious Worrying Incidents’ campaign launched on 7 June 2021.

## **5 TfL’s Work-related Violence and Aggression delivery action plan: Overview**

- 5.1 The Work-related Violence and Aggression Strategy – 2021/22 Delivery Action Plan (attached as Appendix 1) outlines how TfL will continue to deliver the Work-related Violence and Aggression Strategy. It lists all 23 commitments within the Strategy and breaks these down into associated actions for delivery in 2021/22 and beyond.
- 5.2 Progress against this action plan will be reported to the Panel on a quarterly basis.

## **6 Financial Implications**

- 6.1 Given the impact of the coronavirus pandemic on TfL’s finances, and the recent short-term funding agreement with Government, the budget and resourcing for this action plan is under review. Funding for safety critical improvements will be prioritised but some elements of the action plan may be deferred. Recruitment of additional Transport Support Enforcement Officers to deal with the triggers of workplace violence remains on track.

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

Appendix 1 – Work-related Violence and Aggression Strategy – 2021/22 Delivery Action Plan

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

[TfL Work-related Violence and Aggression Strategy 2020](#)

Contact Officer: Siwan Hayward, Director of CPOS  
Email: [Siwan.Hayward@tfl.gov.uk](mailto:Siwan.Hayward@tfl.gov.uk)



**Appendix 1 – Work-related Violence and Aggression  
Strategy – 2021/22 Delivery Action Plan**

<b>Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan</b>				
<b>Ref</b>	<b>Action</b>	<b>Update Q1</b>	<b>Next steps</b>	<b>Due</b>
<b>Strategy Action 1: TfL, our policing partners, operators and contractors pledge to our people to tackle work-related violence and aggression.</b>				
a	Communicate our pledge to our people and provide regular update on activity.	The pledge was published in the WVA strategy and is being covered in all our employee communications channels.	The pledge will continue to be a focus of our communication plan and engagement with staff (ref x).	Ongoing
b	Develop an organisation-wide WVA policy for staff.	A new policy has been drafted, bringing together separate policies for TfL and London Underground (LU).	Begin discussions with internal stakeholders and thereafter consult with Trade Unions.	Q2
<b>Strategy Action 2: We will double the size of our dedicated work-related violence team to 22 to lead on the implementation of this strategy.</b>				
c	Review model and ways of working for the WVA Team – to focus on prevention projects and enhance investigations and victim support.	Two teams, in Surface and LU were brought together in early 2020 to begin the process of providing a consistent, organisation-wide approach to WVA.	Team review complete and new activities, processes and ways of working agreed.	Q3
d	Recruit to vacancies in WVA Team and supporting functions.	WVA Senior Manager has been recruited. Two prosecutors and two analysts are now dedicated to WVA activity. Four temporary support roles have been recruited to.	Review resource requirements in light of TfL's current financial position and recruit to critical vacancies.	Q4
e	Update information sharing protocols with police partners to enhance investigations and victim support.	Overarching information sharing agreements in place between TfL and police partners.	Agree final changes required to information sharing agreements to reflect the new victim support process and implement.	Q3

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
f	Enhance support for police investigations through provision of body worn video, footage, Oyster card data, CCTV, statement taking and other services.	Processes already in place but are being reviewed in light of police digital evidence sharing platforms.	Digital evidence sharing process and accountabilities agreed with stakeholders for the investigation of WVA.	Q3
<b>Strategy Action 3: We will work closely with our people and our partners to address the common causes of work-related violence and aggression through effective, coordinated action</b>				
g	Tackle sexual offences and sexual harassment towards our staff.	Work underway with police partners to understand and address the under-reporting of sexual offences and sexual harassment of frontline colleagues.	Issue communication and guidance to staff about importance of reporting and how they will be supported.	Q2
h	Recommence routine ticket checking (paused during Covid) to tackle fare evasion, a common trigger for WVA incidents.	Revenue protection activity has now recommenced on all TfL modes and will be scaled up in a phased approach.	Further analysis to identify hotspot locations for revenue protection/police deployments as customers return to network.	Ongoing
i	Develop and implement a problem-solving framework for persistent WVA hotspots.	Work underway with operational business areas and the police to agree approach.	To agree project plan to trial problem solving hotspot approach at Stratford Station.	Q2
<b>Strategy Action 4: We will undertake a review of our data to assess the risk of work-related violence to our directly employed people lone working at LU and bus stations or in on-street environment roles. We will encourage other employers providing transport services in London to do the same.</b>				
j	Assess the risk of lone working for customer-facing staff in London Underground, bus stations and on-street enforcement roles.	Concerns over lone working are currently dealt with through the workplace risk assessment process.	Timeline to be agreed – currently planning for late 2021/2022, so data and analysis is not skewed by the impact of the pandemic.	Q4

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 5: We will harness police support to reduce risk of harm and support our people.</b>				
k	Deliver additional targeted multi-agency policing and enforcement operations to tackle WVA.	Discussions underway with TfL enforcement teams, the Metropolitan Police Service (MPS) and British Transport Police (BTP) to agree a dedicated programme of WVA operations. BTP's Operation Stead is operating in locations where staff have concerns about WVA.	Agree format, focus and priority locations of operational activity and schedule dates for joint operations.	Q2
l	Introduce new monthly TfL/police WVA intelligence and deployment meetings – to support joint working.	Analysis being produced and shared with police partners.	To agree meeting terms of reference and initiate schedule.	Q2
m	Work with police partners to identify repeat offenders and develop offender management plans.	Discussions with police partners and enforcement teams underway.	Finalise work to identify top repeat offenders and agree approach with police partners.	Q3
<b>Strategy Action 6: We will strengthen our own enforcement capability and invest in additional police officers to deal with the common triggers of work-related violence and aggression and provide reassurance and support to our people.</b>				
n	Recruit new Transport Support and Enforcement Officers (TSEOs) to tackle triggers of WVA across TfL's public transport networks.	By March 2021, 55 TSEOs had been recruited and trained and are deployed to support frontline transport colleagues.	Recruit an additional 35 TSEOs, bringing the total to 90.	Q4

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
o	Fund an additional three investigators in BTP's Staff Assault Team to provide enhanced investigation support to TfL's rail operators.	Original commitment in WVA strategy was to fund 50 additional BTP officers. As WVA is now a policing plan priority and the BTP is at full strength, it was agreed that the establishment of a proactive task force was not necessary.	Consider options for additional investigative capacity. Proposal to be agreed between British Transport Police Authority, BTP, BTPA, TfL and its operators.	Q3
p	Recruit 60 Revenue Control Officers to help tackle fare evasion on the LU network.	Recruitment to roles was delayed during Covid-19 operations. Sixty roles have now been approved.	Planned timeline of 15 new starters per period from August/September 2021.	Q3
<b>Strategy Action 7: We will invest in personal safety equipment, such as body worn video cameras, in line with operational requirements.</b>				
q	Provide body worn video and emergency communication devices for staff at risk.	As at 31 March 2021, body worn video cameras have been rolled out to 302 TfL sites, 4,500 cameras are now available for over 6,000 users.	Evaluate if body worn video cameras or lone worker devices could help to reduce the risk of WVA for other employees at TfL.	Q3
r	Promote uptake of body worn video.	Promotion of wearing and using body worn video is ongoing within all communication channels	Develop usage reports and plan for further increasing body worn video usage, building on current engagement activity.	Q2
s	Consult on the impact of making CCTV mandatory in all Taxi and Private vehicles.	Taxis and PHVs drivers can elect to install approved in-vehicle CCTV. The DfT has not mandated CCTV in vehicles but requires all licensing authorities to undertake a consultation on the benefits and disbenefits.	Our consultation closed on 22 March with almost 4,200 responses. Responses are currently being analysed to inform next steps.	Q3

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 8. We will improve the consistency and standard of conflict management and de-escalation training and guidance for our people.</b>				
t	Undertake a review of conflict management and de-escalation training.	Discussions with operational and customer facing business areas underway.	Establish current provision, identify gaps and areas for improvement, learning from national research into best practice.	Q3
u	Improve guidance for customer-facing staff on how to manage and de-escalate conflict.	Regular communications to customer facing teams about WVA including safety and reporting advice is ongoing.	Map out current guidance, identify gaps and a plan to address these.	Q3
v	Work with the Taxi and Private Hire industry and police to develop and promote guidance for drivers on conflict management and de-escalation.	<p>Guidance on WVA has been included in the handbook that covers Safety, Equality and Regulatory Information for Private Hire Vehicle drivers which forms part of topographical assessment for Private Hire Drivers from October.</p> <p>A safety and wellbeing session for the taxi and private hire trades was held in April 2021.</p>	<p>Make guidance more easily accessible for taxi and private hire trades and encourage reporting.</p> <p>New topographical assessment for Private Hire Drivers goes live.</p>	<p>Q2</p> <p>Q3</p>
<b>Strategy Action 9. We will use different communications channels to emphasise our zero-tolerance approach to violence and aggression against our people.</b>				
w	Launch new WVA customer-facing communications campaign to re-emphasise our zero-tolerance approach to WVA and hate crime.	Customer campaign launched on 7 June. Supported by employee comms to raise awareness and encourage reporting.	Working with our transport operators to promote the campaign and key messages.	Q2
x	Develop and implement a TfL-wide WVA communications plan.	Communications objectives and commitments agreed.	To create detailed annual communications plan for 2021/22.	Q2

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 10. We will publicise successful outcomes against offenders to demonstrate that there are consequences for those who assault or threaten our people.</b>				
y	Improve consistency in the publication and communication of successful prosecution outcomes to our people and to customers.	Successful outcomes against offenders are regularly publicised internally and externally.	Develop a process for gathering and managing publication consistently and targeted to relevant audiences.	Q2
<b>Strategy Action 11. We will deliver on the commitments in our pledge and provide one to one support and advice for victims of work-related violence and aggression and their managers.</b>				
z	Improve management guidance on how to support staff who have concerns about or have been a victim of WVA.		Identify, review and agree changes required to current guidance for managers on WVA.	Q3
aa	Review victim support approach and incorporate learning from other victim support services.		Draft and agree new victim support process and align to new team activities and ways of working.	Q3
ab	Implement process for tracking WVA cases with police partners.		Review current process, agree and implement improvements with internal stakeholders and policing partners.	Q2
<b>Strategy Action 12. We will expand on our successful peer/trauma support programmes to aid victim wellbeing and return to work.</b>				
ac	Expand our current peer/trauma support programmes.	Peer support programmes currently in place within LU and CPOS.	Map out support that currently exists and identify improvements and next steps.	Q3

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 13: We will provide our people with regular updates on our work to tackle work-related violence and aggression, how we are improving support for our people and managers and the action we are taking against offenders.</b>				
ad	Provide local managers with regular information and analysis on local WVA issues.		Map out the information managers would find most useful in our WVA reduction work and agree how to provide this.	Q4
ae	Provide regular updates to staff – mapped out in the WVA comms plan (ref q)	Regular updates are currently provided through employee communications channels including staff magazines.	Ensure WVA communications plan is reviewed monthly and updated accordingly.	Ongoing
<b>Strategy Action 14: We will introduce an improved and consistent reporting and case management system for work-related violence and aggression incidents.</b>				
af	Develop and implement a new case management system for WVA Team.	Project outcome requirements have been agreed.	Agree delivery programme, timescales and estimated cost of the project.	Q2
ag	Implement a new reporting interface that makes it quicker and simpler for our people to report WVA incidents.	Project outcome requirements have been agreed.	Agree delivery programme, timescales and estimated cost of the project.	Q2
ah	Work with operators and contractors to improve the reporting of WVA incidents to TfL.		Agree action plan with operators and contractors to improve the reporting of incidents to TfL.	Q3
			Assess whether changes to commercial contractual requirements are necessary.	Q3
ai	Review WAASB (Workplace Aggression and Anti-Social Behaviour) reporting system.	WAASB was introduced in London Underground to alert managers to a WVA or ASB incident.	Review whether WAASB is still meeting its original objectives. Project scope established and next steps agreed.	Q2

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 15: We will push for strongest penalties against offenders and make greater use of ancillary orders and other alternative sanctions to deal more effectively with those who harm our people.</b>				
aj	Launch a one-year trial to improve judicial outcomes for public order offences against directly employed staff in Directorate of Compliance, Policing, Operations and Security.	Legal advice confirms TfL may initiate private prosecutions and pursue offenders. Two dedicated Investigator/Prosecutors have been appointed to lead this trial.	Finalise processes with all key stakeholders and agree start date.	Q2
<b>Strategy Action 16: We will engage with the CPS and Government to advocate for changes in legislation or sentencing guidelines to strengthen penalties for offenders.</b>				
ak	Produce a TfL organisational impact statement to be included in CPS and court papers.	This will highlight the impact of WVA on our people and our organisation and complement the industry-wide impact statements currently being used.	Develop organisational impact assessment for use by MPS and BTP.	Q3
<b>Strategy Action 17: We will provide structured opportunities for our people to share their experiences and feedback with us.</b>				
al	Introduce a new series of WVA staff engagement sessions.	WVA engagement sessions regularly take place with LU/bus garages/TfL staff. To review format of all sessions and agree ongoing schedule and process.	To review format of all sessions and agree ongoing schedule and process.  To review Viewpoint data and assess if WVA strategy needs updating in light of staff feedback.	Q3  Q4



## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 18: We will establish a network of work-related violence and aggression reduction advocates to help shape and promote our activity.</b>				
am	Establish a network of WVA reduction advocates.		Develop role scope and project plan to implement network.	Q4
<b>Strategy Action 19: We will improve the collection, analysis and reporting of work-related violence and aggression incidents.</b>				
an	Develop a WVA data portal to support the collection and analysis of incident and crime data.	Analysis being undertaken through manual process.	Develop portal scope and outline resource requirements.	Q2
ao	Address the barriers to why some staff do not report to the police and/or support criminal investigations.	Police capture information on common reasons for staff not wanting to support police investigations and criminal justice processes Reasons are also shared in staff engagement sessions.	Use feedback to inform new victim support process and support WVA Team can provide.	Q3
<b>Strategy Action 20: We will adopt a TfL-wide safety management framework to ensure a systematic, proactive approach to preventing incidents and supporting our people.</b>				
ap	Work with TfL's Directorate of Safety, Health and Environment to ensure that WVA prevention and support activity is part of the organisation's safety management framework.		Agree and implement WVA assurance processes.	Q3
aq	Improve management visibility of WVA risks and mitigations across the organisation.		Integrate WVA into TfL's risk management processes at Directorate level.	Q2

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 21: We will monitor what works in tackling work-related violence and aggression, learning from other organisations from across the transport sector and other industries.</b>				
ar	Implement best practice recommendations from the Rail Delivery Group/Rail Safety & Standards Board research in tackling WVA against rail staff.	TfL participated in the Steering Group to provide direction and support for this research.	To review findings and recommendations and assess if TfL's WVA strategy or policy framework need updating.	Q3
as	Continue to engage with, learn from and support efforts of other organisations affected by WVA.	Engagement with other organisations is ongoing. Recent engagement has taken place with the London Ambulance Service, NHS and the BTP.		Ongoing
<b>Strategy Action 22: We will be accountable to TfL Board for delivery of this strategy and will publish an annual action plan and regular updates on progress to its Safety, Sustainability and Human Resources Panel.</b>				
at	Introduce new reporting format for SSHRP on WVA data.	Work is underway to combine and reconcile police crime data with TfL incident data, so we have a more accurate dataset.	Transition to new reporting format for Q1 SSHRP report (September 2021)	Q2
au	Develop and track 2021/22 annual action plan for SSHRP endorsement.	Programme developed and submitted to SSHRP for endorsement on 30 June.	2021/22 WVA delivery plan to be approved at June's 2021 SSHR Panel.  Track and report progress to SSHRP on a quarterly basis	Q1  Ongoing

## Work-related Violence and Aggression (WVA) Strategy – 2021/22 Delivery Action Plan

Ref	Action	Update Q1	Next steps	Due
<b>Strategy Action 23: We will establish a director-level steering group to oversee the delivery of this strategy and provide strategic direction for the annual work programme and initiatives. We will continue to engage with our trade union colleagues.</b>				
av	Establish a pan TfL Director Level Steering Group for WVA.	Steering Group running since late 2019 co-chaired by Siwan Hayward (Director of Compliance, Policing, Operations and Security) and Nick Dent (Director of LU Customer Operations).	To review Terms of Reference for Steering Group to enable delivery of this WVA delivery plan.	Q2
aw	Ensure programme for ongoing discussions with our Trade Unions.	Senior WVA Lead now standing attendee at London Underground's TU Workplace Violence Working Group.	To schedule a programme to ensure Trade Unions across TfL are updated on, and can help shape, WVA activity.	Q3

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**Date: 30 June 2021**

**Item: Human Resources Quarterly Report**

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**This paper will be considered in public**

## **1 Purpose**

1.1 The Quarterly report is a standing item on the agenda for the meetings of the Safety, Sustainability and Human Resources Panel. It provides an update on key Human Resources (HR) led activities and performance for the period March - June 2021.

## **2 Recommendation**

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

### **Appendices:**

Appendix 1: HR Quarterly Report

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

None

Contact Officer: Tricia Wright, Chief People Officer  
Email: [TriciaWright@tfl.gov.uk](mailto:TriciaWright@tfl.gov.uk)

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# HR Quarterly Report March–June 2021

June 2021



# HR Quarterly Report March-June 2021

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## Introduction

This Human Resources (HR) Quarterly Report provides an update on the activity that has taken place to support our colleagues from March-June 2021, to make Transport for London (TfL) a great place to work, for everyone.

The first section provides a summary of our people performance as we enter 2021/22 including new TfL scorecard measures. The second section includes detail on our ongoing response to Covid-19, including interventions put in place to ensure the safety and wellbeing of our colleagues. This includes our response to the Government's Roadmap out of lockdown.

The final section updates on activity delivered across the HR function aligning to 3 of our top People Priorities:

1. A More Inclusive and Diverse Organisation
2. An Engaged, Motivated and Healthy Workforce
3. The Right People, Skills and Capacity to Deliver the Business Plan





# People Scorecard Measures 2021/22

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## Pan-TfL scorecard

In 2020/21, to help us respond to the challenges of the pandemic, our TfL scorecard was divided into H1 and H2 to represent the two halves of the performance year.

For 2021/22, we have returned to reporting annually against our performance. Our new annual scorecard measures were finalised ahead of the start of the new performance year in April.

For our People, this year's measures are focused on improving engagement, embedding an inclusive culture, striving for equality across the organisation and monitoring the health and wellbeing of all our people.

Our People targets for 2021/22 are:

- Maintain the 2020/21 total engagement level at 62 per cent
- Achieve a two percentage point increase in our people feeling involved, included and safe at work, up to 54 per cent
- Achieve a two percentage point increase in the overall wellbeing of our people, up to 59 per cent

Now that the scorecard is in place, we will work to ensure we achieve the targets set out. HR are both driving initiatives centrally and supporting the business with people activity to help us achieve these targets. More detail on these initiatives is set out in the remainder of this report.

Our first key indicator of progress against the People scorecard measures will be the results of our annual Viewpoint survey, due to run later this calendar year.

## Divisional scorecards update

Alongside the pan-TfL scorecard, there will also be divisional scorecards for London Underground, Surface Transport and Professional Services.

Now that the pan-TfL scorecard is in place, the measures for these divisional scorecards are being finalised and we will share the People elements of these at a later date.



# Supporting colleagues through Covid-19 recovery

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## Deaths in Service

We continue to do everything we can to support the families and loved ones of the 90 colleagues who have tragically passed away from Coronavirus. Our Employee Assistance Programme is available to all employees and their dependents and provides support, guidance and information on a range of topics, including bereavement. This includes access to support from a qualified counsellor, bereavement counselling services and access to Cruse, a dedicated bereavement support charity. Bereavement support is also extended to families of the deceased via our Sarah Hope Line.

## Response to the Government's Roadmap out of lockdown

As we approach step 4 of the Government's Roadmap out of lockdown, we can look forward to cautiously edging closer to normality. Since step 1 was introduced in March, we have seen changes to the way we live and socialise - from the opening of retail and hospitality, to easing restrictions on social contact with friends, family and loved ones. Throughout this time, we have kept the safety of colleagues and customers as a top priority and continued with our enhanced cleaning regime, social distancing, use of face coverings, ventilation and good personal hygiene; in addition to updated advice around Testing.

## Testing

In areas where there has been a rise in cases of new Coronavirus variants, we are encouraging colleague participation in surge testing and PCR tests to identify if colleagues are currently infectious to help keep everyone safe.

Colleagues outside surge testing areas are also strongly encouraged to take rapid lateral flow tests twice a week to identify asymptomatic cases and reduce transmission and the risk of mutations developing to help us to protect one another.

We are also encouraging colleagues to take the vaccine when offered and advising that anyone who has concerns about the vaccine to discuss this with their GP.

## Working environment



We are continually grateful for the dedication and commitment of all colleagues over the last year. Everyone has done a fantastic job of keeping the network moving, adapting to new technologies and reacting to government guidelines. The network remains safe to use and we have reminded all colleagues of the measures they should take to protect themselves whilst at work.

For our office-based colleagues, we continue to advise in line with government advice, that anyone who can work from home continues to do so. Local

arrangements are in place for those who need to work from the office either full or part-time for wellbeing reasons.

We will continue to review and update our approach in line with government advice.

### Future ways of working

The pandemic has changed where and how a substantial number of us work. Our colleagues have both embraced and built on the benefits of smart working practices that we'd started to put into place before the pandemic and over the past few months, a dedicated New Ways of Working team have gathered a range of feedback to develop guiding principles that will shape a model for where and how our office-based colleagues will work in the long-term future.

