Transport for London
London Underground


# Supplier Handbook

MAYOR OF LONDON

# Contents Page

# Introduction

## Who needs this handbook

This handbook gives context and guidance to help suppliers (contractors) deliver a contract for London Underground's Capital Programmes Directorate (CPD) successfully.

## What the handbook is for

When we articulate what we want from our suppliers we rely on:

- contracts, terms and conditions, standards, specifications, drawings
- relationships, during procurement to reinforce understanding and during construction to progress the work.

This handbook aims to:

- provide additional information on elements that suppliers have told us can be confusing or challenging when delivering a contract for LU
- provide context and inform rather than try to interpret standards
- be non-contractual and include a mixture of guidance and point to contractual information where necessary
- provide a single LU view
- reinforce common understanding about roles and responsibilities
- follow the supplier's lifecycle:
    - winning work
    - design
    - mobilisation
    - delivery
    - project close

If you feel that there are additional topics that it would be helpful for this handbook to cover, please email us

# Commercial procurement

All LU commercial activity complies with rules laid out in the EU Procurement Directives, which aim to encourage and develop open, fair and effective competition by:

- using consistent practices and procedures
- publishing relevant advance information on major public purchasing programmes and individual contracts.

The key directives, and the corresponding UK statutory instruments, are set out in the table below:

| **EU Directive** | **UK statutory instrument** | **What is covered?** |
|---|---|---|
| Directive 2004/17/EC | Utilities Contracts Regulations SI 2006 No 6 (as amended) | Entities operating in the water, energy, transport and postal services sectors |
| Directive 2004/18/EC | Public Contracts Regulations SI 2006 No 5 (as amended) | Public works contracts, public supply contracts and public service contracts |

In addition to the EU Directives, LU adheres to other legal obligations, including UK legislation covering bribery.

## Procurement thresholds

The UK Government publishes threshold values for procurement under the Public Contracts Regulations 2006 and the Utilities Contracts Regulations 2006. The values are derived from the European Commission's biannual update to the thresholds set out in the EU Procurement Directives.

The table below sets out the current thresholds. Current thresholds are applicable from 1 January 2014 to 31 December 2014. The thresholds quoted are all exclusive of VAT:

| Public Contracts Regulations | **Supplies** | **Services** | **Works** |
|---|---|---|---|
| UK Government published thresholds | £172,514 | £172,514 | £4,322,012 |
| Utilities Contracts Regulations | **Supplies** | **Services** | **Works** |
| UK Government published thresholds | £345,028 | £345,028 | £4,322,012 |

# Winning work

## LU work coming up...

Supplier tendering opportunities for London Underground and TfL work can be found on the Opportunities page in the Supplying TfL section, including future contract opportunities and a list of the current frameworks and when they expire.

Supplier tendering opportunities for London Underground and TfL work

## Register as a supplier

Suppliers can download the user manual for any assistance required with registering.

To take part in any tendering activity on our eTendering system, suppliers must first register online. There are more details on the eTendering portal to help with this

Suppliers successful in winning a contract will need to register on our purchase-to-pay system to begin trading with us. The process is initiated by registering your company details.

Please note it is important that suppliers do not register multiple times. To check if your organisation is already a registered supplier, please contact call on 0800 368 4850 (TfL call charges).

## Supplier assurance

LU operate a supplier assurance regime in which potential suppliers are risk and tier rated according to the safety or business critical nature of what is sourced from suppliers, and audited or assessed accordingly. Those suppliers who meet the standard required are permitted to trade with us.

If you are selected to negotiate and you are not already an assured supplier, a separate supplier assurance audit may be conducted. The supplier's ability to meet the required standards will determine eligibility for award.