### Travel Allowance scheme

Last year we introduced a temporary Travel Allowance Scheme for colleagues who needed to travel to a workplace one or two days a week using National Rail services. This temporary measure helped those travelling avoid the need to purchase an annual season ticket. We are continuing this support and have extended the temporary Travel Allowance scheme to 31 August 2021. We are currently reviewing the use of the new National Rail Flexi Season Tickets offering announced by the Government in May.

## Supporting Health and Wellbeing

We are continuing to do everything we can to support the physical and mental health and wellbeing of all our colleagues. A dedicated Health and Wellbeing intranet site provides easy access to a host of resources, information, training and signposts to health and wellbeing support; as well as providing information on focused events – from diabetes awareness to meditation sessions – these are completely free and accessible to all.

10 May marked the start of Mental Health Awareness Week, with 'Nature' being the theme for this year. Our Wellbeing team explored the ways in which nature has become more crucial for mental health during lockdowns over the last year and how to ensure everyone is able to share in the natural world and experience the mental health benefits. Initiatives throughout the week and beyond included mental health talks, encouragement to try a mindfulness walk in a green space and the launch of a new Kaido challenge.

Following the success of last year's challenge, the Kaido challenge sees colleagues across the business working together in teams to earn 'Kaido Points' based on the improvements made to physical, mental and social wellbeing. Participation is optional and available to all. We look forward to sharing colleagues' feedback following the challenge at the next panel meeting.



# A More Inclusive and Diverse Organisation

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## Global Accessibility Awareness Day

20 May 2021 marked Global Accessibility Awareness Day which focusses on providing digital access and inclusion to people with disabilities and impairments across the world. Throughout the month of May, the Digital Workplace Team promoted Accessibility and Digital Inclusion to all TfL colleagues through a series of accessibility focussed virtual training sessions, being delivered by specialist trainers from Microsoft and Apple. The sessions covered a range of topics from Accessibility features in Microsoft 365, to making Apple iOS devices easier to use without sound or a screen. In addition, the team supported TfL's Steps into Work programme by delivering tailored Microsoft training and provided TfL achievement



Global Accessibility Awareness Day

certificates.

The Digital Workplace Team also launched a Microsoft Teams-based Accessibility Bot; a new tool that provides users with instant chat-based guidance for hearing, mental health, mobility, neurodiversity and vision related questions that Microsoft 365 tools and Windows 10 can support. This is part of their mission for TfL to become a more

digitally inclusive organisation and to 'leave no one behind'.

## Anonymised recruitment

We continue to aspire to build a more diverse organisation and for our workforce to be representative of the city we serve. Ensuring our recruitment processes support the attraction and selection of the most diverse qualified applicants possible is key to demonstrating that a career with TfL is open to everyone. We have made significant improvements over recent years to remove any potential bias from the recruitment process with a focus on essential skills, knowledge and experience, and the introduction of diverse interview panels.

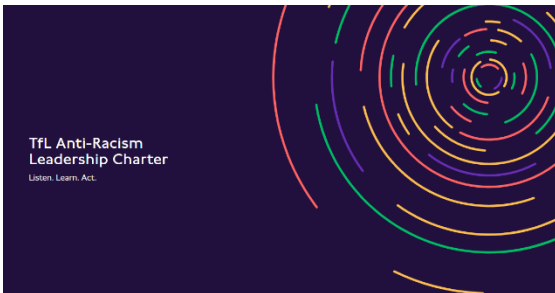
Earlier this year, we introduced the roll out of new, bespoke anonymous recruitment software and following recent endorsement from the Executive Committee, this has now been mandated across all band 1-4 and operational equivalent vacancies. The process works by ensuring that personal information that is considered not directly pertinent to an individual's ability to perform a role is removed from CVs and/or covering letters before an application is short or long listed. A decision has been taken not to use the software for early years recruitment as we assess potential and motivation as opposed to current capability, where a CV may more traditionally be used.

Following a trial in senior manager recruitment, we have decided not to use the software for this type of recruitment. This is due to the differing nature of how we recruit for these roles and the small pool of candidates that we recruit from. Senior level recruitment typically utilises an executive search and we use that process to source a diverse pool of candidates, requiring the presentation of personally identifiable information. We have confidence that this approach is working to increase the number of females within the senior leadership

population; and have a number of interventions in place to address the challenges presented by a lack of Black, Asian and minority ethnic representation.

## Fighting racism in all its forms

In February, as part of our commitment to fighting racism in all its forms, we launched our anti-racism leadership charter, which has been endorsed and signed by the Executive Committee. The charter has been shared across a range of internal channels to help promote it across the organisation. The Diversity & Inclusion (D&I) team are currently engaging with our senior managers to sign the charter as well as working on local and TfL-wide action plans to implement and embed the charter into our everyday ways of working. Our aim is to ensure that the commitments set out in the charter are viewed on the same level of importance as our other priorities, such as safety.



A key commitment of the charter is for leaders to take time to listen, acknowledge, understand and empathise with our colleagues' experiences of racism. Due to their success over the past year, our TfL-wide diversity and inclusion listening sessions are ongoing. These listening engagement sessions provide a safe space for our Black, Asian and minority ethnic colleagues to share their experiences of how their race has impacted their lives.

### D&I Dashboards

As part of our ongoing commitment to recruiting, retaining, promoting and including a workforce that represents the diversity of

the city we serve at all levels, we have now made our interactive D&I dashboards available for everyone to use.

The dashboards are a key tool for understanding a business areas recruitment trends, progression and experiences of inclusion. It is particularly useful in highlighting where inequalities exist across the whole employee lifecycle, and what priority areas of change to focus on. The dashboards are multi-purpose and can be used as a conversation starter or a tool for monitoring the success of the local D&I actions.

Throughout May, lunch and learn sessions were run on Microsoft Teams to provide colleagues with a better understanding of how to use dashboards and how to read the data as well as identify areas of concerns.

The D&I team are also working on a number of initiatives to ensure we deliver on our commitments made in the charter and embed these across the business:

- **Race Our Time** development programme for Black, Asian and minority ethnic colleagues, to mitigate against any lack of progression for staff
- **Identifying pan-TfL D&I priorities** using data from the Listening Sessions and local D&I Action Plans from across the organisation
- The introduction of **anonymised recruitment software** and working with our Learning and Development teams to **embed D&I into the onboarding process for leaders and managers**
- **Reviewing our policies** to ensure that the policies and processes that we have in place support all the measures

that are necessary for the charter to succeed

There is still some way to go and we look forward to providing an update to a future panel as we progress towards becoming truly inclusive and diverse at every level.

## An Engaged, Motivated and Healthy Workforce

### Covid-19 Special Recognition Awards Scheme

The Covid-19 recognition scheme, launched in 2020, recognises those who have made exceptional contributions and had a significant impact on London's response to the Coronavirus pandemic. Those nominated for the existing 'Make a Difference' award also had the opportunity to be nominated for the special award, with the final decision made by diverse business panels that represented TfL's workforce. Since the launch of the scheme, there have been c410 individual nominations and c70 team nominations, with 147 individual awards and 47 team awards agreed by the panels. Following positive feedback, the closing date for nominations was extended to 31 May 2021.

*"Today I received a COVID-19 Special Recognition Award in recognition of my impact to our wonderful city during the pandemic. I would like thank my 4LM colleagues who nominated me and TfL for being such a fantastic company to work for - I couldn't be prouder!"*

We have also fully integrated this special recognition scheme with a thank you campaign to all TfL colleagues, which has used various media both internally and externally to celebrate the contribution of TfL colleagues to London.

Special edition *Thank You* magazines, including one for our Corporate teams have been published. These include thank you messages from the TfL leadership team as well as showcasing different contributions to TfL and the surrounding communities throughout the pandemic.

### Defining our Vision and Values

In order to revive London post-pandemic and encourage people to choose public transport, cycling, and walking, every colleague needs to focus on what they can do to make it easier for London to move, work, and grow.

To achieve this, we are shaping our Vision and Values to help set out our future direction and define who we are as an organisation. They are being created together with our colleagues through extensive and wide-reaching consultation, and will be based on what our colleagues tell us so they represent who we are and what our colleagues think our ambitions should be.

We have started by addressing what our colleagues say they want and need:

- make it easier to move people and information around TfL
- make it easier to get work done
- make it easier for colleagues to grow in their jobs

Together, these three areas encompass most of the challenges that colleagues feel are holding us all back. Our new **Vision** will set out our ambitions and what we want to achieve. Our **Values** will define what we stand for and what matters to us. These influence how we work together, as well as the support we all need to achieve these ambitions.



# The Right People, Skills and Capacity to Deliver the Business Plan

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## Stay Learning

In March 2021, our online learning and development platform *Stay Learning* saw a refresh and was re-launched as the central hub for learning and development, enabling colleagues to take ownership of their own personal development.

In this first phase, two new sections have been launched:

- A dedicated Leadership and Management knowledge centre
- Your development journey - a dedicated personal development knowledge centre

Through Stay Learning, we aim to promote all learning options; from online eLearning courses, research and reading, to trainer led learning. Over time, new dedicated sections for specific subject areas will be available to help colleagues from all areas of the business find materials applicable to their role.

***“The Stay Learning project is a great initiative to enable all our learning to be brought together under one site which will allow our people across TfL much simpler access to both formal and informal development”***

Mark Batcheldor, Learning & Development Delivery Lead

Stay Learning is accessible to all colleagues from all devices such as iPads, mobile phones and laptops. The aim is to have no barriers to anyone’s personal development. All areas of the site are accessible to anyone, for example, all

colleagues can access the Leadership and Management knowledge centre.

## Welcoming new Graduates and Apprentices

On 19 April we were delighted to welcome a further 87 Graduates and Apprentices to Engineering, London Underground, Major Projects and Rail for London Infrastructure. They join the 56 Graduates and Apprentices who started in January, originally delayed from September 2020 due to Covid-19 disruption.

All assessment centres for 60 Graduate and 48 higher level Apprenticeship positions and five internships are now complete. This campaign introduced virtual assessment centres for graduates for the first time, building on the success in the 2020/21 Apprentice campaigns which saw more apprenticeships schemes move away from competence-based assessment to scenario-based assessments to increase fairness.

Outreach activity to support the recruitment of Level 3 Apprentices, due to start with us in January 2022, and higher-level apprentices due to start in September 2022 has included the National Careers Guidance Show, 3 University events and 10 target school events. We have created a virtual Enterprise Advisor Community for our volunteers who work with Careers Advice leads in target schools and colleges creating a means of cascading opportunities and feedback on what schools need.

## Supporting a sustainable recovery

In March 2021, the Executive Committee endorsed plans to adapt current Employability and Schools Outreach activity and introduce new activities to support those facing barriers into employment exacerbated by Covid-19. We are designing and procuring a provider for a new 12-week intervention and implementing a new strategic partnership

framework. This work is being delivered in collaboration with teams across HR, Procurement and Supply Chain, Commercial Development and the London Transport Museum.

In May 2021, 16 Steps in to Work students started their third and final placement across the business in a virtual format and we are thrilled that two of the students have successfully secured roles starting in May 2021. Students and placement managers look forward to their end of year graduation event in July 2021 that will celebrate their learning and provide guidance for the ongoing support into employment for the following 12 months.

### Stuart Ross Internship

As part of our work to increase diversity, we have continued with our Stuart Ross Communications Internship and are recruiting a further 5 interns in 2021. The 11-month internship was set up in 2006 to address the lack of diversity in the public relations industry. Due to its success, in 2020, new internships were created in public affairs, marketing and communications to increase diversity in industries where there is also a lack of representation.

Since the scheme was set up, 39 people have taken part and have gone on to great careers in the industry. It's still one of the only schemes of its kind in the country.

### Investing in our people

#### A New, Integrated Approach to Talent

In April 2021, we began the implementation of a new, integrated approach to talent management in TfL. We are investing in the latest technology to increase the transparency of skills in the organisation, support internal mobility and provide self-help tools for career planning and better management information that is user-friendly and efficient.

We are underway with introducing a number of key changes to our existing talent model:

- **Conversations Matters model** to increase the frequency and quality of performance conversations, with three conversational ingredients 'Open, Brave and Connected' to promote a fair and consistent approach where colleagues feel comfortable to speak about performance and development.
- A more **inclusive model for talent management** that uses 360 feedback to better enable colleagues to achieve their potential by understanding their strengths, areas for development and plan their next steps for their career and learning journeys.
- Informed by our diversity, readiness and succession planning data, newly introduced **Talent Forums** are being held by local business areas to make considered and strategic decisions to develop strong, motivated and diverse teams to address their current and future skills needs.
- The **Stay Learning** hub - a central hub for learning and development

### SuccessFactors

**SAP SuccessFactors** 

We recognise that technology is critical to achieving the cultural shift needed to embed this new approach. As part of TfL's Enterprise Resource Planning Transformation Strategy, we have procured SAP SuccessFactors, a market leading Human Experience Management product suite. The new technology will support us to drive the culture change that we need to enable



continuous conversations by making it simple to capture feedback and record key events such as objectives-setting, something we are not currently able to do and will help us improve our approach to talent management by transforming the employee experience.

By systemising Performance & Development and Talent, we can improve the manager and employee experience and measure the frequency and effectiveness of those conversations. Supplied with better data, we will have more readily available insightful reports into the performance, development, and succession of our people. SuccessFactors will be app-enabled and accessible via a desktop.

## Workforce Planning

With demand for our services fluctuating over the last year, we have had to reimagine our resourcing in some areas of the business to ensure that we have the right people in the right places at the right time and have strived to be as agile as possible.

Our TfL wide resourcing group have been working to ensure all resourcing policies, procedures and systems support any new ways of working that are created in Covid-19 recovery. The team have designed a process to identify roles which were not fully utilised due to lockdown to initially address our short-term challenges whilst adhering to our current policies and contractual obligations. This population will be a priority for resourcing decisions behind those in redeployment.

A key example of this is within Dial-a-Ride, where alternative opportunities within London Underground have been made available for colleagues whose work had paused or significantly reduced as a result of the pandemic.



## Secondment opportunities

As part of our commitment to supporting our people's development through the internal mobility of talent, we have been further promoting secondment opportunities across the GLA family. Being part of the GLA family means there are more opportunities for collaboration and sharing knowledge and experiences.

The GLA collaboration programme was set up in 2019 to explore opportunities to drive collaboration and improve how we deliver vital services to London. It's governed by the GLA Collaboration Board, which has senior officer representation from all member organisations.

## People and Cultural Change

In April, we stood up the new People and Cultural Change function in HR, bringing together all Business Partnering, Employee Relations and Change activity under one directorate. The team will be focusing on supporting the business change agenda, supporting the delivery of the Financial Sustainability Plan outputs & business objectives, implementing the new ER strategy as well as embedding the HR projects and programmes across the business to achieve our aim of making TfL a great place to work, for everyone.

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**Date:** 30 June 2021

**Item:** TfL New Ways of Working programme

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## **This paper will be considered in public**

### **1 Summary**

- 1.1 To share an update on the New Ways of Working (NWOW) programme, including our approach and what it means for our people. This is to provide assurance to the Panel that our planning and roadmap to the future hybrid working model for TfL is based on substantial insights, informed by extensive stakeholder engagement and feedback, and takes into account the safety, inclusion and wellbeing of our people.

### **2 Recommendation**

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

### **3 Background and Context**

- 3.1 In February 2021, the TfL Executive Committee endorsed our proposal to move to a hybrid model, i.e. splitting time between working in TfL offices and working remotely. In April 2021 the TfL Executive Committee agreed to our incremental approach to transitioning to the future hybrid ways of working. It was also agreed that our transition to hybrid working will begin once government guidance on social distancing and work-from-home changes, which will now be on or after 19 July 2021.
- 3.2 Our vision for the hybrid model builds on the experience of smart working that was developed pre-coronavirus pandemic, adding in experience of people working from home whose roles have allowed it since March 2020.
- 3.3 Key reasons for moving to hybrid working:
- (a) Financial imperative of achieving the estates savings in the business plan from rationalising the head office estate;
  - (b) Evidence from our findings (including survey, focus groups, directors' interviews) suggest there's a strong appetite to retain high levels of remote working; and
  - (c) Many organisations have started working towards a hybrid model, and we might become a less attractive employer if we didn't adopt new ways of working.

## 4 Our Approach to the Transition Phase

- 4.1 Subject to the revised government guidelines on working from home (currently expected on 19 July 2021), we are keen to welcome people back into the office. This will be the beginning of our transition phase towards hybrid working. In advance of this, we're expecting managers to work with their teams to discuss and explore how hybrid working could best suit them and their work.
- 4.2 **If social distancing remains in place**, people will be able to access the buildings, but the building capacities will be limited to a maximum of 25 per cent and occupants must not exceed 25 per cent of their pre-coronavirus pandemic desk allocation. We'll manage expectations around a gradual return.
- 4.3 **If social distancing is removed**, buildings will be fully available and operating up to full capacity, but people will only have access on average to 50 per cent of their pre-coronavirus pandemic desk allocation. This is part of: the move to hybrid working agreed by the TfL Executive Committee, extending the neighbourhood working approach adopted pre-coronavirus pandemic under smart working, and to accommodate our colleagues who have moved out of head office buildings that are no longer required i.e. Victoria Station House and 172 Buckingham Palace Road.
- 4.4 Our extensive engagement tells us that in the future, people do not see value in using our offices to do 'desk-based' focused work. We see the primary purpose of our offices as enabling four Cs – Cohesion, Collaboration, Culture and Confidence. We want to give people opportunities to use our offices for these reasons, although we recognise that some of these experiences may be unavoidably limited in the initial transition phase when returning to the office will be voluntary (see 5.2 below).
- 4.5 Subject to government guidance in July 2021 allowing us to begin the transition phase, we anticipate our transition phase lasting until approximately March 2022. We'll gather insights and conduct a first review after the first three months, to inform the further phases of the programme.

## 5 Supporting Our People

- 5.1 We have conducted a Risk Assessment (RA) and an Equality Impact Assessment (EqIA) which continue to inform our programme deliverables to support people to adopt the new ways of working. The RA and EqIA are evolving documents and will also inform how we subsequently develop a detailed proposal and business case for the future hybrid working model for TfL, for implementation from approximately April 2022 onwards.
- 5.2 We will not be mandating people's return to the office during the initial part of the transition phase. Our expectation is that after the initial three months office-based colleagues will no longer work from home full-time on a permanent basis but will split their time between our offices and working remotely, i.e. the future hybrid working model. Significant data suggests that

time in the office benefits everyone by creating opportunities for collaboration, team building, training and development, and some roles may be performed more effectively when people work in an office. After the first review point, approximately three months from the beginning of transition phase, it will be necessary for people to return to the office at least some of the time to experience more of the four Cs purpose of the office – Cohesion, Collaboration, Culture and maintaining Confidence.

- 5.3 We are working to a clear communications and engagement plan and have been regularly engaging with the TfL Executive Committee, team leaders, line managers, trade unions and our people. We've developed hybrid working principles and guidance to support people gradually transitioning to the future hybrid working. We'll continue to communicate and engage with our people using a dedicated NWOW SharePoint site, Yammer, as well as supporting managers with a briefing pack to have regular conversations with their teams.
- 5.4 We have considered the concessionary travel offering for our people and the following apply from 1 July 2021:
- (a) Our existing 75 per cent Annual Rail Reimbursement Scheme, which has been in place since 2004, remained in place throughout the pandemic, and will continue as we embrace new ways of working.
  - (b) A further extension of the Travel Allowance Scheme, which effectively provides 75 per cent reimbursement on travel for 1 or 2 days a week. The extension would be until the end of August 2021.

## **6 Legal Implications**

- 6.1 All employees are contractually required to attend TfL premises for work. Our position is that this obligation remains in place but has been temporarily overridden by the Government's guidance to work from home wherever possible. In order to reinforce our position that the contractual place of work is TfL premises, it is advisable to encourage employees to return to the office immediately after the Government's guidance on working from home is lifted. On that basis, it is in TfL's best interests for the transition phase to start on 20 July 2021 (assuming the current work-from-home instruction is lifted on 19 July 2021).
- 6.2 The reason we are not exercising our contractual right to mandate a return on 20 July 2021 is that we consider it appropriate to wait until the Government's vaccination programme has offered the majority of the adult population both vaccinations. We understand that the Government expects to reach this point by the end of September 2021. Shortly afterwards, our three-month trial period will end and the next phase of transition will start, when everyone will be expected to come into the office on a hybrid basis.

## **7 Financial Implications**

- 7.1 We are currently reviewing our scope of work that might have financial implications. This will be submitted for approval ahead of 2021/22 financial year end.

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

Appendix 1 – New Ways of Working Presentation

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

New Ways of Working update submitted to the Safety, Sustainability and Human Resources Panel in February 2021.

Contact Officer: Ben Plowden, Director, Covid-19 Restart and Recovery Programme

Email: [PlowdeBe@tfl.gov.uk](mailto:PlowdeBe@tfl.gov.uk)

# TfL New Ways of Working      Appendix I




## The future of office and remote working

30 June 2021

Page 201



# I. NWOW case for change and the vision for future

<b>Why move to Hybrid ways of working?</b>	 <b>To meet estates savings targets in our Business Plan</b>	 <b>Our people’s feedback and recent experiences</b>	 <b>Industry trends</b>
	<ul style="list-style-type: none"> <li>• Our new financial deal</li> <li>• Rethink the purpose of the office</li> </ul>	<ul style="list-style-type: none"> <li>• Strong appetite to retain high levels of remote working among colleagues</li> <li>• NWOW survey results - c75% office-based colleagues want to continue to work remotely 3+ days per week</li> </ul>	<ul style="list-style-type: none"> <li>• Many organisations have started working towards a Hybrid model</li> <li>• We might become a less attractive employer if don’t transition to Hybrid ways of working</li> </ul>

## Our Vision for Hybrid Working


1. Office-based people who can undertake their role remotely could work in a **Hybrid model**, splitting their time **between TfL offices and working remotely\***
2. The model will **not be ‘one-size-fits-all’**. Building on existing smart working practices, we will balance **business needs, role requirements** and take into account **individual circumstances** where possible
3. Regardless of working location, all of our people will feel **equally involved, engaged and included** in the work we do to keeping London moving, both day to day and in terms of personal and career development

\*Remotely could include working from home, TfL Local Office or another suitable location




## 2. The 3 Cs of Hybrid Working, and a 4<sup>th</sup> C for Transition Phase

Our extensive engagement tells us that in future people don't see value in using our offices to do 'desk-based' focus work. We see the primary purpose of our offices as enabling these four Cs:

 **Cohesion**


- Allowing teams and individuals to meet face to face, formally and informally
- Enabling our people to form and maintain strong relationships with their colleagues
- Enabling leaders to engage their people effectively

*Examples: informal catch ups, town hall events, performance reviews*

 **Collaboration**

- Enabling people to come together to do focussed collaborative work
- Enabling seamless collaboration across channels, eg participants split between office and remote setting
- Driving learning, innovation and creativity through collaboration


*Examples: workshops, innovation sessions, training*

 **Culture**

- Making people feel part of TfL, especially our new joiners
- Nurturing our TfL culture through impromptu meetings and chance encounters
- Contributing to and representing the city we serve

*Examples: new joiner inductions, team events*

During the Transition Phase we also want to build people's confidence in returning to our offices, and enhance their wellbeing:

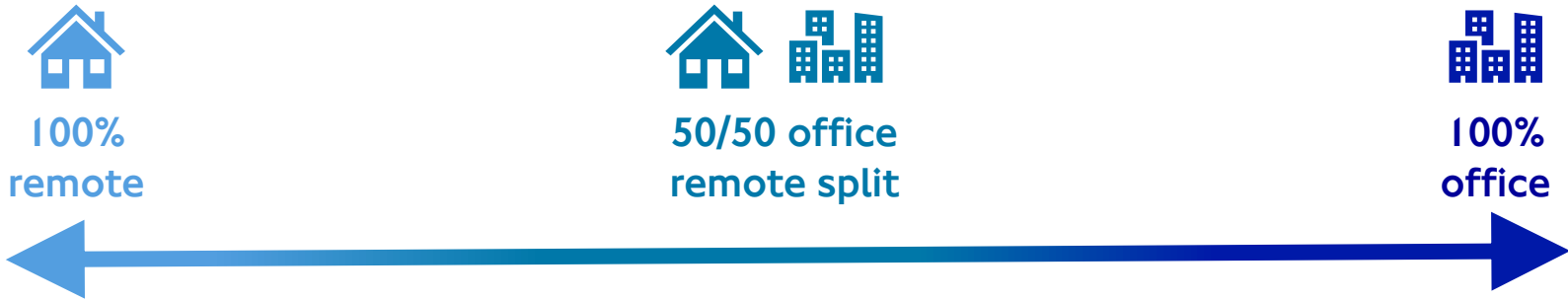
 **Confidence & Care**

- Give people confidence that returning to the office is safe, ensuring reasonable adjustments are in place
- Ensure we support people's wellbeing and help reduce homeworking fatigue
- Ensure people have a positive experience of returning to our offices

This document reflects ongoing work and discussions within TfL on options for the future of TfL/LU. It is not intended to reflect or represent any formal TfL/LU views or policy. Its subject matter may relate to issues which would be subject to consultation. Its contents are confidential and should not be disclosed to any unauthorised persons

# 3 a. External insight

Through our extensive external engagement a clear trend emerged of organisations planning to move to a hybrid model, with the most popular model being 2-3 days remote working per week



*This document reflects ongoing work and discussions within TfL on options for the future of TfL/LU. It is not intended to reflect or represent any formal TfL/LU views or policy. Its subject matter may relate to issues which would be subject to consultation. Its contents are confidential and should not be disclosed to any unauthorised persons*

# 3 b. NWOW Survey highlights

- The NWOW survey results from April this year are consistent with initial findings from autumn last year
- It's also aligned with what our leaders had told us, which informed our proposal for a hybrid model

- The survey launched late April 2021 for three weeks
- We invited feedback from all our office-based colleagues, of which **3,154 people responded**
- The survey **will be repeated** at certain milestones throughout the programme to continue to shape enablers for our hybrid working
- The survey results by directorate are [available on the NWOW Platform page](#)

### Responses by directorate group

Directorate group	Volume	Percentage (%)
Professional services	1905	61%
LU	721	23%
Surface	454	15%
Unknown*	21	<1%

### Key findings from the survey

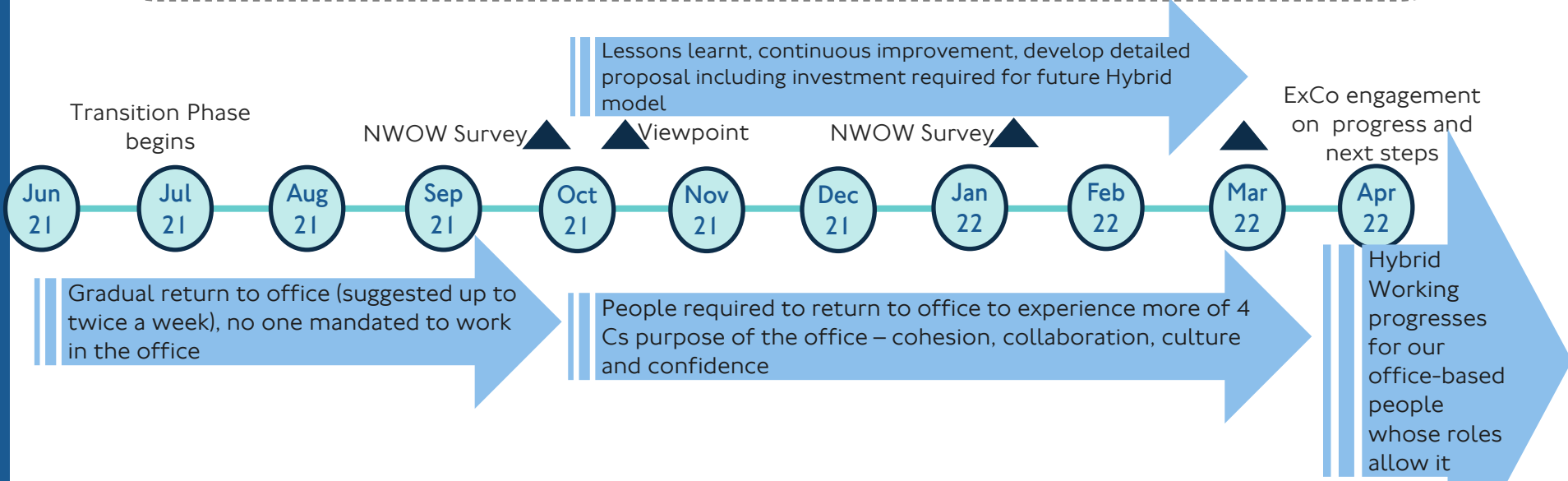
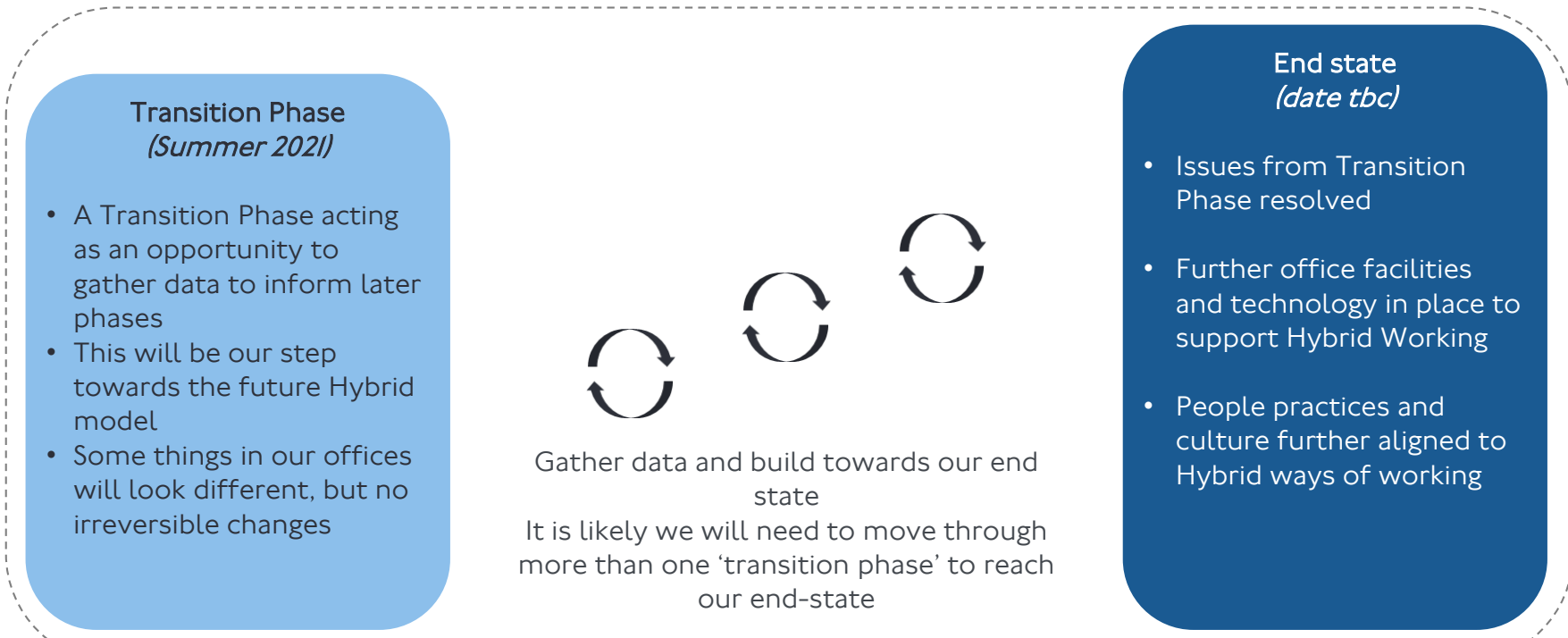
- Only 29%** currently feel positive about returning to work in the office, with **24%** feeling neutral
- Team cohesion and collaboration were the 2 most rated options as the purpose of the office
- 94%** are working in a home environment without much difficulty
- Around **76%** want to work from home three or more days a week in future
- 81%** find working from home easy or very easy, **14 %** were neutral and **5%** find it difficult or very difficult

### What our leaders have told us previously (summary results from interviews conducted by Estates in July 2020)

- As an organisation we should become more **outcomes focused**
- Need to **invest in technology**
- Need to **ensure wellbeing** of our people
- Purpose of the office has changed, need less desks, **more collaboration space**
- Physically coming together is vital** for creativity, innovation, team building

# 4. Hybrid Working key milestones and roadmap

- As we expect government guidance on WFH to be updated from 19 July onwards, we're now preparing for beginning our transition to Hybrid Working from late July 2021
- Our transition phase approach will be gradual and informed by insights gathered, allowing us to learn lessons and continuously evolve – we may experience challenges along the way as we trial and adjust as we go
- We anticipate our transition phase lasting until approximately March 2022



**Date: 30 June 2021**

**Item: Responsible Procurement**

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### **This paper will be considered in public**

## **1 Summary**

- 1.1 We are required to publish a new Modern Slavery Statement (the Statement) under the Modern Slavery Act 2015 for the Financial Year 2020/21, outlining what steps we have taken to investigate and mitigate the risks of modern slavery in our business or supply chains. The Statement is required to be approved by the Board before publication; that approval will be sought at the meeting of the Board on 28 July 2021. The draft statement is included as Appendix 1.
- 1.2 TfL was the first public body to become a member of the Ethical Trading Initiative (ETI), an independent body which monitors member Non-Governmental Organisations and companies' supply chains in accordance with an ethical code and is a founding member of Electronics Watch an independent monitoring organisation that assists public sector buyers to meet their responsibility to protect the human rights of electronics workers in their global supply chains. The 2020/21 Statement is our sixth statement, presenting our annual progress and plans for continuous improvement, demonstrating leadership in this area.

## **2 Recommendation**

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

## **3 Modern Slavery Statement**

- 3.1 The Independent Anti-Slavery Commissioner estimates there are at least 13,000 modern slaves in the UK, and global estimates suggest more than 40 million people worldwide. TfL is committed to identifying risks of modern slavery and forced labour in its supply chains and working with its suppliers to proactively address these risks.
- 3.2 We published our most recent Modern Slavery statement for the Financial Year 2019/20 on TfL's website in September 2020. We are required to produce a new statement for 2020/21, which needs to be published by 30 September 2021, following Board approval. A list of the companies within the TfL Group that the statement will apply to is included in the statement. The 2019/20 statement will be removed from our webpage and archived internally.

## **4 2020/21 Activity**

### **Procurement and Contract Management**

- 4.1 In 2020/21 we continued to manage our high-risk contracts (uniforms, electronics and facilities management) and included supplier selection and contract conditions in new categories, notably the Surface Technology Contract Retender (STCR) and High Voltage Power.
- 4.2 The STCR contract includes the supply of several essential assets to Surface Transport, notably CCTV, Traffic Signals, Variable Message Signs, Overhead Vehicle Detection, etc plus the provision of capital works and maintenance activities across London for the above asset categories. Modern slavery risks were identified in the supply of these assets and in the labour provision in London. We developed a bespoke approach to mitigate these risks, considering feedback from early market engagement in early summer.
- 4.3 Within supplier selection, bidders will be required to set out their approach to identifying the modern slavery risk in their workforce, and their supply chains workforces and as a minimum, include: management practices and governance structure; risk assessment and due diligence procedures, including the use of auditing; communication with suppliers and supply chain; policies / contract requirements and supply chain training. The successful bidder(s) will be required to provide an Ethical Sourcing Plan to be agreed by the Contractor and TfL Responsible Procurement Manager and will be updated on an annual basis for the duration of the contract.
- 4.4 The same approach was included in London Underground's contract to upgrade the High Voltage Power Networks and associated Low Voltage Works, as part of the Piccadilly Line Upgrade and other substation works.
- 4.5 TfL continues to implement the nine principles of the ETI Base Code as the minimum level of performance for suppliers and their supply chain in sectors with a recognised risk of poor working conditions and labour standards. This year, bidders for the supply of wheels and axles and the framework for bespoke components (rolling stock, Track and signals) were required to outline how both their organisation and their supply chains complied with the ETI base code as part of supplier selection.
- 4.6 Our frameworks for our ticketing payment solution (Oyster Cards) and Information and Communications Technology hardware included Electronics Watch contract conditions. This year, our reseller of ICT Hardware disclosed the factory locations of some of their products, which we will continue to monitor in 2021/22 to increase our supply chain transparency. Disclosure allows Electronics Watch to identify root cause issues, inform TfL and work collaboratively with the supply chain to address the issues.

- 4.7 Due to the drop in customer demand for Oyster cards, we are yet to procure new cards from the framework and therefore have not requested the suppliers to disclose their factory locations. Given the recognised risk in the manufacture of the microchips in each card, in January 2021, with support from Electronics Watch, we held initial discussions with NXP (chip manufacturer) on their due diligence processes and approach to eradicating forced labour risks in their complex supply chains.
- 4.8 Through inclusion of direct employment requirements embedded in our cleaning contract, TfL has taken a proactive approach to manage the risks of worker exploitation in the UK cleaning sector. In March 2021, 95.2 per cent (an increase from 80 per cent in 2019) of the approximately 2,500 cleaning staff were directly employed by the supplier. All contracted and sub-contracted workers on this contract receive the current London Living Wage rate or above.
- 4.9 Due to the recognised risk of modern slavery in the supply of Personal Protective Equipment, our main supplier shared evidence of the due diligence processes of their two key suppliers. This included manufacturing factories to be audited at least every two years (Sedex Members Ethical Trade Audit (SMETA) or SA8000 Social Accountability audits) and compliance to our main suppliers' Ethical Standard Code of Conduct, as well as other due diligence initiatives. We will continue to work with our main supplier to improve transparency of these supply chains, as the issues are complex and systemic and will take time and collaboration to fully address.
- 4.10 This contract replicated the approach to ethical sourcing included in TfL's Uniform Contract where, following contract mobilisation, each factory is required to undergo an annual, independent, third party social audit against the nine principles of the ETI Base Code. Contract mobilisation was delayed due to the coronavirus pandemic, however a plan will be place by October 2021, to initiative the contract conditions which include a time-bound corrective action plan for each factory to address any areas of non-compliance identified in the annual audit. Audit results are viewed, and corrective action plans tracked online through the Suppliers Ethical Data Exchange (Sedex) system.
- 4.11 This year, with support from modern slavery experts at Action Sustainability, we developed assurance tools to support our commercial processes to identify and prevent modern slavery risks in our supply chain. A workshop with representation from all of our Procurement and Supply Chain teams took place in November 2020, enabling Commercial Managers to input into the following documents: Modern Slavery Assurance Handbook – a detailed guide to assurance in construction in relation to modern slavery and exploitation; Procurement Guidance – an easy to use guide setting out the key procurement requirements at the planning, selection and management stages and a Risk Assessment Matrix of medium to high risk categories.

## **Supplier and Industry Engagement**

- 4.12 In the spring of 2021, we met with 10 of our key suppliers to commence dialogue on understanding their approaches to mitigating and managing the risk of modern slavery in their organisations and their supply chains, to share our approach and to identify areas for improvement. We intend to continue this engagement with our key suppliers to improve their provision of modern slavery assurance activities on to us.
- 4.13 The Central Responsible Procurement Team (CRPT) continue to utilise its networks to collaborate and share knowledge on socially responsible procurement and, from April 2021, it has been participating in the Organisation for Economic Co-operation and Development Pilot on Due Diligence in the Public Procurement of Garment & Textiles and the ICLEI (Local Governments for Sustainability)-led International Working Group on Ethics in Public Procurement for IT, with public authorities from a global and European reach respectively. The CRPT are also members of the International Working Group on ethical Public Procurement. Key learnings will be incorporated into future relevant procurements across TfL and the GLA group.
- 4.14 A CRPT member shared TfL's approach to corporate transparency, as part of an international panel at the Electronics Watch Occupational Health and Safety Summit in December 2020. The CRPT represent TfL on the Supply Chain Sustainability School's (SCSS) Labour Group: Modern Slavery group which includes key infrastructure and construction organisations in the UK.

## **Capital Delivery and Projects**

- 4.15 Due to the need for high volumes of low-skilled labour with relatively short delivery deadlines using tiered supply chains, the UK construction sector is identified as a high-risk by the Gangmasters Labour Abuse Authority (GLAA). To ensure our staff working on our construction and project sites are aware of the signs of modern slavery and know what to do if they do see suspicious behaviour, we ran four modern slavery awareness raising sessions in March 2021. A total of 170 staff across the Renewals and Enhancements, Major Projects, London Rail, Programme and Projects Directorate, Commercial Development and our Safety, Health and Environment teams benefited from the interactive sessions, facilitated through the Supply Chain Sustainability School. Two of the sessions were held at 22:00 to capture night shift staff. A "Toolbox Talk" has been developed, to be rolled out to other groups unable to make the sessions, with further engagement planned later in 2021.

## **5 2021/22 Activity**

- 5.1 In the coming year we will build on the strong foundations of our approach, as detailed below:



- (a) **Raise Awareness:** Continue to raise awareness of modern slavery to TfL staff in the Safety, Health and Environment (SHE) Directorate; Commercial Development and the Capital Delivery and Projects community, through TfL's membership of the SCSS. Develop a module for all TfL staff and include in Induction for our new employees.
- (b) **Increase capability:** We will further upskill commercial and procurement staff, as well as contract managers on how to tackle modern slavery in supply chains through the Home Office e-learning package and on supply chain transparency through bespoke learning sessions with Electronics Watch.
- (c) **Peer Learning:** Establish a pan-GLA Group practitioner learning group to share best practice and collaborate across the GLA Group in relation to modern slavery due diligence and to continue to learn and share with the transport industry through TfL's representation on the Rail Safety and Standards Board Modern Slavery Group.
- (d) **Risk Assessment:** Undertake a risk assessment of our key suppliers using the Cabinet Office Risk Assessment Template to identify medium and high-risk suppliers.
- (e) **Site Set Up:** Develop a standard project site set up based on best practice, such as the 'SCSS Site Set Up Guidance' to include requirements for awareness raising, identifying and managing risks of exploitation on site.
- (f) **Supply Chain Assurance:** Improve performance of TfL key suppliers, and those assessed to be medium and to high risk, in eradicating the risks of modern slavery in their organisations and their supply chains:
  - (i) all TfL key suppliers to be risk assessed using the Cabinet Office Risk Assessment Template, by Nov 2021;
  - (ii) all TfL key suppliers, and those assessed to be medium to high risk, to complete the UK Government's Modern Slavery Assessment Tool (MSAT) by the end of 2021 and develop an improvement plan based on MSAT recommendations by April 2022; and
  - (iii) all TfL key suppliers, and those assessed to be medium to high risk, to achieve an MSAT score of a minimum 70 per cent by January 2024.
- (g) **Minerals Supply Chains:** Utilise our partnership with Electronics Watch to improve supply chain transparency of the mining and manufacturing of minerals used in the provision of batteries for electric vehicles with respect to both the socio-economic and environmental impacts.
- (h) **State-sponsored forced labour:** Continue to collaborate with partner organisations such as the ETI and Electronics Watch to progress due diligence issues, such as the treatment of Uyghur Muslims in China, in our supply chains.