## Route to market

The range of procurement strategies that LU uses includes:

- single source (only used in exceptional circumstances)
- procurement from a catalogue
- simple call-off from a framework
- call-off from a framework with mini-competition

- competition
- Official Journal of The European Union (OJEU) process (exact process followed will depend on factors such as the nature of the requirement, value, nature of the supplier market, the complexity of the requirement and the political, financial and other risks involved)

Factors contributing to the choice of procurement strategy include:

- the complexity and scale of the requirement
- the need for an innovative solution
- potential price variance
- availability of suitable suppliers
- the urgency of the procurement
- risk; including time, cost and safety
- whether suitable goods or services are available in a catalogue
- whether the requirement is covered by a category strategy
- whether the requirement is covered by a framework agreement

## Category management

LU has implemented a category management approach to the procurement of a broad range of assets, goods and services. Category strategies have been developed for a number of areas related to Capital Programmes, including:

- works, construction and maintenance, including track, cabling, tunnels and stations
- rail signalling and rolling stock (purchase and maintenance)
- infrastructure equipment, including lifts and escalators
- professional services including engineering consultancy and project management

The aim of these strategies is to achieve cost savings for LU while still ensuring safety and quality. Category strategies may, therefore, recommend approaches such as:

- aggregating LU's spend on a particular asset or service
- use of standardised specifications
- encouraging supplier innovation

As these different approaches indicate, category management will affect suppliers in different ways, depending on the strategy LU adopts for a particular category. For example, aggregation of spend on track maintenance might lead to larger projects requiring the co-ordinated deployment of resources across a number of different sites. Standardised

specifications would require a high degree of conformance on the part of the contractor, whereas supplier innovation might give the contractor an opportunity to devise next-generation solutions that eventually become industry standard.

Where a category strategy is in place, LU will use it when defining the business need for a particular asset or service. The category strategy will thus influence how the procurement exercise is managed in terms of:

- devising specifications
- estimating costs
- selecting and evaluating suppliers
- setting contract terms

## Framework agreements

A framework agreement is an agreement which establishes the terms that will govern any contract that may be awarded during the life of the agreement. They are agreements that set out terms and conditions for making specific purchases, known as call-offs.

LU operates a number of framework agreements that enable the organisation to purchase goods and services quickly using agreed prices and terms and conditions. LU staff have access to additional frameworks managed by the Government Procurement Service. Frameworks available to capital programmes include areas such as:

- track labour
- fire systems
- concrete products
- major civil engineering works
- engineering and management consultancy services

Framework agreements can be in one of two forms:

- Single supplier arrangements (SSA): these are used when TfL requires security of supply and they may confer an element of exclusivity on the supplier, as it is unlikely that TfL will procure the requirement through a further procurement exercise. The framework agreement will not normally contain any minimum levels of purchase, and the exclusivity may mean that the supplier provides the products at a lower price
- Multi-supplier arrangements (MSA): these provide greater flexibility and normally include at least three suppliers, provided that there are sufficient suppliers capable of satisfying the selection criteria. MSAs allow TfL to achieve best value for money without having to repeat the full competitive tendering process.

In the case of an MSA a call-off contract can be awarded either:

- directly to a supplier without a further competition where the framework's terms are sufficiently precise regarding the requirement
- by running a mini-competition involving capable suppliers where all the terms (exact requirements and pricing) have not previously been set out in the framework agreement. TfL will determine which framework suppliers are "capable"

LU will undertake mini-competitions in line with the framework conditions of contract. For example, LU will send a notice to suppliers on the framework setting out the award criteria for the call-off contract. These criteria must be based on the criteria set out in the framework agreement, though LU may vary the criteria weightings depending on the specific requirements of the call-off contract.

The terms and conditions of the framework agreement cannot be changed, other than by agreed variation. However, the agreement may allow LU to add special terms under the terms of the call-off, such as liability caps, or specific responsible procurement clauses.

### NEC3 contracts

LU uses the NEC3 [New Engineering Contract Version 3] as its contract of choice for the procurement of engineering and construction works. The organisation uses a set of amendments to the standard contract known as Z clauses.