- (i) **London Transport Museum:** Following assessment of their top 20 retail suppliers approaches to modern slavery through the MSAT, the LTM Retail Team will work with the low scoring suppliers to act on the tailored good practice recommendations to improve their anti-slavery activity in 2021/22.
- (j) **Crossrail:** In final complex stages of the delivery of the Elizabeth line, Crossrail will:
  - (i) seek reaffirmation from its contractors of payment of the London Living Wage for the current financial year.
  - (ii) seek confirmation from its contractors that they each have:
    - whistleblowing policies about which that they carry out awareness training. They will be asked to summarise any cases where an incident of modern slavery (potential or real) has been raised through the whistleblowing process, how the case was managed and the outcome; and
    - incorporated CRL's requirements into any lower tier contracts for Crossrail works awarded during the year;
  - (iii) continue to carry out surveillance of remaining construction activities to identify any activities where there is a risk of slavery and audit contractor's compliance where appropriate; and
  - (iv) encourage relevant remaining contractors to participate in TfL's partnership with Electronics Watch to support improvements to working conditions and prevent exploitation and abuse in the global electronics industry

## 6 GLA Group Responsible Procurement Policy

- 6.1 The refreshed and updated GLA Group Responsible Procurement (RP) Policy was approved by the Mayor and published in March 2021. The refreshed Policy includes five themes:
  - (a) improving supply chain diversity;
  - (b) embedding fair and inclusive employment practices;
  - (c) enabling skills, training and employment opportunities;
  - (d) promoting ethical sourcing practices; and
  - (e) improving environmental sustainability.
- 6.2 This high-level strategic policy sets out the GLA Group's plans, ambitions and commitments for ensuring continuous improvement in London. In July 2021 it is expected the team will publish the Responsible Procurement Implementation Plan for the Mayoral term 2021-24. The plan sets out the actions TfL, along with the wider GLA Group, will prioritise to deliver on the commitments of the GLA Group RP Policy.
- 6.3 Our key Responsible Procurement achievements in 2020/21 were:

- (a) the GLA Group RP Policy was reviewed and republished; first GLA Group RP Progress Report 2019/20 published; five TfL RP case studies developed to showcase RP achievements;
- (b) we delivered a set of virtual events during National Apprenticeship Week in February 2021, featuring 12 supplier sessions and 290 people interested in working for TfL and its supply chain;
- (c) 524 new apprenticeship starts in our supply chain, of which 51.2 per cent are from a BAME background and 27.8 per cent are women;
- (d) 72.3 per cent of TfL's 65 key suppliers who have issued a Modern Slavery Statement scored 3/5 or above from Transparency in the Supply Chain analysis;
- (e) 13 TfL suppliers are accredited to the Mayor's Good Work Standard, the London benchmark for good employment practice, which encourages employers to adopt best practice in areas such as fair pay and conditions, diversity and inclusion, skills and progression and workplace wellbeing;
- (f) TfL paid 90.8 per cent of the invoices from small and medium-sized enterprises within 10 working days. TfL has 1,388 direct SME suppliers.
- (g) 27 Purchasing and Commercial (P&SC) staff attended the half day RP Virtual Training and 115 completed the RP eLearning module. 17 P&SC staff attended a three-hour workshop as part of the development of the Modern Slavery Assurance Handbook. 170 Capital Delivery staff in construction and SHE roles have received modern Slavery introductory training.

**List of appendices:**

Appendix 1: Draft Modern Slavery Statement 2020/21

Appendix 2: GLA Group RP Progress Report 2019/20

Appendix 3: GLA Group RP case studies 2021.

**List of Background Papers:**

None

Contact Officer: Jonathan Patrick, Chief Procurement Officer

Email: JonathanPatrick@tfl.gov.uk

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# Transport for London

## Slavery and Human Trafficking Statement 2020/21

Appendix 1

### Period covered by this statement

Transport for London's (TfL) financial year end occurs on 31 March. This statement covers the financial year 1 April 2020 – 31 March 2021.

### Organisations covered by this statement

This statement covers Transport for London, its subsidiary company Transport Trading Limited and the following subsidiary companies of Transport Trading Limited<sup>1</sup>:

Crossrail Limited  
Crossrail 2 Limited  
Docklands Light Railway Limited  
London Buses Limited  
London Bus Services Limited  
London River Services Limited  
London Transport Museum Limited  
London Transport Museum (Trading) Limited  
London Underground Limited  
LUL Nominee BCV Limited  
LUL Nominee SSL Limited  
Rail for London (Infrastructure) Limited  
Rail for London Limited  
Tramtrack Croydon Limited  
TTL Blackhorse Road Properties Limited  
TTL Earl's Court Properties Limited  
TTL Kidbrooke Properties Limited  
TTL Landmark Court Properties Limited  
TTL Northwood Properties Limited  
TTL Properties Limited  
TTL Southwark Properties Limited  
TTL South Kensington Properties Limited  
Tube Lines Limited  
Victoria Coach Station Limited

More information on TfL and its subsidiaries can be found on our website:  
<https://content.tfl.gov.uk/tfl-subsiidiary-organisation-june-2020.pdf>

### Introduction

This Statement is designed to satisfy the requirements of Section 54 of the [Modern Slavery Act 2015](#), by informing our customers, suppliers, staff and the public about TfL's policy with respect to modern slavery, human trafficking, forced and bonded labour and labour rights violations in its supply chains and the steps taken to identify,

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<sup>1</sup>.

prevent and mitigate the risks. This is TfL's sixth annual statement to be published under the Act and relates to the period 1 April 2020 through to 31 March 2021.

## 1 Our organisation and supply chain

TfL is the integrated transport authority responsible for delivering Mayor of London, Sadiq Khan's, strategy and commitments on transport. We run the day-to-day operation of the Capital's public transport network and manage London's main roads. In a normal year of operations more than 31 million journeys are made across our network each day. In 2020-21, daily ridership decreased to 3.5 million daily journeys, but the supply chain required to deliver services remained in place. We do all we can to keep the city moving, working and growing and to make life in our city better.

Managing TfL's supply chain is the direct responsibility of the Chief Procurement Officer reporting to the Chief Finance Officer, who in turn reports to the Commissioner of TfL. During 2020/21, TfL spent in excess of £6.7bn on goods, services and works required to deliver and upgrade services across London Underground, Surface Transport, Professional Services and Technology and Data. Our Purchasing and Supply Chain function has circa 617 staff.

Our 62 key suppliers represent around £3.9bn of our spend. These suppliers offer a wide range of strategically important goods and services to TfL. Over 95 per cent of our key suppliers are registered in the UK but many of their operations and supply chains are global. Some of our suppliers have complex supply chains with multiple tiers of sub-contracting and, in some cases, such as construction or electronic equipment, we have little visibility over where products are made. Therefore, we are using a risk-based approach, receiving expert advice from the [Ethical Trading Initiative](#) (ETI) and [Electronics Watch](#) where relevant, prioritising steps to achieve greater supply chain visibility where our risks are highest, recognising that workers in the lowest tiers of supply chains are often the most vulnerable.

## 2 Policies in relation to modern slavery

In March 2021, the Mayor published the refreshed [Greater London Authority \(GLA\) Group Responsible Procurement Policy](#).

This document is a high-level strategic policy setting out the GLA Group's plans, ambitions and commitments for ensuring continuous improvement in London, delivered through all the Group's procurement activities, which support the delivery of the Mayor's commitments and strategies. It reflects best practice and demonstrates our procurement activities meeting legislative requirements, including the Modern Slavery Act 2015.

The GLA Group Policy commits us to promote ethical sourcing and addresses risks of modern slavery by:

- adopting the nine provisions of the ETI Base Code<sup>2</sup>, or equivalent, as the standard we expect of our suppliers to support working conditions that are legal, fair and safe;

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<sup>2</sup> <https://www.ethicaltrade.org/eti-base-code>

- adopting a risk and opportunity-based approach to identify contracts and areas of spend where there may be a high risk of poor working conditions, modern slavery, forced labour, human rights abuses, sourcing from conflict-affected areas or negative impacts on security and crime; and
- seeking to improve transparency within the supply chain by working with suppliers and in partnership with the ETI and Electronics Watch to improve any poor performance identified as part of a process of continuous improvement, reflecting existing and emerging legislation and guidance.

To support the business in implementing the Policy, TfL hosts the GLA Group’s Central Responsible Procurement Team (CRPT) within its Procurement and Supply Chain (P&SC) function. In July 2021 it is expected the team will publish the Responsible Procurement Implementation Plan for the Mayoral term 2021-24. The plan sets out the actions TfL, along with the wider GLA Group, will prioritise to deliver on the commitments of the GLA Group Responsible Procurement (RP) Policy, including how we plan to promote ethical sourcing practices and address risks of modern slavery.

### 3 Risk assessment and management

The highest risks of people falling victim to modern slavery in our UK-based supply chain include construction workers and those undertaking service contracts in sectors such as cleaning, catering, security and waste management, where low pay, migrant labour and/or indirect labour are prevalent.

The highest risks of poor working conditions and human rights abuses from our global supply chain are associated with the production and manufacture of electronic equipment, textiles and materials used in our construction and infrastructure projects. The mining and extraction of conflict and rare earth minerals such as copper, lithium, nickel and cadmium, used in the production of batteries for electric vehicles is an increasing risk as TfL supports the transition to a net zero fleet. We will work with partners, such as Electronics Watch to address these risks as outlined in Section 7. TfL recognises the corresponding source countries and associated sector risks in its supply chains for these categories to be as follows:

Category	Country	Identified Sector Risks
Construction	United Kingdom	Multi-tiered supply chains involving use of labour agencies which could result in poor labour practices due to lack of transparency. Unethical practices including workers being charged unlawful or excessive recruitment fees, workers being misinformed about terms of employment, and the withholding of passports may take place.
Facilities Management: cleaning and catering services	United Kingdom	Low skilled labour; migrant labour; agency labour leading to lack of transparency on employment practices.

Electronic equipment	China, East Asia, Eastern Europe,	Labour intensive, often low-skilled work; mining of raw materials in high risk countries. Poor labour practices including underpayment of wages, delayed payment or wage deductions; physical abuse; working excessive overtime; worker's visa or permit is tied to a single employer, and financial penalties for early contract termination
Uniforms and workwear	Bangladesh, China	Risks include gender inequality; weak protection of workers' rights; poor labour practices including excessive overtime, underpayment or deduction of wages, financial penalties for leaving employer and structural integrity of factories.
Steel and steel components	China, Europe, Japan, India, US.	Country of production where labour rights might not be well protected; low-skilled labour, and dirty, dangerous, or difficult work in mines and smelting plants leading to poor labour conditions.
Stone	Brazil, China, Europe, India, US.	Country of production - US State Department of Labour highlights multiple countries where child and forced labour exists in quarries; child labour and unsafe working conditions
Batteries	Cobalt – Democratic Republic of Congo (DRC); Lithium - Australia, Chile, China; Nickel – Canada, Indonesia, Philippines and Copper – Chile.	Sourcing of cobalt presents greatest risk to human rights abuses. Political instability or conflict particularly in the DRC; weak protection of civil liberties and workers' rights; safe and healthy working conditions in mines can be poorly regulated and protected
Personal Protective Equipment (PPE)	China and Malaysia	Similar risks to those for uniforms and workwear, compounded by the rapid increase in global demand from coronavirus resulting in pressure on manufacturers to produce large quantities in short timeframes.

TfL mitigates and manages these risks through our due diligences processes. A summary of our activity this year is outlined below.

#### **4 Due diligence**

Through robust procurement and governance processes, including the use of a Responsible Procurement (RP) checklist for each tender in developing an approach to market, our P&SC staff can identify categories and contracts which are likely to present a high risk of human rights abuses and poor working conditions.



All relevant procurements include a question at supplier selection stage on compliance to Section 54 of the Modern Slavery Act 2015. TfL continues to include award criteria and contractual requirements in contracts where a significant risk of human rights abuses is identified.

This year, with support from Modern Slavery experts at Action Sustainability, we developed assurance tools to support our commercial processes to identify and prevent modern slavery risks in our supply chain. A workshop with representation from all of our P&SC teams took place in November enabling Commercial Managers to input into the following documents: *Modern Slavery Assurance Handbook* - a detailed guide to assurance in construction in relation to modern slavery and exploitation; *Procurement Guidance* – an easy to use guide setting out the key procurement requirements at the planning, selection and management stages and a *Risk Assessment Matrix* of medium to high risk categories.

The following section highlights this year's interventions at the procurement and contract management stages. We have reviewed our contract pipeline and undertaken work to include requirements in future contracts with the expectation that the range of categories and number of contracts will increase as our approach continues to mature.

### **Examples of How TfL Manages These Matters**

#### **Surface Technology Contract Retender (STCR) and High Voltage Power**

The STCR contract includes the supply of a number of essential assets to Surface Transport, notably CCTV, Traffic Signals, Variable Message Signs, Overhead Vehicle Detection, etc plus the provision of capital works and maintenance activities across London for the above asset categories. Modern slavery risks were identified in the supply of these assets and in the labour provision in London therefore, and considering feedback from early market engagement in early summer, we developed a bespoke approach to mitigate these risks.

Within supplier selection, bidders will be required to provide their approach to identifying the Modern Slavery risk in their workforce, and their supply chains workforces and as a minimum, include : Management practices and governance structure; Risk assessment and due diligence procedures, including the use of auditing; Communication with suppliers and supply chain; Policies / contract requirements and Supply chain training. The successful bidder(s) will be required to provide an Ethical Sourcing Plan to be agreed by the Contractor and TfL RP Manager and will be updated on an annual basis for the duration of the contract.

The same approach was included in London Underground's contract to upgrade it's High Voltage Power Networks and associated Low Voltage Works as part of the Piccadilly line Upgrade and other substation works.

TfL is a founding member of Electronics Watch - an independent monitoring organisation that assists public sector buyers to meet their responsibility to protect the human rights of electronics workers in their global supply. Electronics Watch contract conditions, where suppliers are required to disclose the factories where goods and key components are produced, were also included in the STCR. We will closely monitor these outcomes going forward to ensure our suppliers share their often-complex global supply chains with us.

The tender documents for the STCR and the HV Power contract are due to be published later in 2021.

### **LU parts and components**

TfL continues to implement the 9 principles of the ETI Base Code as the minimum level of performance for suppliers and their supply chain in sectors with a recognised risk of poor working conditions and labour standards. This year, bidders for the Supply of Wheels and Axels and the Framework for Bespoke Components (Rolling Stock, Track and Signals) were required to outline how both their organisation and their supply chains complied with the ETI base code as part of supplier selection. Further guidance was provided to those businesses, mostly SME's, to whom these requirements were new, to develop their capacity.

### **Contract Management**

#### **Electronic equipment:**

Our frameworks for our ticketing payment solution (Oyster Cards) and ICT Hardware included Electronics Watch contract conditions and this year our reseller of ICT Hardware disclosed the factory locations of some of their products and we will continue to work with our reseller to increase the transparency of their supply chain.

Due to the drop in customer demand for Oyster Cards we are yet to procure new cards from the framework and therefore have not requested the suppliers to disclose the factories where goods and key components are produced. Given the recognised risk in the manufacturing of the microchips in each card, in January this year with support from Electronics Watch we held initial discussions with NXP (chip manufacturer) on their due diligence processes and approach to eradicating forced labour risks in their complex supply chains.

#### **Facilities Management (Cleaning and Security Services):**

Through inclusion of direct employment requirements embedded in our cleaning contract TfL has taken a proactive approach to manage the risks of worker exploitation in the UK cleaning sector. In March 2021, 95.2 per cent (an increase from 80% in 2019) of the circa 2,500 cleaning staff were directly employed by the supplier. All contracted and sub-contracted workers on this contract receive the current London Living Wage rate or above.

#### **Uniforms:**

In August 2020, we reached out to the supplier of TfL Uniforms to support their ability to meet World Health Organisation's health and safety guidelines on key issues such as health and safety, personal protective equipment and social distancing. Our supplier completed the ETI's Enhanced Expectations Survey, for their factories in Bangladesh and China, and were not deemed to be a risk as a result.

#### **Workwear and Laundry:**

This contract replicated the approach to ethical sourcing included in TfL's Uniform Contract where, following contract mobilisation each factory is required to undergo an annual, independent, third party social audit against the nine principles of the ETI Base Code. Contract mobilisation was delayed due to the Covid-19 pandemic, however a plan will be place by October 2021, to initiative the contract conditions which include a time-bound corrective action plan for each factory to address any

areas of non-compliance identified in the annual audit. Audit results are viewed, and corrective action plans tracked online through the Suppliers Ethical Data Exchange (Sedex) system.

### **Personal Protective Equipment (PPE):**

Due to the recognised risk of modern slavery in the supply of PPE, our main supplier shared evidence of the due diligence processes of their two key suppliers, which included manufacturing factories to be audited at least every two years (Sedex Members Ethical Trade Audit (SMETA) or SA8000 Social Accountability audits) and compliance to their Ethical Standard Code of Conduct, as well as other due diligence initiatives. We will continue to work with our main supplier to improve transparency of these supply chains, as the issues are complex and systemic and will take time and collaboration to fully address.

### **Supplier Engagement**

In the spring of 2021, we met with 10 of our key suppliers to commence dialogue on understanding their approaches to mitigating and managing the risk of modern slavery in their organisations and their supply chains, to share our approach and to identify areas for improvement. We intend to continue this engagement with our key suppliers to improve their provision of Modern Slavery assurance activities on to us.

Through engaging with a key supplier of an application hosting platform for the London Underground on supply chain transparency through Electronics Watch, we were able to obtain the factory location of where the product is assembled and the factory location of the top three component parts. We identified that the assembly factory has unionised positions and thus very unlikely to have poor working conditions.

### **Industry Engagement**

CRPT continue to utilise its networks to collaborate and share knowledge on socially responsible procurement and from April 2021 will be participating in the Organisation for Economic Co-operation and Development (OECD) Pilot on Due Diligence in the Public Procurement of Garment & Textiles and the ICLEI (Local Governments for Sustainability)-led International Working Group on Ethics in Public Procurement for IT, with public authorities from a global and European reach respectively. The CRPT are also members of the International Working Group on ethical Public Procurement. Key learnings will be incorporated into future relevant procurements across TfL and the GLA group.

A CRPT member shared TfL's approach to corporate transparency as part of an international panel at the Electronics Watch Occupational Health and Safety Summit in December 2020. The CRPT represent TfL on the Supply Chain Sustainability School's (SCSS) Labour Group: Modern Slavery group which includes key infrastructure and construction organisations in the UK.

### **Crossrail**

Contractors on the Crossrail (CRL) project are required to pay their employees the London Living Wage (LLW) and to undertake audits of on-site employers' pay and employment arrangements. During the financial year 2020/21, CRL sought

reaffirmation from all forty-two contractors that they are paying their own employees the LLW and using reasonable endeavours to ensure that their supply chains also pay the LLW for time worked on the CRL Project. All the contractors responded to confirm compliance.

During the financial year, no construction activities were identified as giving rise to a risk of slavery in any periodic contract reviews undertaken of contractor performance or in cost verification exercises.

CRL plans to open the Elizabeth line as soon as practically possible in the first half of 2022. CRL has already transferred responsibility for eighteen elements of the railway to the future Infrastructure Managers and at the end of the year, the railway became operational.

## **London Transport Museum**

London Transport Museum (LTM) assessed their top 20 retail suppliers approaches to Modern Slavery by inviting them to complete the UK Governments Modern Slavery Assessment Tool (MSAT) this year. 17 completed the assessment, with a wide range of scores, evidencing a breadth of maturity in combatting Modern Slavery. The LTM Retail Team will work with the low scoring suppliers to act on the tailored good practice recommendations to improve their anti-slavery activity in 2021/22. A Modern Slavery requirement was also included within LTM's standard stock purchase orders.

## **5 Training and Awareness Raising**

This year we focussed on training and raising awareness in our P&SC department and our Capital Delivery and Projects teams, as there are the business areas identified from our risk assessment in section 3 of this statement.

### **Procurement and Supply Chain**

To ensure that modern slavery and ethical sourcing risks are considered in the early stages of procurement when developing business cases and category management strategies, RP training is available to the P&SC teams. This year, we ran two virtual half day sessions enabling 27 staff to refresh their knowledge and awareness of our approach. 125 staff completed our RP e-learning module, providing them with an introduction to the RP Programme. The e-learning module is available on our internal system enabling continual access to the information.

As part of the development of the Modern Slavery Assurance Handbook and associated documents, 17 staff representing all of our P&SC teams attended a 3-hour workshop in November 2020.

### **Capital Delivery and Projects**

Due to the need for high volumes of low-skilled labour with relatively short delivery deadlines using tiered supply chains, the UK construction sector is identified as a high-risk by the Gangmasters Labour Abuse Authority (GLAA). To ensure our staff working on our construction and project sites are aware of the signs of modern slavery and know what to do if they do see suspicious behaviour, we ran four Modern Slavery awareness raising sessions in March 2021. A total of 170 staff across Renewals and Enhancements, Major Projects, London Rail, Programme and

Projects Directorate, Commercial Development and our Safety, Health and Environment Teams benefited from the interactive sessions, facilitated through the Supply Chain Sustainability School. Two of the sessions were held at 22:00 to capture night shift staff. A Toolbox Talk has been developed, to be rolled out to other groups unable to make the sessions, with further engagement planned later in 2021. TfL intends to continue to use its membership of the ETI and Sedex to maintain awareness of best practice and current developments, benchmark with other organisations and externally verify our approach.

## 6 Reporting and key performance indicators (KPIs)

The Responsible Procurement Implementation Plan 2021-24 will include how the approach TfL, and the GLA Group, will promote ethical sourcing practices and address risks of modern slavery over the next three years, including metrics to monitor continuous improvement of internal capacity building and supply chain assurance. The plan is expected to be published in July 2021.

## 7 Goals for 2021/22:

Next year we plan to:

**Raise Awareness:** Continue to raise awareness of modern slavery to TfL staff in the Safety, Health and Environment (SHE) Directorate; Commercial Development and the Capital Delivery and Projects community, through TfL's membership of the Supply Chain Sustainability School. Develop a module for all TfL staff and include in Induction for our new employees.

**Increase capability:** We will further upskill commercial and procurement staff, as well as contract managers on how to tackle modern slavery in supply chains through the Home Office e-learning package and on supply chain transparency through bespoke learning sessions with Electronics Watch.

**Peer Learning:** Establish a pan-GLA Group practitioner learning group to share best practice and collaborate across the GLA Group in relation to modern slavery due diligence and to continue to learn and share with the transport industry through TfL's representation on the Rail Safety and Standards Board (RSSB) Modern Slavery Group

**Risk Assessment:** Undertake a risk assessment of our key suppliers using the Cabinet Office Risk Assessment Template to identify medium and high-risk suppliers.

**Site Set Up:** Develop a standard project site set up based on best practice, such as the 'SCSS Site Set Up Guidance' to include requirements for awareness raising, identifying and managing risks of exploitation on site.

**Supply Chain Assurance:** Improve performance of TfL key suppliers, and those assessed to be medium and to high risk, in eradicating the risks of Modern Slavery in their organisations and their supply chains.

- 1) All TfL key suppliers to be risk assessed using the Cabinet Office Risk Assessment Template, by Nov 2021.

- 2) All TfL key suppliers, and those assessed to be medium to high risk, to complete the UK Government's Modern Slavery Assessment Tool (MSAT) by the end of 2021 and develop an improvement plan based on MSAT recommendations by April 2022.
- 3) All TfL key suppliers, and those assessed to be medium to high risk, to achieve an MSAT score of a minimum 70% by Jan 2024.

**Minerals Supply Chains:** Support Electronics Watch in developing a new approach for public bodies to improve supply chain transparency of the mining and manufacturing of minerals used in the provision of batteries for electric vehicles.

**State-sponsored forced labour:** Continue to collaborate with partner organisations such as the ETI and Electronics Watch to progress due diligence issues, such as the treatment of Uyghur Muslims in China, in our supply chains.

**London Transport Museum:** Following assessment of their top 20 retail suppliers approaches to Modern Slavery through the MSAT, the LTM Retail Team will work with the low scoring suppliers to act on the tailored good practice recommendations to improve their anti-slavery activity in 2021/22.

**Crossrail:** In final complex stages of the delivery of the Elizabeth line, CRL will:

- Seek reaffirmation from its contractors of payment of the London Living Wage for the current financial year.
- Seek confirmation from its contractors that they each have:
  - Whistleblowing policies about which that they carry out awareness training. They will be asked to summarise any cases where an incident of modern slavery (potential or real) has been raised through the whistleblowing process, how the case was managed and the outcome.
  - Incorporated CRL's requirements into any lower tier contracts for Crossrail works awarded during the year.
- Continue to carry out surveillance of remaining construction activities to identify any activities where there is a risk of slavery and audit contractor's compliance where appropriate.
- Encourage relevant remaining contractors to participate in TfL's partnership with Electronics Watch to support improvements to working conditions and prevent exploitation and abuse in the global electronics industry

This Statement has been approved and published by the TfL Board and will continue to be reviewed at least once annually.

**[Name of Signatory]**

**[Date] 2021**

For TfL Board

# The GLA group Responsible Procurement Report

March 2021

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More London  
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**[www.london.gov.uk](http://www.london.gov.uk)**  
enquiries 020 7983 4100  
minicom 020 7983 4458  
Copies of this report are available  
from [www.london.gov.uk](http://www.london.gov.uk)



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# 1. Foreword from the Mayor

When I stood to be the Mayor of London, I said I wanted all Londoners to have the same opportunities that this city gave to me and my family. And I'm as passionate as ever about building an economy that works for everyone and leaves none of London's communities behind.

The GLA group's responsible procurement programme contributes to that goal by using our vast buying power to help create a fairer, greener and more equal city. We have the potential to achieve real and lasting change by demanding our partners become more environmentally friendly, while meeting the highest employment standards, whether it's by paying the London Living Wage or promoting greater diversity within their workforce.

This is the first progress report since I published my updated Responsible Procurement Policy in June 2017. It details the breadth of our commitment and shows just how far we've come in achieving our objectives.

Every year, hundreds more apprentices are joining our supply chain as a result of innovative work with partners and suppliers. Not only is this helping to address the chronic skills gap in our city's transport and infrastructure sectors, but it's also helping to create positive opportunities and bright new futures for young Londoners.

Due to the steps we've taken, more workers are now receiving fair pay and we're improving representation within our supply chains. We're also tackling the climate emergency by cutting our carbon emissions, transitioning our vehicle fleets to low-emission models, supporting cleaner air for all Londoners and pioneering new 'circular economy' approaches that ensure resources are used more efficiently and waste is cut, particularly single-use plastics.

But there's still much to do. I want us to be a leader in responsible procurement so we can deliver the best possible value for money for London's taxpayers and use our spending power to pursue the goals of London's Recovery from the economic and social impacts of COVID-19.

The health, social and economic impacts of COVID-19 have been devastating for Londoners and for our city as a whole, impacting lives and livelihoods. They have shown, more than ever, the urgent need for us to do business in a way that supports high-quality and well-paid jobs, helps small and diverse suppliers, encourages fair employment practices and skills development, and protects and enhances our environment.

London's Recovery is overseen by a Board jointly led by City Hall and London Councils that includes many institutional partners representing London's private, public and voluntary sectors, along with Trade Unions. The Board has identified a particularly important role for our city's anchor institutions such as the Greater London Authority, Transport for London, London Fire Brigade and the Metropolitan Police Service, to work together to meet our city's grand challenge: to restore confidence in the city, minimise the impacts on communities and build back better

the city's economy and society. Through the new London Anchor Institutions' Charter, we join other partners from the NHS, education, faith groups and business sectors in committing to using our procurement to bring a particular focus on maximising employment opportunities and helping young people to flourish.

As we emerge from this crisis and look beyond it, public expenditure that gives back to communities will have a key role to play in ensuring London's recovery is strong, sustainable and just.

At the same time as recognising the specific challenges facing small and medium sized-enterprises, I know that by working in partnership with our supply chain and with industry, together we can lead a swift and sustainable recovery from this crisis, building a better city for today's Londoners and for future generations.

A handwritten signature in blue ink, appearing to read 'Sadiq Khan', with a small number '2' written below the name.

Sadiq Khan  
Mayor of London

## 2. Introduction

The GLA group annually procures around £9.5 billion worth of products and services. The Mayor is committed to 'Leading by Example', using the scale and diversity of this public spending to improve the lives of Londoners, by creating a fairer and more environmentally sustainable economy.

Responsible procurement means pioneering socially, environmentally and economically sustainable procurement to achieve a better quality of life and greater value for money.

It involves developing partnerships to help more people into work and improve employment conditions. It also means opening up access to contract opportunities for diverse businesses and voluntary and community sector organisations, encouraging best practice among our suppliers and promoting greater environmental awareness.

Responsible procurement can deliver a range of benefits, including boosting local skills, driving innovation, improving the environment, delivering social value, getting good value for money, and managing risks.

These ambitions are delivered through the GLA group Responsible Procurement Policy and Implementation Plan. This report presents performance against that policy and implementation plan. It also reveals an increasing appetite to fully embed the values within our business, ensuring the systems, processes, measures and management are in place to achieve even greater success in the future.

In line with our aspiration to 'Lead by Example', we hope that as well as influencing our own supply chain, the results of our programmes will in future resonate beyond the GLA group to other public and private organisations, benefiting businesses and communities not just in London, but across the UK and beyond.

### 3. Summary of performance

Performance against the 12 KPIs of the GLA group Responsible Procurement Implementation Plan is presented below, along with targets where these are in place. This covers the period from April 2019 – March 2020 unless stated otherwise. Note that these are performance indicators rather than targets. Since this is the first Responsible Procurement Report, all statistics represent baseline data unless stated otherwise.

1. 189 staff attended responsible procurement classroom training; 641 completed our responsible procurement e-learning module
2. 3,402 suppliers are small or medium enterprises (SMEs); 29.8 per cent of all GLA Group suppliers
3. More than £340m spent with SMEs; 2.5 per cent of total direct spend
4. 85 per cent<sup>1</sup> of SME invoices paid within 10 days (target: 90 per cent)
5. 21 GLA group suppliers are working through accreditation to the Good Work Standard, launched in July 2019
6. The mean hourly gender pay gap for GLA Group key suppliers ranged from -23 to +45 per cent; the median hourly gender pay gap ranged from -32 to +52 per cent.
7. 4,694 supply chain workers received a pay uplift from the annual review of the real London Living Wage rate
8. 783 supply chain apprenticeship starts (target: 500). 1,027 jobs created through TfL's Supplier Skills programme (48% BAME; 33% Women and 45% previously workless)
9. 50 per cent of apprenticeship starts are from Black, Asian or minority ethnic (BAME) backgrounds, with 15 per cent women.

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<sup>1</sup> MPS data was not available for 2019/20 due to the transition to a new financial system. This issue has been resolved for 2020/21 performance reporting

10. 60 per cent of relevant suppliers have been assessed to have published a compliant Modern Slavery statement
11. 71 key suppliers (63 per cent) have an ISO 14001 Environmental Management System or equivalent
12. 11 per cent of GLA group fleet vehicles are zero emissions capable (ZEC) (target: 100 per cent by 2050). 53% of general-purpose cars are ZEC (target: 100% by 2025).

## 4. Overview of the Responsible Procurement programme

The GLA group Responsible Procurement Policy ensures that purchases of goods and services deliver the following objectives, in line with best practice and legal requirements:

- enhancing social value
- encouraging equality and diversity
- embedding fair employment practices
- enabling skills, training and employment opportunities
- promoting ethical sourcing practices
- improving environmental sustainability.

The Policy is delivered via the GLA group Responsible Procurement Implementation Plan (RPIP), which sets out measurable actions and targets to deliver the policy's objectives. It covers a two-year period from 2018-19 to 2019-20, as well as featuring indicative ambitions beyond 2020.

The GLA group Central Responsible Procurement Team (CRPT), hosted within TfL's Commercial function, supports the functional bodies in implementing the policy. The CRPT works across the whole group, offering strategic oversight, leading on cross-cutting programmes and training, and providing subject matter expertise. It also manages communications and engagement with industry.

The CRPT has led the adoption of the ISO 20400 Standard for Sustainable Procurement - an internationally recognised standard to manage and improve responsible procurement, which includes internal and independent audits of our processes. We achieved an overall assessment score of 3.74 out of 5, equating to 74.8%. This is one of the highest scores following 40 external assessments of other organisations (as at August 2019).

The Policy and Implementation Plan cover the entire GLA group, which comprises the following 'functional bodies':

- City Hall
- Transport for London (TfL)
- The Mayor's Office for Policing and Crime (MOPAC)
- The Metropolitan Police Service (MPS)
- London Fire Commissioner (LFC)
- The London Legacy Development Corporation (LLDC)
- The Old Oak and Park Royal Development Corporation (OPDC).

The functional bodies each have their own plans in place to deliver the RP Policy. Their commitments to fully resource these to ensure effective delivery are set out the annual GLA Group Budget, in line with the Mayor's Budget Guidance.

This report presents delivery against each of the ambitions of the RPIP from April 2019 to March 2020. Its six chapters reflect the RP Policy objectives.

## 5. Enhancing social value

‘Social value’ is about bringing benefits to the community through the way public money is spent. The GLA group aims to be a leader in this area and has a particular focus on ensuring workers are paid the London Living Wage, enhancing skills, and enhancing the environment.

### Ambitions

- All key commercial staff within the functional bodies will receive training in the application of responsible procurement and social value practice and principles.
- By the end of 2019-20, we will identify an appropriate methodology to measure social value outcomes.

### Progress

#### **Training**

GLA group staff received Responsible Procurement training: 641 completed a bespoke e-module, 142 attended a one-day workshop and 47 attended a 90-minute bite-size session workshop. 74 per cent of those who attended the one-day workshop would recommend the course to colleagues.

As a result, contract managers procuring goods and services are better equipped to specify requirements that deliver the RP Policy, whilst central commercial staff are better able to give support that delivers the same.

#### **London Themes, Outcomes and Measures (TOMs)**

The GLA is a member of Local Government Association’s National Social Value Taskforce, which has developed a national framework– Themes, Outcomes and Measures (‘TOMs’) – which measures the financial benefits to the community of achieving ‘social value’ through procurement, as well as a toolkit to guide delivery.

We have developed a London-specific equivalent, in order to measure the social value outcomes of our delivery of the RP Policy.

We are now trialing the London TOMs framework with a number of contracts selected from each functional body. This will provide an evidence base from which to assess how we deliver social value through our procurement processes in 2021-22 and beyond.



## 6. Encouraging equality, diversity and inclusion

The Mayor is committed to creating a fairer city where all people feel welcome and able to fulfil their potential. This is delivered through ‘Inclusive London’, the Mayor’s equality, diversity and inclusion (EDI) strategy – which states “The GLA group can spread these values through responsible procurement, working with the supply chain to ensure a commitment to equality, diversity and inclusion”.

The strategy also seeks to remove the barriers that inhibit SMEs and community sector organisations – particularly those led by women, Black, Asian, minority ethnic (BAME) people and other under-represented groups – from easily entering our supply chain. Our procurement processes must be transparent, straightforward and open to all.

### Ambitions

- Pay 90 per cent of SME invoices within ten working days and improve this over time.
- From 2018, engage with key stakeholders, including the Federation of Small Businesses, to identify and address barriers to small and diverse businesses participating in our supply chains.

### Progress

#### **Paying SMEs promptly**

85 per cent of SME invoices were paid within the target timeframe. Work will continue to achieve the 90 per cent target.

#### **Unblocking barriers to business**

SMEs are an important driving force in the London economy. Currently, the GLA group spends £340m with SMEs, which represents 2.75 per cent of annual spend. In the past year, working with the GLA’s London Business Hub, we have engaged with stakeholders including the Federation of Small Businesses, networks that support diverse organisations, and the London Economic Action Partnership, to identify and unblock barriers to small and diverse businesses participating in our supply chains.

Two focus groups brought together representatives from a cross-section of SMEs and supporting networks who bid for GLA group contracts; 43 per cent were minority-owned and 48 per cent were women-owned SMEs. The recommendations from the focus groups will be signed off by the GLA group and form the basis of the Small and Diverse Business action plan, and will include; networking events, procurement process improvements and key supplier engagement to support SMEs lower down the supply chain. Opportunities are also being explored with Newable, with their fully funded Inclusive Supply Chain programme, to support SMEs to navigate the procurement process and access contracts

## **MPS opportunities for SMEs**

CompeteFor, a free web-based brokerage portal, was created by the London Development Agency to increase awareness and access to opportunities for the London 2012 Olympics. Available to all UK businesses in both the public and private sectors, it is used today to buy everything from televisions to veterinary equipment.

The Metropolitan Police Service (MPS) has been using CompeteFor for 12 years. As a competitive service, not only do small or medium-sized enterprises (SMEs) have equal access to opportunities between £5,000 and £50,000, but procurers receive quotes quickly and efficiently.

In 2019/20, of the 139 contracts awarded by the MPS via CompeteFor, 64 of those businesses that chose to declare their status were SMEs. Of these, nine were owned by a person from a BAME background, and 11 were owned by a woman.

Moving forward, the MPS and its service provider will continue to use CompeteFor for procurement activities under £50,000. This work will contribute to ongoing efforts to encourage and support small and diverse businesses within the supply chain.

## **Opening doors at TfL for under-represented communities**

TfL has been working closely with suppliers as part of its talent strategy to encourage diversity in leadership positions. It has, for example, increased access to its mentors and coaches by setting up a successful cross-company mentoring programme for BAME employees at IT company Fujitsu.

There is also a clear business benefit – diverse executive teams are 33 per cent more likely to have industry-led profitability<sup>2</sup>. They are less likely to make decisions based on unconscious bias, are more innovative and more adaptable to change.

TfL works with charities, employability groups and the supply chain, to run programmes that address skills shortages in the transport and engineering sectors. It has focused on supporting women and BAME candidates, via the 'Women in Transportation and Engineering' (WiTE) and BAME into Transport and Engineering' (BiTE) programmes. During 2019-20, these programmes contributed to the creation of 638 apprenticeship starts, with 62 per cent of new recruits coming from a BAME background. A third of BiTE participants went on to gain permanent jobs.

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[https://www.mckinsey.com/~media/McKinsey/Business%20Functions/Organization/Our%20Insights/Delivering%20through%20diversity/Delivering-through-diversity\\_full-report.ashx](https://www.mckinsey.com/~media/McKinsey/Business%20Functions/Organization/Our%20Insights/Delivering%20through%20diversity/Delivering-through-diversity_full-report.ashx)

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“Through BiTE, I was introduced to endless career prospects which provided me with the opportunity to learn more about the railway and construction industry. I met many helpful and knowledgeable tutors who guided me and helped me develop all the necessary skills that are required for me to succeed in my career”

**Sheryl Opoku-Ware, BiTE participant and HR apprentice at Cleshar**

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Designing for diversity

One initiative has seen the LLDC team up with design and architecture contractors on the Park to develop work placements and internships that pay the London Living Wage.

Companies bidding for design contracts are asked to commit to the programme early in the procurement process. Work opportunities are targeted at students living in the local area and those from under-represented communities. They are an opportunity to gain valuable professional experience with industry-leading practices, increasing the chances of participants building rewarding careers.

So far, 44 young people studying for degrees in built environment professions, such as architecture, engineering and construction management, have secured placements. More than 80 per cent are from black, Asian or minority ethnic (BAME) communities and 43 per cent are women.

Supply chain partners that have offered opportunities include Allies & Morrison, PRP, Buro Happold and Lifschutz Davidson Sandiland.

## 7. Embedding fair employment practices

The Mayor's Good Work Standard is the London benchmark for good employment practice. With the London Living Wage at its heart, the Good Work Standard encourages employers to adopt best practice in areas such as fair pay and conditions, diversity and inclusion, skills and progression and workplace wellbeing. It also sets the bar for workforce dialogue and engagement and we expect our suppliers to recognise and respect the right to associate freely and to organise and bargain collectively. The Mayor is clear that workplaces are safer, more productive and better places because of our trade unions.

The GLA group Responsible Procurement policy reflects this determination to establish fair employment practice with the GLA's suppliers.

### Ambitions

- Ensure 100 per cent of relevant contracts require payment of the London Living Wage (LLW) to workers and ensure suitable mechanisms for ongoing pay uplift in line with the annual LLW review.
- Promote the Mayor's Good Work Standard and encourage suppliers to sign up.
- Encourage relevant suppliers to address their organisational gender pay gaps.

### Progress

#### **Paying the London Living Wage**

The London Living Wage (LLW) is a voluntary scheme which sets an hourly rate of pay based on the actual costs of living in London. It gives workers and their families enough to afford the essentials. The LLW is one route to a fairer and more inclusive economy.

The GLA group has supported the LLW since its inception and the functional bodies are among the 2000 London employers accredited to the Living Wage Foundation.

All functional bodies have applied the LLW to relevant contracts, primarily in facilities management where there is a prevalence of low-paid workers. As of March 2020, 4,694 employees in the GLA's supply chain were paid the London Living Wage and benefitted from the annual uplift to their salary to reflect increasing costs of living.

#### **The Good Work Standard**

The Mayor has written to all key suppliers to encourage them to sign up to his Good Work Standard since launching it in July 2019, and the first are working through the accreditation process. Across London, over 80 organisations are now accredited.

## **Tackling the gender pay gap**

We have recorded the gender pay gap in our key suppliers and are working with them to improve this. We are tackling gender under-representation in key sectors such as construction and transport, by including clauses in key contracts.

## **Ensuring fair employment**

Annual audits of all Park-based companies and contractors are helping the LLDC to check compliance with its fair employment standards.

The audits are designed to ensure quality job opportunities are provided, guarantee the Park is a place where the London Living Wage is paid, and get assurance that workers are not subject to exploitative practices, such as the inappropriate use of zero hours contracts.

In the latest audit, carried out in September 2019, more than 900 people working either directly or indirectly for 20 lead contractors were reviewed. Half of the employers were in operational venue management, including at the London Stadium and the London Aquatics Centre, and wider park management. The rest were working on major construction sites at the Park, Stratford Waterfront East Bank, Chobham Manor and East Wick and Sweetwater residential developments.

The LLDC's standard contracts require employers to abide by the Modern Slavery Act and, during the procurement process, bidders' Modern Slavery Statements are assessed. Its project management partner, Mace, is responsible for making sure contractors comply, and meet the requirements of a Certified Ethical Labour Scheme<sup>3</sup>.

Contractors are also encouraged to recruit directly where possible and carry out regular audits of third-party agencies to check for signs of human rights abuses.