## Tender process

Depending on the chosen route to market set out in the procurement strategy, the tender process may be a two-stage process, sometimes following a contract notice or expression of interest:

1. Pre-qualification
2. Invitation to tender

### Pre-qualification questionnaire (PQQ)

Suppliers may be asked to complete a pre-qualification questionnaire (PQQ):

- when applying to join an approved/preferred supplier list
- as the first stage in a restricted or negotiated tender process.

A PQQ is used, where necessary, to enable assessment of those suppliers who have either expressed an interest against a formal request to do so via the OJEU or been identified through other means such as Achilles

Link-up.  A PQQ seeks to identify those suppliers best able to submit a compliant bid and help ensure effective competition.

At PQQ stage the criteria are 'backward facing' looking at the supplier's:

- past performance track record
- experience to date
- established processes and practices

The PQQ tends to ask fairly generic questions of the organisation. This includes:

- organisation capability
- financial capability
- insurance
- good standing
- technical & commercial capability
- past performance
- health, safety and quality
- equal opportunities
- supplier diversity

It is important for you to use your PQQ to demonstrate:

- that they meet the criteria
- the added value that their organisation could bring to LU

## Preparing to complete a PQQ

The following guidance is provided to assist suppliers in putting together a quality PQQ that is often overlooked:

- read through the PQQ carefully before you begin to complete it
- follow the instructions and guidance notes supplied with the PQQ. Inaccurate or incomplete forms or the failure to follow instructions will almost certainly result in your application being rejected
- extra consideration should be given to the criteria that are given high weightings, which LU considers very important. A 'Fail' score will result in rejection of a submission
- if you have any queries about the PQQ, you must contact the commercial lead only. Do not contact a friend or a colleague in LU
- you may be asked to put your questions in writing for example by email. Note that questions asked may be shared with other suppliers, but made anonymous
- supporting documentation must:

    - be clearly marked
    - always refer to the question number that supporting information is referring to
- keep a copy of the completed PQQ, before you submit it. You may need to refer to it if you are asked questions of clarification.
- return your completed PQQ to the correct address by the closing date and time stipulated. If you return it late, even by a few minutes, it may be disallowed. If you have been provided with an envelope and label ensure that you make use of these.

## Contact details

Ensure that you provide an accurate e-mail address that does not bounce back due to technical errors. Make sure:

- that you have voice message system set up if there is nobody to answer the phone,
- that you provide a name of someone who can be easily contacted and their position within the organisation

## Category – organisation and capability

This category requests basic information on the suppliers. Although much of the information is mandatory it is not scored but used to formulate clarification queries which help advise ITT criteria, contract documentation, contract management approaches, and associated risk mitigation.

## Category – financial capability

This category is used to obtain key financial information. It is sought on the basis that it will be refreshed at tender stage and again prior to contract award.  Financial information is required, so that LU has an understanding of your financial position and to determine the level of risk that it represents to LU.

## Category – insurance

This category aims to assess the capability of suppliers to obtain appropriate levels of insurance to cover their current liabilities. Suppliers must demonstrate that various insurance policies are in place. Evidence of these must be provided by the inclusion of an insurance broker's letter, certificate of insurance or by submission of policy documentation. All must state levels of cover and clearly indicate dates of operation. Provide copies not originals.

## Category – good standing

This category comes from the Contracts Regulations which permit mandatory rejection if you are not able to meet the requirements in this section.

## Category – technical capability

This category relates to the current technical ability, skills, innovation, geographic constraints, asset and resource management, risk mitigation and delivery performance of the supplier.

This category assesses your organisation's technical ability to carry out the work which you have applied to undertake. The evaluation panel are going to assess the risk of contracting the work to you by assessing:

- whether you have carried out similar types of work in terms of specification, size, duration and scope
- whether the people in your company have the right competencies and skills to deliver the project and scope

For example the PQQ will ask you to provide details of contracts where similar requirements have been delivered by your organisation. You are required to provide:

- details of the contracts
- overview of deliverables
- value-added initiatives
- locations
- start and completion dates
- resources utilised
- contract values
- client contact details (information only)
- how much of your turnover relates to the activities in this scope

## Category – past performance

This category of criteria addresses LU's need to take account of suppliers' past performance with other customers and TfL entities. Great care is taken not to exclude new or non-traditional suppliers from supply markets. The use of discretionary pass/fail criteria may help some suppliers, including those with no TfL history, to be judged on an equivalence basis, where objective and demonstrable good performance is evidenced in other markets.