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<sup>3</sup> A Certified Ethical Labour Scheme enables labour providers to demonstrate to existing and potential clients that they operate responsibly, professionally, legally and ethically in their sourcing and supply of workers

## 8. Enabling skills, training and employment opportunities

In 2019/20 the GLA became responsible for the Adult Education Budget for Greater London allowing the GLA to focus on meeting local area need and deliver local economic objectives. London government is calling for a new era of devolution and funding from government to establish a holistic skills and employment system with the aim of tackling poverty, exclusion and inequality, building a genuine lifelong learning culture, and delivering inclusive growth in the capital, for the benefit of the UK as a whole.

Skills, training and employment targets are built into relevant contracts, and we work with suppliers to create apprenticeships, placements and opportunities for training and study.

We support Londoners from all backgrounds, but particularly under-represented groups including women, BAME and LGBTQ+ communities, ex-offenders, former service personnel and people experiencing barriers to employment such as long-term worklessness, disability or mental health issues. We also ask our suppliers to engage with schools and colleges.

In this way, we are inspiring the next generation, whilst creating a pipeline of talent to safeguard our future infrastructure and services.

### Ambitions

- Create 500+ supply chain apprenticeship starts a year across the GLA group
- Work towards the aim of all new supply chain apprenticeship starts reflecting London's diversity.
- The MPS will incorporate requirements for skills, training and employment within the procurement of its major refurbishment programme.
- The LLDC will lead a construction and end-user employment group that brings together boroughs and park-based employers to match demand for skills with supply locally.

### Progress

#### **Apprenticeships**

There were 783 supply chain apprenticeship starts across the GLA group in 2019-20 50 per cent were from BAME communities and 15 per cent were women. During 2019-20, TfL ran two pre-employment programmes, with 38 people completing the programmes which led to 10 successfully gaining employment. LFC has also included apprenticeship requirements in all key contracts.

#### **MPS skills for refurbishment**

The MPS is committed to delivering social, economic and environmental outcomes through an extensive construction programme. Suppliers are required to meet

sustainable design and construction requirements, as well as report on social value outcomes where relevant.

The MPS minimum requirement is that one skills and employment output is created for every £2m of construction spend. Also, at least half of these outputs must be linked to apprenticeships.

A number of projects have been completed over the last three years. Training and employment opportunities were created through the contract for the refurbishment of Marlowe House in Sidcup, a site on the MPS estate. The project was completed in September 2019 and has delivered new roles, including four job starts, two apprenticeship starts and four placement positions in a variety of functions. The project has also created social value across London, including:

- An enterprise day for girls at St Marylebone School in London. This aimed to increase gender diversity in construction as women currently make up just 13 per cent of the sector workforce in the UK
- A careers event at HMP Pentonville that engaged 20 ex-offenders
- The project team worked with a local housing association where more than 40 people took part in mock interviews to boost their skills and prepare them for the future. The team also worked with children's charity Barnardo's on a Routes into Construction scheme event

### **LLDC employer collaboration in construction**

The Queen Elizabeth Olympic Park Training Association is an initiative to promote apprenticeships in the construction sector, particularly among under-represented groups. It was set up by the LLDC in partnership with several leading construction contractors and will run from 2019-22. This has encouraged suppliers to invest in training, helping young people gain skills fit for the future economy aligned with London 'Skills for Growth'<sup>4</sup>, whilst providing suppliers with the workforce they need. Thousands of people have been trained and recruited, and schools and colleges have been matched with employers to help shape students' career choices.

### **Future-proofing the construction industry**

TfL has set up three training hubs to help employers tackle skills shortages and develop a pipeline of diverse talent, supported by the UK government's £22m Construction Skills Fund. During 2019-20, they created at least 510 jobs and trained more than 550 people. Programmes have been delivered for young people and under-represented groups including ex-offenders and former military personnel who have been out of work for at least two years. 50 per cent of learners were BAME and 20 per cent are women.

TfL's annual Supplier Awards were held in November 2019, recognising their 4,200+ suppliers' contribution to London's environment, innovation, and other areas.

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<sup>4</sup> <https://www.skillsforgrowth.org.uk/>

Winners included Dragados (Award for Skills and Employment) and Cooneen Group (Special Recognition for Social Impact).

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“Every time I go home, and I’ve done a shift, I feel like I’ve achieved something. TfL is a big thing in London – every Londoner, at least, has used the train once. It feels like I’m having an impact.”

**Nura Akubar, Route into Work apprentice**

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**TfL's Supplier Skills Team (SST)**

Since 2009, TfL's SST has created more than 6,100 apprenticeships and 5,700 jobs for unemployed Londoners, including more than 100 ex-offenders.

The SST was set up to tackle industry skills shortages in partnership with contractors. It helps them to employ the right people to deliver TfL's projects and services, open up opportunities that address under-representation, identify training opportunities, and ultimately contribute to economic regeneration. It equips candidates with qualifications, experience and behaviours required for the workplace, whilst building links between suppliers, charities and employability partners.

The SST runs a series of pre-employment and work experience programmes to connect people with significant barriers to work with employment opportunities in TfL's supply chain.

It also holds an annual recruitment fair during National Apprenticeship Week. In February 2020, TfL hosted the largest event to date. Forty employers showcased opportunities to more than 700 people looking to take their first steps on the career ladder. In all, there were in excess of 500 jobs and apprenticeships on offer, as well as more than 1,500 training opportunities. Candidates registered more than 1,900 expressions of interest with TfL suppliers.

The SST has won awards including the Europe-wide Procura+ Awards, the UK Social Mobility Awards and the Lord Mayor's Dragon Awards and has been shortlisted for The Queen's Awards for Enterprise: Promoting Opportunity 2021. The programme is used as an exemplar for transport infrastructure skills development by the UK government.

## 9. Promoting ethical sourcing practices

Unlawful, unethical and exploitative working practices have no place within our society. The GLA group adopts a risk and opportunity-based approach to identify contracts where there may be a greater likelihood of poor working conditions or human rights abuses, such as the construction, cleaning and garment manufacturing sectors. We are committed to improving transparency in our supply chain, and work with suppliers to actively proactively address this issue.

### Ambitions

- All functional bodies to produce a register of key suppliers' compliance with the transparency provisions of the Modern Slavery Act 2015.
- Encourage relevant key suppliers to publish a Modern Slavery Statement
- The CRPT will investigate group-wide affiliation to Electronics Watch – a charity that audits labour rights among electronics manufacturers.
- The LLDC will develop and implement a procedure for use in construction contracts to aid due diligence and help suppliers identify and mitigate risks of human rights abuses, particularly modern slavery, human trafficking, and forced and bonded labour.

### Progress

#### **Guarding against modern slavery**

Modern slavery is the illegal exploitation of individuals for personal or commercial gain. To prevent illegal labour practices, organisations operating in the UK with an annual turnover of £36m are required to publish a Modern Slavery Statement in accordance with Section 54 of the Modern Slavery Act 2015.

All functional bodies have engaged with their relevant suppliers to encourage them to do so and have compiled a register of suppliers' compliance. As of March 2020, 60 per cent of suppliers that are required to do so have published a fully compliant statement setting out their policies and procedures, areas of risk and mitigation plans (though more had produced statements that did not comply with all requirements of the Act). Functional bodies are using contract management and supplier relationship management approaches to raise the issue of compliance.

TfL was one of the first public bodies in the UK to produce a Modern Slavery Statement and its fifth annual statement was published in September 2020. It was represented on the panel at the 2019 International Conference on Tackling Modern Slavery, Forced Labour and Human Trafficking in Public Sector Supply Chains, run by the Home Office, the Ethical Trading Initiative (ETI) and the Organisation for Security and Co-operation.

The GLA, MOPAC and LLDC have also issued Modern Slavery Statements while the LFC and MPS are planning to publish soon. In addition, the LLDC has set up an internal Modern Slavery Group to oversee the delivery of its action plan and

strengthen its procurement requirements. The MPS is also working with its construction contractors to tackle this issue.

### **Manufacturing electronic equipment**

Electronics Watch (EW) is an independent monitoring organisation that helps public sector buyers protect the human rights of electronics workers. The functional bodies are all affiliate members of Electronics Watch, and TfL is a founder member.

TfL has built EW clauses into significant Information Communication Technology procurements. This includes the contracts for replacing the narrow band radio system on the bus network (circa £20m p/a) and the frameworks for desktop hardware (circa £25m p/a) and the supply of Oyster cards (circa £7.5m p/a).

EW clauses will be closely monitored as part of our contract management process. Factory locations are to be identified and suppliers will provide audit data to monitor any high-risk areas within the supply chain that require further interventions.

The MPS intends to include EW clauses in a significant ICT services contract in 2020-21.

A recent report by the United Nations, 'Commodities at a Glance, Special issue on strategic battery raw materials'<sup>5</sup>, outlined the shocking social, environmental and ethical impact of making lithium-ion batteries for electric vehicles, including the use of child and forced labour. The battery industry has made progress in recent years to reduce the amount of cobalt used in some lithium-ion batteries, and new batteries are in development. TfL prohibits the use of child and forced labour by its suppliers through its Ethical Sourcing Policy. The Mayor is engaging with the Society of Motor Manufacturers and the UK Government to collaborate with the UK automotive industry ensuring that vehicle and battery manufacturers produce their batteries in a sustainable way.

### **Fair employment in LLDC construction**

The LLDC ensures park employees and contractors have fair working conditions by carrying out annual supplier audits and using the Certified Ethical Labour Scheme and Modern Slavery regulations when procuring their East Bank development.

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<sup>5</sup> [https://unctad.org/system/files/official-document/ditccom2019d5\\_en.pdf](https://unctad.org/system/files/official-document/ditccom2019d5_en.pdf)

**TfL case study: Responsibly procuring TfL uniforms**

TfL is committed to ensuring the people who make its uniforms are treated fairly and has received external recognition for these efforts. 80,000 items of ethically sourced TfL uniform are supplied annually

Factories undergo annual third-party audits against the Ethical Trading Initiative Base Code and produce improvement plans. Audit results can be viewed online, and plans tracked, through the Sedex system for supply chain transparency. Through this scheme, Bangladeshi garment workers have been given training and support on their labour rights, and one factory has partnered with a university to boost local skills.

TfL has liaised with the Fairtrade Foundation to make sure the cotton used in its uniforms is sourced from certified producers, meaning both farmers and workers get a fair deal. This was a first for the UK public sector.

# 10. Improving environmental sustainability

Improving London's environment is crucial to making the capital a greener, healthier, more pleasant place to live and work, as well as ensuring its resilience. The Mayor has committed to London becoming zero carbon by 2030, and the 2018 London Environment Strategy aim for London to have the best air quality of any major world city by 2050, whilst transitioning to a zero-waste 'circular economy'. Collaboration with our supply chain will play a key role in achieving this vision.

## Ambitions

### **Waste and circular economy**

- Engage suppliers to identify how they can contribute to London's environmental targets. This includes a range of initiatives aiming to contribute to a 95 per cent recycling rate in London's construction sector by the end of 2020, a 65 per cent municipal recycling rate by the end of 2030, and a minimum of 75 per cent of business waste recycled by the end of 2030.
- Identify contracts that utilise unnecessary single-use plastics, and work to eliminate this through contract management and procurement processes;
- The MPS and LFC will collaborate to establish circular economy pilots within the National Uniforms Managed Service (NUMS) contract.
- Identify a preferred whole life costing methodology for the GLA group to ensure we are considering disposal at contract award stage and achieving best value for money.

### **Carbon emissions and air quality**

- From 2018, LFC will work with its current fleet contractor to explore innovative procurement approaches that aim to develop and introduce a prototype low emission HGV operational vehicle.
- Implement Work Related Road Risk (WRRR) requirements and the forthcoming Direct Vision Standard (DVS) in all relevant contracts.

### **Built environment**

- Ensure that all GLA built environment projects funded by the Mayor undertake a design review with the London Review Panel, or equivalent design review process accredited by the London Quality Review Charter, at least once in their life cycle.

### **Events**

- Update the GLA Events Sustainability Policy to ensure public events backed by the Mayor continue to enhance the environment and support the community.

## Progress

### **Environmental management**

71 key suppliers (63 per cent) are managing their significant environmental impacts through ISO 14001 Environmental Management Systems or equivalent.

### **Waste and circular economy**

A circular economy means decoupling economic activity from the consumption of finite resources and designing waste out of products and business models<sup>6</sup>. In order to achieve this, we have built waste management objectives into key GLA group contracts and are exploring innovative business models in partnership with suppliers.

The 2017 London Circular Economy Routemap, published by the London Waste and Recycling Board (LWARB) in partnership with the Mayor, sets out the priority sectors to tackle. These include construction, textiles and plastics – which have all been addressed through the RP programme.

Using circular procurement strategies and new business models, the MPS is creating innovative solutions for reducing waste. To explore and apply these solutions within relevant contracts, there has been strong engagement and collaboration between the MPS contract management team, MPS Environment and Sustainability team and key stakeholders within the supply chain.

One supply chain initiative reduces waste by ensuring unwanted police uniforms are sorted for reuse. Since 2019, three tonnes of boots and legacy stock have been donated to charity, with items unsuitable for reuse sent for recycling. Those that cannot be recycled, such as end-of-life uniforms are diverted away from landfill. In addition, Kevlar, a heat-resistant, lightweight fibre found in protective vests worn by the police, can be repurposed for use in the car industry, for example in brake pads. Since the initiative began, 22 tonnes of Kevlar from protective vests have been repurposed.

The MPS aims to provide the thousands of end of life devices it replaces each year for reuse, recycle or trade in (where its security requirements allow) through the GLA endorsed schemes or its own suppliers.

Single-use clothes provided for detainees are now laundered and reused, as part of a collaboration with a local London charity. To date, more than 1,000 items of clothing have been reused, including jumpers, t-shirts and tracksuit bottoms, and further ways of widening the scope of the project continue to be explored.

The CRPT led a project to identify opportunities to apply circular procurement to relevant contracts and develop guidance for GLA Group commercial teams across construction, electrical and electronic equipment, infrastructure and operational equipment.

### **Built environment**

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<sup>6</sup> <https://www.ellenmacarthurfoundation.org/circular-economy/concept>

TfL has been awarded a Global Real Estate Sustainability Benchmark (GRESB) 5 Star rating, recognising that it is a leader– with an overall score of 93 out a maximum of 100. GRESB is one of the leading environmental, social and governance benchmarks for real estate and infrastructure investments across the world, examining their environmental, social and governance performance.

Core to TfL's rating is the Sustainable Development Framework, a bespoke approach to delivering best-in-class outcomes across three core sustainability objectives of supporting local prosperity, promoting vibrant and diverse communities, and creating healthy places for people and planet.

This ranking, outstanding for a first-time entrant, was the highest score of any developer in the UK in 2020 reflects TfL's commitment to sustainable development as its property development programme continues to build momentum, with both residential and commercial office proposals being taken forward.

### **Circular Economy for Uniforms.**

The MPS are adopting circular economy approaches in the National Uniforms Managed Service (NUMS) contract. A key initiative within the contract includes items such as boots that are sorted for reuse. Not only does this process reduce waste and costs but has wider societal benefits through supporting charitable donations and ensuring resources are kept in use for longer. Kevlar from MPS protective vests is being recycled and used in automotive friction products.

Through this supply chain initiative, since 2019:

- All end-of-life uniforms are diverted from landfill and are sent to an energy-from-waste plant, with suitable items sent for recycling;
- 3 tonnes of boots and legacy stock have been donated to charity; and
- In excess of 22 tonnes of Kevlar from protective vests have been recycled and used in the automotive industry.

Firefighters' protective clothing is kept in top condition, and in use for as long as possible, as part of a managed service arrangement between the LFB and its SME supplier. In addition to requirements around social value, diversity, fair employment, skills and training, the contract features a range of environmental specifications.

The service arrangement means all PPE remains the property of Bristol Uniforms, instead of being purchased by the LFB. This encourages repair and reuse as part of a circular economy approach, and helps to extend the garments' lifespan, while still complying with stringent product standards. There are also stipulations around the laundry process, care and maintenance, kit repair history and the management of legacy stock to reduce environmental impacts.

A previous two-year contract extension with the same suppliers resulted in a saving of at least £700,000 for the LFB. This was made possible not just by increasing the life of the kit, but by revisiting requirements based on updated firefighter numbers, ultimately reducing resource use and waste.

The LFB has also supported Bristol Uniforms to achieve ISO 14001 accreditation, helping to build skills and awareness in the supply chain and assure good environmental management.

### **Carbon emissions and air quality**

#### *Green energy*

From 1 April 2019, City Hall switched to 100 per cent green energy. A competitive tender exercise was run by LASER Energy, an independent energy procurement service provider, which selected renewable electricity supplied by Ecotricity and green gas by Corona.



TfL, London's single largest consumer of electricity, has set out plans to change the way its Tube network is supplied with electricity, making it more cost effective and tackling the climate emergency. Making a significant step closer to achieving the Mayor's ambition for TfL to be a zero-carbon railway by 2030, TfL plans to purchase power from renewable generators through Power Purchase Agreements (PPAs), enabling the rail network to be supplied by renewable energy sources including wind and solar power.

### *Cutting emissions from our fleet*

The Mayor has taken tough action to transform the quality of London's toxic air, in order to create a healthier, more socially just city. In addition to initiatives such as the Ultra-Low Emission Zone, and boosting infrastructure for electric vehicles, we have used GLA group procurement to cut carbon emissions, as well as toxic particulate and NOx emissions, from our vehicles.

53 per cent of the GLA group's fleet of 1,034 general purpose cars are already zero emissions (or where necessary, zero emissions capable<sup>7</sup>), 11 per cent of the GLA Group's fleet of 5,585 cars and vans are already zero emission or zero emission capable, and work is underway to ensure all new cars and vans are zero emission capable by 2025. The remaining 819 vehicles comprise of heavy goods vehicles and specialist vehicles that are more challenging to upgrade. The GLA Group have started to explore solutions for transitioning these vehicles to zero emission ones, and the Mayor aims to upgrade the total GLA Group fleet to zero emissions by 2050.

LFC is also working with its supply chain to develop an innovative prototype for a zero-emission capable fire engine. This forms part of the LFC Ultra Low Emission Fleet plan, whereby early testing of vehicles to understand how they will perform in a live operational environment for an emergency service is essential. Specifically, for the replacement of heavy operational vehicles this has involved comprehensive market scanning and engagement to identify relevant suppliers and technical developments in progress. This informed the procurement process, that is currently underway. The zero-emission capable fire engine prototype is expected to be the first of its type to be procured by a UK fire service.

The core TfL fleet of around 9,000 buses operating across London now meet or exceed Euro VI emission standards, the latest emission standard for vehicles reducing emissions of NOx by up to 95%. More than 400 all-electric buses have been introduced - including the UK's first full routes of electric double decker buses - and around 300 additional zero-emission buses are expected to join the fleet by the end of 2021, with plans for 2,000 all-electric buses to be in operation by 2025.

Decarbonising the transport network and cleaning up London's air will also support green jobs in the bus industry across the United Kingdom.

### *Improving the safety of London's roads*

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<sup>7</sup> A zero-emission capable car has a minimum 20-mile zero emission range and must produce less than 75g/km CO<sub>2</sub> (e.g. a range extended plug-in hybrid car). Zero emission capable vehicles are inclusive of zero emission vehicles.

Every year, more than 2,000 people are killed or seriously injured on London's streets<sup>8</sup>. Our commitment to improving the environment includes making it safer, in order to remove the barriers to walking and cycling. The Mayor has adopted the Vision Zero Action Plan, aiming for all deaths and serious injuries from road collisions to be eliminated by 2041. It means ensuring safe speeds, behaviours, street design and vehicles to target road danger at its source.

Contractors using trucks and vans must comply with TfL's enhanced road safety standards, and since 1 January 2017 TfL has been turning vehicles away from its sites if they do not meet these requirements.

The standards call for all operators in GLA group supply chains to be accredited to our Fleet Operator Recognition Scheme (FORS) at silver level as a minimum, within three months of a contract starting. From April 2024, we will request gold level. Through FORS, more than 340,000 drivers have taken training on issues including road safety, environmental impact, and awareness of vulnerable road users.

In partnership with vehicle manufacturers, TfL has developed the world's first Direct Vision Standard (DVS) to tackle blind spots and protect the safety of vulnerable road users. The DVS assesses vehicles on how much a driver can see directly from their HGV cab window. Only suitable vehicles are accepted for GLA group contracts, and a licence has been a requirement for certain lorries from October 2020. We are now working with vehicle contractors to ensure compliance across our supply chain and encouraging others in the public and private sectors to mirror our approach.

## **Events for Londoners**

The Mayor is committed to all GLA events supporting his vision for a fairer, more sustainable London. In 2019, Prudential RideLondon, the world's largest cycling festival, banned all single-use plastics, and Diwali celebrations in Trafalgar Square, cut out single-use plastics and replaced all food containers with compostable alternatives. Despite a challenging period for events following the pandemic, new guidance has been developed in line with the Event Sustainability Policy to ensure that when GLA public events do return, they have a strong sustainability impact and contribute to a recovery that is green and fair.

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<sup>8</sup> <https://www.london.gov.uk/city-hall-blog/lets-cut-road-deaths-london-zero>

# 11. Next Steps

We are developing the next iteration of the Responsible Procurement Implementation Plan, which will establish a programme of work to take place over the mayoral term from 2021 – 2024. This will seek to use procurement as a lever to support London’s green and fair recovery from COVID-19. We aim to publish this in summer 2021.

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# Responsible Procurement Case Studies 2021

MAYOR OF LONDON

LONDON LEGACY  
DEVELOPMENT  
CORPORATION

LFB  
LONDON FIRE BRIGADE

METROPOLITAN  
POLICE

TRANSPORT  
FOR LONDON  
EVERY JOURNEY MATTERS



# Introduction

**The Mayor is committed to creating a fairer, more sustainable economy. One way to do this is to use the scale and diversity of the Greater London Authority (GLA) group's annual £9bn spend on goods and services to improve the lives of Londoners.**

Pioneering socially, environmentally and economically responsible procurement can create social value, as well as value for money.

By developing partnerships to support more people into work, we can boost local skills and enhance employment conditions. Improving access to contract opportunities for small or medium-sized enterprises (SMEs) enables us to increase diversity in our supply chain. Encouraging best practice among our suppliers allows us to achieve greater environmental performance while managing our ethical risks. Importantly, responsible procurement helps us to drive innovation.

The following case studies highlight our progress against the commitments set out in our Responsible Procurement Implementation Plan 2018-20, which was developed to support our Responsible Procurement Policy.

We want to lead by example and hope that, as well as influencing our own supply chain, our achievements will resonate beyond the GLA group to other public and private organisations. That way, we can benefit businesses and communities not just in London, but across the UK and beyond.

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11. Reducing waste in the supply chain
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**LFB**

LONDON FIRE BRIGADE

# London Fire Brigade





# Driving down emissions

By making the switch to electric, London Fire Brigade (LFB) has drastically cut its carbon use from the cars in its fleet. This contributes to the GLA group's target to make all new cars and vans (less than 7.5 tonnes) zero-emission capable from 2025.



The brigade's Ultra Low Emission Fleet Plan is driving this ambition, setting out targets for vehicle replacement, plus options for achieving further emissions reductions. Requirements are also built into contracts with fleet management providers to ensure that they continue identifying ways to improve their environmental performance.

Sixty-six 'blue light' pool cars have been replaced with 52 range-extender electric BMW i3s – the largest fleet of these vehicles in the UK when they were introduced – and five plug-in hybrids. They are used to respond to emergencies, among other things, and make up 12 per cent of the LFB fleet.

As a result, carbon dioxide (CO<sub>2</sub>) emissions have dropped from 119g/km to just 13g/km, while air quality emissions, such as nitrogen oxides (NO<sub>x</sub>) from the i3s, have fallen to 2mg/km from 52mg/km.

Electric charging points were also installed ready for fleet changes across 75 per cent of the LFB's sites, and this has recently been increased to 95 per cent of the estate.

These measures are expected to achieve annual CO<sub>2</sub> savings of around 85 per cent – equivalent to 94 tonnes – and approximately 96 per cent for NO<sub>x</sub>. In addition, fuel consumption is anticipated to fall by about 90 per cent.

**Sixty-six 'blue light' pool cars have been replaced with 52 range-extender electric BMW i3s – the largest fleet of these vehicles in the UK when they were introduced – and five plug-in hybrids.**





# Protecting our people and our environment

Firefighters' protective clothing is being kept in top condition, and in use for as long as possible, as part of a cost-cutting contract between the LFB and supplier Bristol Uniforms Ltd.



The LFB has supported Bristol Uniforms to achieve ISO 14001 accreditation, helping to build skills and awareness in the supply chain and assure good environmental management.

Personal protective equipment (PPE) is procured through Bristol Uniforms, a small and medium enterprise via a managed service arrangement. In addition to requirements around social value, diversity, fair employment, skills, and training, the contract features a range of environmental specifications.

These include all PPE remaining the property of Bristol Uniforms, instead of being purchased by the LFB. This encourages repair and reuse as part of a circular economy approach, which extends the garments' lifespan, while still complying with stringent product standards. There are also stipulations around the laundry process, care and maintenance, kit repair history and the management of legacy stock to reduce environmental impacts.

A two-year contract extension has meant a saving of at least £700,000 for the LFB. This has been made possible not just by increasing the life of the kit, but by revisiting requirements based on firefighter numbers. As well as reducing waste, the arrangement ensures the highest health and safety standards are met.

In addition, the LFB has supported Bristol Uniforms to achieve ISO 14001 accreditation, helping to build skills and awareness in the supply chain and assure good environmental management.

**LONDON LEGACY  
DEVELOPMENT  
CORPORATION**

# London Legacy Development Corporation



# A beacon of inclusion in the Park

Regeneration of Queen Elizabeth Olympic Park (QEOP) is enabling the London Legacy Development Corporation (LLDC) to build opportunities for social value and inclusive growth into all that it does.

In partnership with colleagues from across the GLA family, the LLDC works with its employers to:

- offer a range of diverse and inclusive jobs
- implement fair employment practices and make the Park a great place to work
- encourage payment of the London Living Wage
- ensure a more diverse workforce by breaking down barriers to employment for women, disabled people, individuals from black and minority ethnic backgrounds, and other under-represented groups

One initiative has seen the LLDC team up with design and architecture contractors on the Park to develop work placements and internships that pay the London Living Wage.



## Designing for diversity

One initiative has seen the LLDC team up with design and architecture contractors on the Park to develop work placements and internships that pay the London Living Wage.

Companies bidding for design contracts are asked to commit to the programme early in the procurement process. Work opportunities are targeted at students living in the local area and those from under-represented communities. They are an opportunity to gain valuable professional experience with industry-leading practices, increasing the chances of participants building rewarding careers.

So far, 44 young people studying for degrees in built environment professions, such as architecture, engineering and construction management, have secured placements. More than 80 per cent are from black, Asian or minority ethnic (BAME) communities and 43 per cent are women.

Supply chain partners that have offered opportunities include Allies & Morrison, PRP, Buro Happold and Lifschutz Davidson Sandilands.

**Work opportunities are targeted at students living in the local area and those from under-represented communities.**



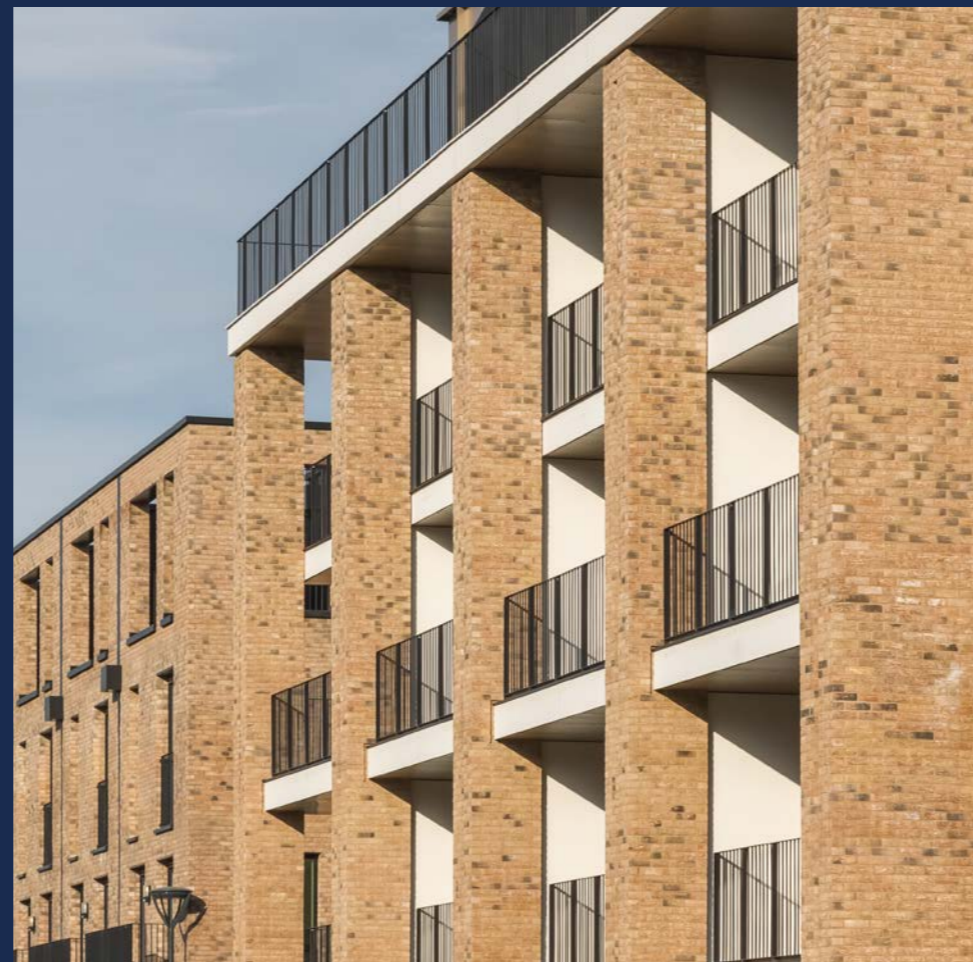
## Ensuring fair employment

Annual audits of all Park-based companies and contractors are helping the LLDC to check compliance with its fair employment standards. The audits are designed to ensure quality job opportunities are provided, guarantee the Park is a place where the London Living Wage is paid, and get assurance that workers aren't subject to exploitative practices, such as the inappropriate use of zero hours contracts.

In the latest audit, carried out in September 2019, more than 900 people working either directly or indirectly for 20 lead contractors were reviewed. Half of the employers were in operational venue management, including at the London Stadium and the London Aquatics Centre, and wider park management. The rest were working on major construction sites at the Park, Stratford Waterfront East Bank, Chobham Manor and East Wick and Sweetwater residential developments.

The LLDC's standard contracts require employers to abide by the Modern Slavery Act and, during the procurement process, bidders' Modern Slavery Statements are assessed. Its project management partner, Mace, is responsible for making sure contractors comply, and meet the requirements of a Certified Ethical Labour Scheme<sup>1</sup>.

Contractors are also encouraged to recruit directly where possible and carry out regular audits of third-party agencies to check for signs of human rights abuses.



<sup>1</sup> A certification that allows companies to demonstrate the practical steps they take to eliminate any possibility of trafficking or modern slavery in their supply chain.



# Collaboration in construction

Development of QEOP is also improving the area's prosperity. Thousands of people have been trained and recruited, and schools and colleges have been matched with employers to help shape students' career choices.



The construction industry currently faces challenges – against the backdrop of increasing digital transformation, it has an ageing workforce that lacks diversity. At the Park, the LLDC has been using its role as a planning authority, client and operator, to engage employers and their supply chains and investigate options for new construction training programmes, particularly for apprentices.

It has formed, and is part of, the QEOP Training Association (TA), a membership body that includes leading contractors and developers working on the Park's major sites. It is piloting ways to improve collaborative working practices in the industry, specifically in relation to jobs and skills. This will help to build resilience into the LLDC supply chain by increasing the supply of talent, now and in the future.



Thanks to a partnership with Transport for London (TfL) and funding from the Construction Industry Training Board, the TA is setting up a state-of-the-art training facility at the Park. Members and their supply chain sub-contractors will be able to explore cross-industry collaborations and take a leadership role in providing, and quality assuring, employment and skills programmes.

The TA operates across all the Park's major sites. At Stratford Waterfront, the main East Bank construction project, the LLDC works through the TA to:

- share recruitment and training requirements with all Park developers, moving people across sites as contracts end
- pay people the London Living Wage or Working Rule Agreements<sup>2</sup>, whichever is higher

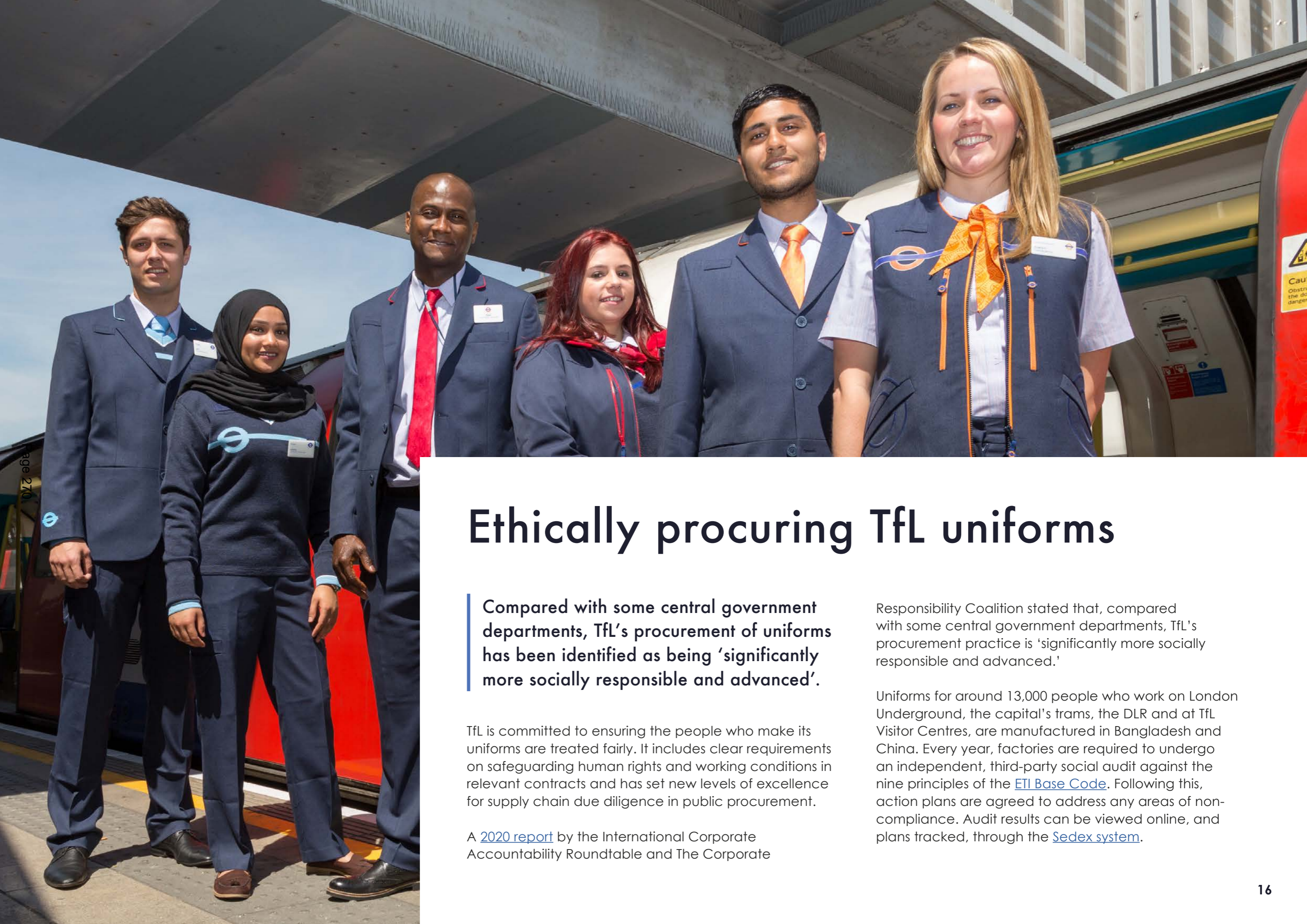
- make sure that staff are employed in line with the Mayor's guidance on the non-exploitative use of zero hours contracts
- increase the diversity of the project's workforce
- ensure the ethical use of labour in accordance with modern slavery legislation
- implement a Labour Agency Vendor Accord that sets minimum work standards for agencies. This enables the LLDC and principal contractors to stop an agency providing labour on-site if they do not meet requirements

<sup>2</sup> Working Rule Agreements are minimum wage rates set according to a worker's skill level and are agreed annually by the Construction Joint Industry Council.

The TA is setting up a state-of-the-art training facility at the Park. Members and their supply chain sub-contractors will be able to explore cross-industry collaborations and take a leadership role in providing, and quality assuring, employment and skills programmes.

# Transport for London





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## Ethically procuring TfL uniforms

**Compared with some central government departments, TfL's procurement of uniforms has been identified as being 'significantly more socially responsible and advanced'.**

TfL is committed to ensuring the people who make its uniforms are treated fairly. It includes clear requirements on safeguarding human rights and working conditions in relevant contracts and has set new levels of excellence for supply chain due diligence in public procurement.

A [2020 report](#) by the International Corporate Accountability Roundtable and The Corporate

Responsibility Coalition stated that, compared with some central government departments, TfL's procurement practice is 'significantly more socially responsible and advanced.'

Uniforms for around 13,000 people who work on London Underground, the capital's trams, the DLR and at TfL Visitor Centres, are manufactured in Bangladesh and China. Every year, factories are required to undergo an independent, third-party social audit against the nine principles of the [ETI Base Code](#). Following this, action plans are agreed to address any areas of non-compliance. Audit results can be viewed online, and plans tracked, through the [Sedex system](#).

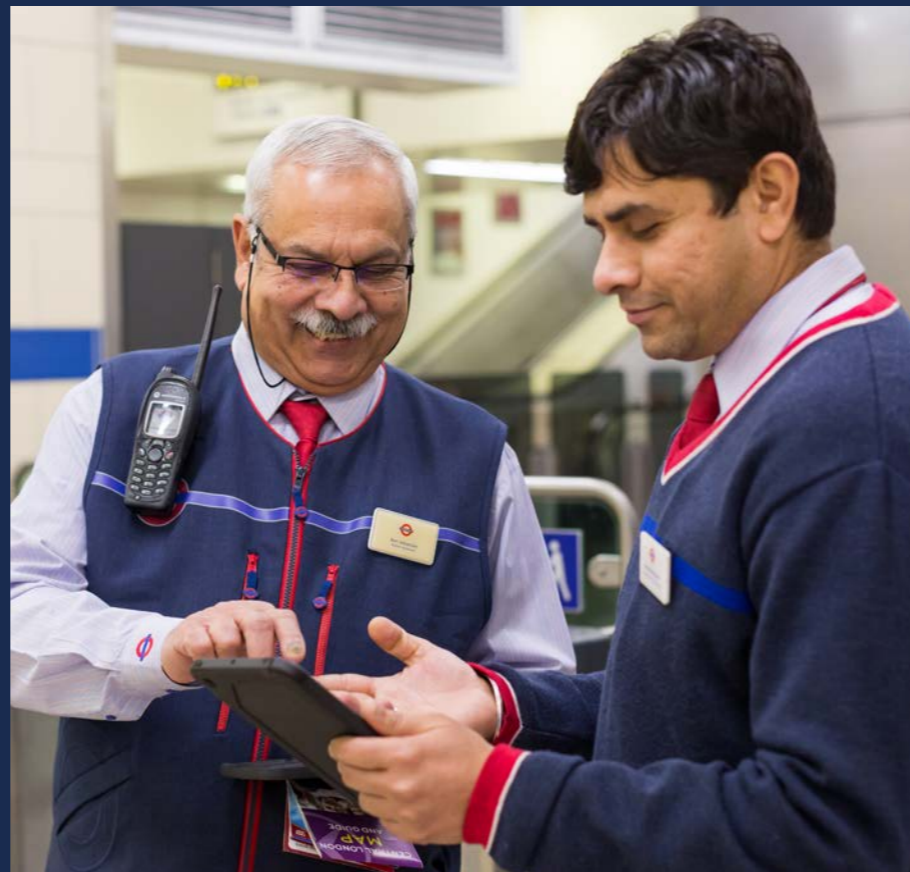
TfL has liaised with the Fairtrade Foundation to make sure the cotton used in parts of its uniforms is sourced from certified producers.

It is recognised that social audits are limited when it comes to addressing the root causes of non-compliance. TfL, therefore, requires its supplier to carry out further activity at the manufacturing sites to ensure the fair treatment of workers.

Staff have, for example, taken part in training on workers' rights, health and safety, Bangladesh's labour laws, and improving the process for raising grievances. One factory is partnering with a local university to host interns, with a view to helping them qualify as technicians and designers. This builds the knowledge and capabilities of vulnerable workers, while helping them to better understand their rights in the workplace.

Through TfL's engagement, the supplier recognises that ethical sourcing is not just about policy and workplace behaviour, but also about contributing to sustainable development throughout the supply chain. As part of its Social Responsibility Project, which aims to support education in the local community, it has sponsored two children to attend school and has provided the school with water filters, ceiling fans and bags for each child.

In another first for the public sector, TfL has liaised with the Fairtrade Foundation to make sure the cotton used in parts of its uniforms is sourced from certified producers. The same approach to ethical procurement is now being replicated in the contract for workwear worn by asset maintenance staff. This means both farmers and workers get a fair deal.



# Spotlight on... TfL's Supplier Skills Team

TfL's Supplier Skills programme was introduced to tackle skills shortages and under-representation in transport and infrastructure. It is also using the organisation's substantial public sector contract spend to increase social mobility.

Page 272



The programme is led by TfL's Supplier Skills Team, which provides hands-on support throughout.

Suppliers create skills and employment opportunities as a condition of doing business with TfL. This includes through apprenticeships, workless job starts, placements and school visits. Requirements are built into contracts and are in direct proportion to their value.

Those suppliers most in need of support also benefit from initiatives delivered in partnership with charities and employability organisations.

## A partnership approach

The programme is led by TfL's Supplier Skills Team, which provides hands-on support throughout. It has established relationships with large suppliers, colleges, charities and employability referral partners to create opportunities that provide a clear route into work for people from under-represented or disadvantaged communities.

Each programme is fully externally funded and the support candidates receive is significantly reducing drop-out rates.

## A formula for success

In 2019/20, the team helped 636 people secure new apprenticeships in our supply chain, with 58 per cent of recruits coming from a BAME background. For comparison, BAME representation in transport apprenticeship starts across the UK in 2019 was 21.8 per cent, according to the Department for Transport's ['Three Years of Progress'](#) report.

Several factors have been instrumental in the Supplier Skills Team success. The team has senior-level support, a clear mandate through the GLA's Responsible Procurement Policy and a network of partners that share the same thinking. In recent years, its efforts have been recognised with honours at the European-wide Procura+ Awards, the UK Social Mobility Awards and the Lord Mayor's Dragon Awards.