## Category – health, safety and quality

This category of criteria embraces the key requirements which must be met to ensure safe working on our transport networks and as such comprise Pass/Fail scoring to ensure that no supplier is invited to tender who would introduce unacceptable HSE risk into LU.

You are required to submit information, relating to your health and safety policies and procedures. Failure to meet all the requirements of the assessment criteria will result in you not being shortlisted or awarded a contract.

LU has a responsibility to ensure that its suppliers uphold the quality standards of delivery by ensuring projects are delivered in accordance with the specification, within budget, and within required timescales. To monitor this, there is a requirement for your organisation to demonstrate your ability to maintain a consistent level of quality through the implementation and monitoring of your management systems or procedures or both.

## Category – equal opportunities

LU has the same legal obligations relating to equal opportunities as commercial businesses. It is a legal requirement to ensure that no unlawful discrimination takes place in the provision of goods and services, including any form of discrimination in the supply chain through the employment practices of contractors and sub-contractors. If you want to work with LU or any other public sector company you need to have an appropriate equal opportunities policy and be able to demonstrate that the policy is being actively monitored.

## Category – supplier diversity

This category of criteria is used to gather information and to promote TfL policies within our supply chains.

## After the PQQ is submitted

Following the closing date and time, completed PQQ will be evaluated by the commercial team supported by other subject matter experts:

- each question will be scored as indicated
- pass/fail criteria will be applied as indicated, and failure will be allocated where threshold scores for failure are indicated
- indicated weightings will be applied to scored questions to rank those PQQs with no fails
- selection rules will be applied
- a fail score will result in rejection of a submission

- participating suppliers will be notified in writing of the selection outcome

## Feedback on your PQQ application

If you learn that your application has been unsuccessful, you may ask the commercial lead in writing for feedback on your application. This feedback can be invaluable as it may flag up areas in which you may need to further develop your policies and procedures.

## Invitation to tender (ITT)

The ITT stage allows LU to assess suppliers' capability to meet the requirements of the specification. The ITT is a forward-facing review, looking at how suppliers would deliver the requirements.

Invitation to Tender (ITT) will be sent to shortlisted suppliers. This will typically contain the following information:

1. the invitation
2. requirements brief/specification/scope
3. drawings
4. works information
5. site information
6. activity schedule
7. labour rates matrix
8. pricing schedule
9. tender evaluation criteria
10. proposed form of agreement
11. terms and conditions
12. consolidated amended NEC3 contract terms
13. Z clause amendments (NEC3)
14. QUENSH menu
15. contract programme
16. contract data

The procurement process to be followed is clearly described within the ITT. It provides details on:

- format of responses
- bidders cost
- procurement timeline
- contact details

- presentations/clarifications
- compliant responses
- submission arrangements and administrative instructions
- evaluation criteria
- rejection of responses

## Tender evaluation

The ITT received will be evaluated by the commercial team supported by other subject matter experts in accordance with the evaluation criteria enclosed within the ITT. An internal tender report may be produced recording the evaluation results and before issuing 'standstill letters', where appropriate, that provide debrief information.

## Negotiation

Negotiation is not used when following open and restricted procedures. LU may negotiate with tenderers when following the competitive dialogue or competitive negotiation procedures.

To ensure fairness the LU negotiating team will be fully briefed, with clear plans, targets, boundaries and roles and responsibilities clarified before any negotiations take place.

## Contract award

The successful and unsuccessful tenderers will be informed of the outcome. If appropriate, for example if an OJEU contract notice has been issued, the statutory standstill period will be observed.