Its successful blueprint has led to the DfT calling on other areas of the transport infrastructure sector to emulate TfL's approach. This creates huge potential for many more young people to find employment support across the UK.

## A record response at apprentice supplier showcase

Every year, to mark National Apprenticeship Week, the Supplier Skills Team hosts a recruitment fair, inviting suppliers with vacancies to connect with a wide range of candidates from across London.

In February 2020, TfL hosted the largest event to date. Forty employers showcased opportunities to more than 700 people looking to take their first steps on the career ladder. In all, there were in excess of 500 jobs and apprenticeships on offer, as well as more than 1,500 training opportunities. Candidates registered more than 1,900 expressions of interest with TfL suppliers.





## Women with drive

**TfL teamed up with Go-Ahead to attract more women into the industry, specifically behind the wheel.**

A two-week employment programme run by TfL's Supplier Skills Team, Go-Ahead and The College of Haringey, Enfield and North East London, provided 18 candidates with customer service and employability training. They also gained valuable driving experience at the bus operator's Northumberland Park and Camberwell garages.

Participants were supported by Go-Ahead to complete their bus driver apprenticeship application. They also had appointments with Smart Works, a charitable organisation that provides interview preparation and high-quality clothes for unemployed women and those on low incomes.

**A two-week employment programme provided 18 candidates with customer service and employability training.**

At the end of the programme, 15 candidates went on to have an interview and assessment. Of those, four gained their Passenger Carrying Vehicles driving entitlement and started their Passenger Transport Driver – Bus (Intermediate Level 2) apprenticeship



# Get into Transport

Transport bodies joined forces on a pre-employment initiative to help people from under-represented and disadvantaged communities access job opportunities in their supply chains.

The programme consisted of two-weeks of employability training and two weeks of practical work experience. It brought together the Strategic Transport Apprenticeship Taskforce Social Mobility working group, TfL, HS2, Heathrow Airport and The National Skills Academy for Rail (NSAR). TfL's Supplier Skills Team (SST), see page 18, coordinated the initiative, using its previous experience and network of referral partners and training providers.

Employers offering placements included Morgan Sindall (the Barking Riverside extension), MTR Elizabeth line, Mace Dragados, Align and WSP, as well as Heathrow Express and NSAR. They gave an insight into roles that focus on engineering, administration, customer services, marketing and the environment.

Those who completed the programme, and were interested in employers' available vacancies, were guaranteed interviews or assessments. Of the 12 people who finished the course, six have since secured jobs. One participant was lucky enough to find a role with an immediate start during the initiative's training phase.

Candidates also had appointments with charities Smart Works and Suited & Booted, which support unemployed people and those on low incomes by providing quality clothes and interview preparation.



Employers offering placements included Morgan Sindall (the Barking Riverside extension), MTR Elizabeth line, Mace Dragados, Align and WSP, as well as Heathrow Express and NSAR.

# Building a new future for the construction industry

The Department for Education's Construction Skills Fund is helping employers to create thousands of new jobs in the built environment. It is tackling skills shortages and developing diverse talent. Crucially, through on-site training, it is enabling people to learn the trade in a real-world environment.





TfL successfully applied for funding to establish training hubs in Brixton; Earls Court, which is one of London's most important development opportunities; and to support the LLDC's commitment to build 10,000 homes across QEOP. These hubs will provide more than 2,000 people with construction training by March 2021 and more than 700 jobs by June 2021. Of this, 45 per cent will go to individuals from under-represented groups and low socio-economic backgrounds.

## Achievements so far

Through partnerships with contractors, more than 2,100 people have received pre-employment training designed to help those who are new to the construction industry, especially young people and individuals from under-represented groups. More than 65 per cent are from an ethnic minority background and more than 20 per cent are young people not in education, employment or training.

Supply chain initiatives, contract requirements and other employer partnerships are also connecting people to jobs, with more than 500 roles created to date.

There will, for instance, be opportunities within TfL's own property development portfolio. TfL owns a 5,700-acre estate that includes sites with huge potential for accommodating the housing that London needs. It has committed to providing more than 10,000 new homes and requires more than 7,000 construction workers across the supply chain to deliver that pledge.

Through partnerships with contractors, more than 2,100 people have received pre-employment training designed to help those who are new to the construction industry.





# Metropolitan Police Service

# Supporting smaller businesses

CompeteFor, a free web-based brokerage portal, was created by the London Development Agency to increase awareness and access to opportunities for the London 2012 Olympics. Available to all UK businesses in both the public and private sectors, it is used today to buy a wide range of goods and services.



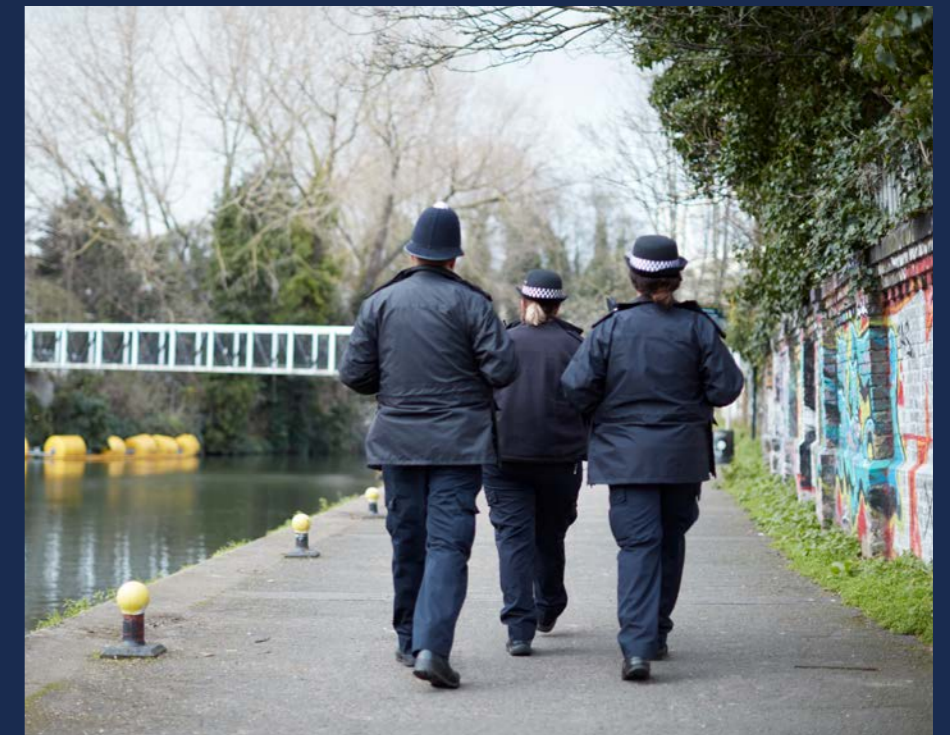
The Metropolitan Police Service (MPS) has been using CompeteFor for 12 years. As a competitive service, not only do small and medium enterprises (SMEs) have equal access to opportunities between £5,000 and £50,000, but procurers receive quotes quickly and efficiently.

In 2019/20, of the 139 contracts awarded by the MPS via CompeteFor, 64 of those businesses that chose to declare their status were SMEs. Of these, nine were owned by a person from a BAME background, and 11 were owned by a woman.

Moving forward, the MPS and its service provider will continue to use CompeteFor for procurement activities under £50,000. This work will contribute to ongoing efforts to encourage and support small and diverse businesses within the supply chain.



In 2019/20, of the 139 contracts awarded by the MPS via CompeteFor, 64 of those businesses that chose to declare their status were SMEs.



# Reducing waste in the supply chain

Using circular procurement strategies and new business models, the MPS is creating innovative solutions for reducing waste. To explore and apply these solutions within relevant contracts, there has been strong engagement and collaboration between the MPS contract management team, MPS Environment and Sustainability team and key stakeholders within the supply chain.





One supply chain initiative reduces waste by ensuring unwanted police uniforms are sorted for reuse. Since 2019, three tonnes of boots and legacy stock have been donated to charity, with items unsuitable for reuse sent for recycling. Those that cannot be recycled, such as end-of-life uniforms, are diverted away from landfill. In addition, Kevlar, a heat-resistant, lightweight fiber found in protective vests worn by the police, can be repurposed for use in the car industry, for example to make brake pads. Since the initiative began, 22 tonnes of Kevlar from protective vests have been repurposed.

Single-use clothes provided for detainees are now laundered and reused, as part of a collaboration with a local London charity. To date, more than 1,000 items of clothing have been reused, including jumpers, t-shirts and tracksuit bottoms, and further ways of widening the scope of the project continue to be explored.

Another initiative involves relocating furniture through an online portal for MPS staff. The supplier first checks that the item is in good condition, adds it to the portal and then delivers it to the buyer. In 2019/20, more than 1,600 items were reused and an estimated £178,000 was saved as a result of people using the portal. For smaller items, such as stationery, a swap shop has been set up to avoid unnecessary procurement of new items. All office paper is made from 100 per cent recycled material, and other stationery items have been replaced with more sustainable options.

Single-use clothes provided for detainees are now laundered and reused, as part of a collaboration with a local London charity. To date, more than 1,000 items of clothing have been reused.



# Building opportunities through construction

The MPS is committed to delivering social, economic and environmental outcomes through an extensive construction programme. Suppliers are required to meet sustainable design and construction requirements, as well as report on social value outcomes where relevant.



The MPS minimum requirement is that one skills and employment output is created for every £2m of construction spend. Also, at least half of these outputs must be linked to apprenticeships.

A number of projects have been completed over the last three years. Training and employment opportunities were created through the contract for the refurbishment of Marlowe House in Sidcup, a site on the MPS estate. The project was completed in September 2019 and has delivered new roles, including four job starts, two apprenticeship starts and four placement positions in a variety of functions. The project has also created social value across London, including:

- An enterprise day for girls at St Marylebone School in London. This aimed to increase gender diversity in construction as women currently make up just 13 per cent of the sector workforce in the UK
- A careers event held at HMP Pentonville that engaged 20 ex-offenders
- The project team worked with a local housing association where more than 40 people took part in mock interviews to boost their skills and prepare them for the future. The team also worked with children's charity Barnardo's on a Routes into Construction scheme event

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Date: 21 June 2021

Item: **Enterprise Risk Update - Major Safety, Health or Environmental Incident or Crisis (ER1)**

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**This paper will be considered in public.**

## 1 Summary

- 1.1 In September 2020, the newly formed Enterprise Risk 1 (ER1) was presented and endorsed by the Executive Committee and an update was provided to the meeting of the Panel on 4 November 2020. The re-assessment of ER1 is within six months of our first paper due to the levelling out of the Enterprise Risk programme which will enable all future Level 0 risks to receive equal consideration on an annual cycle. Given the timetable of our original paper and the relative short timescale for our return, many of the improvement activities set out in the previous paper are still in delivery.
- 1.2 The aim of this paper is to provide an update on the status of our Safety, Health and Environment (SHE) Risks, the associated actions and the Enterprise Risk template.
- 1.3 The SHE Risk ER1 is titled **Major Safety, Health or Environmental incident or crisis**. This risk covers the failure to sufficiently identify and manage safety, health or environment risks that could result in injuries, deaths, poor health and wellbeing of staff, customers, contractors or the wider population or harm to the environment and will impact TfL's reputation, financial capacity and operational resilience.
- 1.4 A paper is included on Part 2 of the agenda, which contains exempt supplemental information pertaining to the strategic risk deep dive. The information is exempt by virtue of paragraph 3 of Schedule 12A of the Local Government Act 1972 in that it contains information relating to the business and financial affairs of TfL that is commercially sensitive and likely to prejudice TfL's commercial position. Any discussion of that exempt information must take place after the press and public have been excluded from this meeting.

## 2 Recommendation

- 2.1 **The Panel is asked to note the report and the exempt supplemental information provided on Part 2 of the agenda.**

### 3 ER1 – Causes, Consequences, Controls and Actions

3.1 Consequences of failing to control this risk could result in a range of unacceptable outcomes include:

- (a) **Safety:** catastrophic safety incident involving the services we operate. Events with major safety consequences could include asset failure such as collapsed infrastructure, derailment, collision and fire. More widely and beyond our own services, safety incidents either catastrophic or cumulative could result in failure to drive down deaths and injuries on streets or London's wider public transport network as part of our Vision Zero objective;
- (b) **Health:** national health emergency that affects our ability to run the network or results in health and wellbeing risk to our workforce, such as a global pandemic or influenza outbreak; and
- (c) **Environment:** climate change leading to extreme weather events such as flooding, drought, heatwave or extreme storms and the failure to adapt to these conditions as well as the adverse public health consequences of poor air quality and the degradation of Londoners' living environments.

3.2 Adverse SHE outcomes will interact with one another, leading to a range of consequences. Examples include: a heatwave can result in safety incidents, impacts on passenger and staff welfare, public health impacts and potentially trigger major air pollution events; flooding can result in safety and operational impacts; and road risk can lead to public reluctance to choose active transport, with adverse consequences for public health, air quality and carbon emissions. Outside of London, last summer's Stonehaven derailment in Aberdeenshire was a sad reminder of the consequences of exceptionally heavy rainfall causing landslip and leading to casualties.

3.3 The potential causes that might result in the risk materialising if not properly controlled include:

- (a) insufficient investment and resources including a lack of people capability;
- (b) the policies, priorities and resources allocation required to achieve health and safety outcomes do not sufficiently align;
- (c) the legislative framework does not keep up with new technology, socioeconomic changes or allow for innovation;
- (d) poor data, analysis, reporting, benchmarking and systems.
- (e) inadequate leadership, attitudes and behaviours, including a lack of, and inconsistent, communication;
- (f) inadequate and inconsistent Safety Health and Environment management system (SHE-MS), lack of legal compliance and SHE-MS not followed; and

- (g) action/delivery plans and improvement programmes are not sufficient to deliver the Mayor's Transport Strategy (MTS) goals with regard to safety, health, environment and climate change.
- 3.4 We have identified opportunities to improve our controls and to bring a more unified and comprehensive view of risk reduction activities across our business. As part of the development of the SHE directorate and proposals to update the Management System we are developing an integrated approach that pulls together the wide range of activities, interventions and projects within the business that reduce the probability of SHE events of the type described in ER1. We shall also be developing guidance to help all areas of the business identify future opportunities for improvements.
- 3.5 This paper focuses on some of the foundational work within SHE to establish a process for managing ER1 as a relatively new amalgamated set of risks. For future updates the focus will be on how our operational teams, project delivery teams and professional services are reducing risks within ER1 and how these exist as a coherent and proportionate programme of work. These foundational activities include reviewing our SHE level 1 and level 2 risks ensuring that risks and controls are effectively managed throughout all levels.
- 3.6 Protecting the safety, health and environment of our customers, employees and stakeholders remains paramount and our top priority. The ongoing improvement programmes sets out our SHE deliverables to control and mitigate risks over the coming 12-18 months and beyond, thus ensuring the effective and robust management of our risks.

**List of appendices to this report:**

A paper contains exempt supplemental information and is included on Part 2 of the agenda.

Appendix 1 – Safety, Health and Environment (ER1) Update (Exempt information)  
Appendix 2 – Risk Template (Exempt information)

**List of Background Papers:**

None

Contact Officer: Lilli Matson – Chief Safety, Health and Environment Officer  
Email: [lillimatson@tfl.gov.uk](mailto:lillimatson@tfl.gov.uk)

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Date: 30 June 2021

Item: Enterprise Risk Update - Protecting the Wellbeing of TfL's Workforce (ER2)

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## This paper will be considered in public

### 1 Summary

- 1.1 This paper presents an update to the Panel on the management of Enterprise Risk 2 (ER02) – Protecting the wellbeing of our employees.
- 1.2 A paper is included on Part 2 of the agenda, which contains exempt supplemental information pertaining to the strategic risk deep dive. The information is exempt by virtue of paragraph 3 of Schedule 12A of the Local Government Act 1972 in that it contains information relating to the business and financial affairs of TfL. Any discussion of that exempt information must take place after the press and public have been excluded from this meeting

### 2 Recommendation

- 2.1 **The Panel is asked to note the paper and the exempt supplemental information provided on Part 2 of the agenda.**

### 3 Overview

- 3.1 Our people risk, “Protecting the Wellbeing of Our Employees.” was established to reflect the focus we wish to place on employee wellbeing in responding to the continuing challenges of COVID-19 and as we move into recovery. The ownership of this risk is shared between Human Resources (HR) and Safety, Health and Environment (SHE).
- 3.2 The previous 12 months has delivered unprecedented challenges for our City, our organisation and our people. The incredible commitment shown by our people in responding to the pandemic is something we can all be proud of. In the most challenging of circumstances, our people stepped up and through everyone’s dedication and hard work we continued to run our services so that essential journeys could be made by key workers.
- 3.3 Ensuring our people are happy, healthy and engaged at work is central to achieving our vision of a people centric organisation, and our ability to deliver for London. Low levels of employee engagement and/or poor employee wellbeing directly impacts our ability to deliver through our people as we cannot deliver our priorities without an engaged and motivated workforce.

3.4 Level 0 risk “ER02 – Protecting the Wellbeing of Our Employees” was discussed at the meeting of the Panel in November 2020. The information in the deep dive in Part 2 of the agenda provides an update on the further actions and mitigations that we are taking, in addition to rationale on the assessment that ER02 remains as ‘requires improvement’ following discussion with TfL’s Executive Committee in March 2021.

**Appendices:**

Appendix 1: Risk Update (Exempt information)

Appendix 2: Risk Template (Exempt information)

**List of Background Papers:**

None

Contact Officer: Tricia Wright, Chief People Officer

Email: [TriciaWright@tfl.gov.uk](mailto:TriciaWright@tfl.gov.uk)



**Date:** 30 June 2021

**Item:** Members' Suggestions for Future Agenda Discussions

---

### **This paper will be considered in public**

#### **1 Summary**

- 1.1 This paper presents the current forward programme for the Panel and explains how this is put together. Members are invited to suggest additional future discussion items.

#### **2 Recommendation**

- 2.1 **The Panel is asked to note the forward plan and invited to raise any suggestions for future discussion items.**

#### **3 Forward Plan Development**

- 3.1 The Board and its Committees and Panels have forward plans. The content of the plans arise from a number of sources:
- (a) Standing items for each meeting: Minutes; Matters Arising and Actions List; and any regular quarterly reports. For this Panel these are the Health, Safety and Environment Quarterly Report and the Human Resources Quarterly Report.
  - (b) Regular items which are for review and approval or noting such as the Health, Safety and Environment Annual Report.
  - (c) Items requested by Members: The Deputy Chair of TfL and the Chair of this Panel will regularly review the forward plan and may suggest items. Other items will arise out of actions from previous meetings (including meetings of the Board or other Committees and Panels) and any issues suggested under this agenda item.

#### **4 Current Plan**

- 4.1 The current plan is attached as Appendix 1. Like all plans, it is a snapshot in time and items may be added, removed or deferred to a later date.

**List of appendices to this report:**

Appendix 1: Safety, Sustainability and Human Resources Panel Plan.

**List of Background Papers:**

None

Contact Officer: Howard Carter, General Counsel

Number: 020 3054 7832

Email: [HowardCarter@tfl.gov.uk](mailto:HowardCarter@tfl.gov.uk)

**Safety, Sustainability and Human Resources Panel Forward Planner 2021/22****Appendix 1**

**Membership:** Kay Carberry CBE, Dr Nina Skorupska CBE (Vice Chair), Julian Bell, Bronwen Handyside, Dr Mee Ling Ng OBE, and Mark Phillips.

Abbreviations: Managing Director (MD), Customers, Communication and Technology (CCT), London Underground (LU), Surface Transport (ST), CPO (Chief People Officer), CSHEO (Chief Safety, Health and Environment Officer), D (Director), DIT (Diversity, Inclusion & Talent) and SHE (Safety, Health & Environment), DCP (Director, City Planning), CDD (Commercial Development Director), DIA (Director of Internal Audit)

<b>14 September 2022</b>		
Quarterly Health, Safety and Environment Performance Reports	CSHEO	To note
Bus Driver Facility Improvements	MD ST	To note
Bus Safety Update	MD ST	To note
Vision Zero Update	CSHEO	To note
Sustainability	CSHEO	To note
Green Infrastructure	DCP	To note
Human Resources Quarterly Report	CPO	To note
Disability Roadmap	D DIT	To note
Our People Plan	CPO	To note
Health and Wellbeing Strategy	CPO	To note
Diversity and Inclusion Update	CPO	To note
Assurance Report	DIA	To note
Strategic Risk Update	CSHEO	To note

<b>2 December 2021</b>		
Quarterly Health, Safety and Environment Performance Reports (to include resilience, assurance and compliance issues)	CSHEO	To note
Review of CIRAS Report and Themes	CSHEO	To note
Fatigue Management Update	CSHEO	To note
Air Quality Update	DCP	To note
Climate Change Adaptation Update	DCP	To note
Human Resources Quarterly Report	CPO	To note
Strategic Risk Update	CSHEO	To note

<b>24 February 2022</b>		
Quarterly Health, Safety and Environment Performance Reports (to include resilience, assurance and compliance issues)	CSHEO	To note
Bus Driver Facility Improvements	MD ST	To note (6 monthly standing item)
Human Resources Quarterly Report	CPO	To note
Viewpoint Survey	CPO	To note
Strategic Risk Update	D HSE	To note

Regular items

- Quarterly HSE Performance Report – standing item
- HR Quarterly Report – standing item
- Bus Driver Facility Improvements (every 6 months)
- People Plan Update
- Review of CIRAS Report and Themes – annual
- Vision Zero
- Strategic Risk

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