After the standstill period the contract is executed.

# Building Information Modelling (BIM)

**What is BIM?**

BIM is a methodology for creating and using information about our assets.

It requires us to put the same level of rigour and governance into creating and managing information about our assets as we do in building and operating the assets themselves.

BIM gives us the framework to achieve this. It defines specific processes for the collaborative production, use and management of digital representations of the physical and functional characteristics of a facility or asset.

This results in information models* which provide a shared knowledge resource to support decision-making throughout the asset's lifecycle from earliest conceptual stages, through design and construction, operation and maintenance and eventually decommissioning and demolition.

Information Modelling & Management (IM&M) is the preferred term for BIM within TfL as it prevents the misconception that BIM is only about Buildings.

The themes of 'Information Modelling' and 'Information Management' are separate in terms of the people, technology and process but are also integral parts with significant interfaces in the context of delivering BIM throughout the lifecycle of an asset.

**information models comprise of three parts; Graphical Data, Non-Graphical Data and Documentation.*

**What are we doing?**

We are enhancing our Management System templates, systems and standards (creating new ones where required) to align with current and emerging industry standards and best practice for BIM. This will enable projects to deliver production and handover information in line with the Government's BIM maturity Level 2.

**When will this take effect?**

We shall be rolling out BIM Level 1 capability (full compliance with BS1192:2007) during 2014

We shall then be uplifting to BIM Level 2 capability by the end of 2015

Always refer to your contract for actual requirements.

**What are the key things to look out for?**

<u>Level 1 requires:</u>

- Standard Method & Procedure (SMP)

*A document that defines how the project has agreed to create, manage and exchange information.*

- Roles and Responsibilities (in relation to information modelling and management).
  *The project must assign roles and responsibilities for managing information, as described in BS1192*

- Agreed Common Data Environment (CDE) process
  *A designated environment with a defined process used to collect, manage and disseminate all relevant information on a project. A CDE could comprise of multiple systems supporting a consistent collaborative approach.*

- Master Information Delivery Plan (MIDP)
  *A schedule of production information deliverables, identifying who is responsible for the information, when it is to be delivered and to what level of maturity.*

- Minor changes to Commercial templates

<u>Level 2: (In addition to the above Level 1 items)</u>

- BIM Execution Plan (BEP)
  *A plan prepared by the supplier to explain how the information modelling aspects of a project will be carried out*

- Further requirements and updates within the Commercial, Procurement and Legal templates

- Better defined Information Requirements.
  *"Information Requirements" means defined requirements for various forms of data relating to structure, quality, suitability etc. reflected in data standards and guides.*

# Design

London Underground (LU) has a recognised heritage of good design, which has stood the test of time and continues to provide good service to an ever-increasing number of demanding customers on a daily basis. LU expects its designers to continue this practice of good design and similarly serve the requirements of future generations.

In working for LU, designers not only need to diligently meet their own exacting professional standards, but they need to bear in mind the particular challenges of working for and delivering designs for one of the most intensely used urban railways in the world.

LU is authorised to provide and operate its infrastructure by the Office of the Rail Regulator (ORR), based upon having an accepted safety management system. This in turn requires compliance with standards which include those specific to LU. LU needs to be confident that this is being achieved (setting out to its requirements for this in S1538 - Assurance standard). For a growing number of products and standards solutions LU has already been satisfied that they meet their requirements (within defined limits) and details can be found through the Approved Products Register.

In designing for the LU environment, schemes will in some way almost always interface with pre-existing infrastructure or equipment, which may have been built to requirements or standards outside current designers' experience. Utmost care should be taken to understand the environment into which new designs are being delivered and in particular interfacing conditions that arise. These interfaces may be both physical and functional and can occur both adjoining and remote from the new design works.

Designs for LU need to take account of the operational constraints of the environment in which they are to be delivered along with similar limitations that will apply during their operation, maintenance and subsequent removal. Similarly design should endeavour to design out hazards to those building, occupying or maintaining the assets and minimise the assets whole life cost. Particular regard should be taken in respect of environmental and sustainability needs, using every opportunity to realise the incentives for doing so by for example, using items from the Energy Technology List - ETL (and associated Enhanced Capital Allowances - ECA), non-domestic Renewable Heat Incentive (RHI) and similar.

# Project Start-up

## Start-up meeting

Following the acceptance and signing of contracts, all contracts will commence with a start-up meeting organised by the commercial contract manager. They will invite all key roles from LU and the Supplier organisation to the meeting.

The start-up meeting will include engagement on the following:

### 1. Introductions

It is important the Supplier organisation field key representatives that will be responsible for delivery. The commercial contract manager will:

- chair the meeting
- document the minutes
- introduce the representatives and their role in delivery

### 2. Key objectives of meeting

The key intention of the meeting is to:

- meet the project team and representative
- ensure both parties have a common understanding of the expectations from the contract and each other
- air any issues or concerns and agree a way forward
- provide any assistance and guidance, for example with logistical welfare or access to information matters.

### 3. List of contract documentation to date and arranging access to required information

The commercial contract manager will confirm what documents have been sent to you. The aim is:

- to recap on what information has been supplied
- an opportunity for the supplier to confirm any particular needs or clarification required.
- to provide you with any further or additional updates to previously supplied information
- to provide any additional information relevant to the work.

The project manager may also provide templates to capture the requirements described in the contract, such as the HSE performance reporting template.

### Arranging access to required information

Access to required information will be supplied and shared with you through the agreed mechanism contained in the contract document. Details on how to get access to the LU Management system is described below. If access to SharePoint; Livelink or Collaboration site is required the Project Manager will lead on arranging the access. Please provide the Project Manager with the names of individuals that require access.

## Electronic Drawings

Drawing renditions and the Computer Aided Design (CAD) files used to produce them (drawing definitions, model files and composite models) are stored by LU electronically.

The requirements for data contained within CAD files and associated metadata is documented in LU CAT 1 Standard, S1037. This standard applies to CAD files captured or created by LU, or on behalf of LU by its suppliers.

During the lifecycle of a project the following are created:

- **Production drawings**, created to capture data and information that represents the physical (may also include functional) characteristics of an asset during the design and construction phase.
- **As-built drawings**, created to record information about an asset's physical and functional condition prior to project close-out and/or after all testing, commission and snagging is complete.

All formally issued production drawings and as-built drawings must be held in the appropriate LU system

Typically LU may provide access to drawing renditions and CAD files through the following means:

- Electronic tendering tools (such as an extranet or electronic portal)
- Sharepoint or Livelink
- Portable media drive

The following are specific terms used by LU in context of electronic drawings:

- **As-Built Drawing** - Drawing Rendition or Printed Drawing illustrating an asset's actual physical and functional condition post construction.

- **Composite Model** - CAD file that contains one or more model files, as references, for the purpose of spatial coordination. There is no 'live' content within the file. Is a component part to the Drawing Definition.
- **Computer Aided Design (CAD) files** - Electronic file produced by a proprietary CAD application (such as MicroStation, AutoCAD, etc).
- **Drawing Definition** - CAD file created solely for the purpose of creating a Drawing Rendition or Printed Drawing. The graphical content of the drawing is contained in other CAD files (e.g. Model Files) which are attached as references. Only annotation and dimensions are 'live' within the Drawing Definition file.
- **Drawing Rendition** – electronic file, in an immutable format such as PDF, derived from (as an exact copy) a Drawing Definition.
- **Model File** - CAD file which consists of geometry that represents the physical (may also include functional) characteristics of an asset (or group of), produced at a scale of 1:1. Is a component part to the Composite Model, and/or Drawing Definition.
- **Printed Drawing** - Static, hard-copy document, derived from a Drawing Definition or Drawing Rendition.
- **Production Drawing** - drawing rendition prepared for the purpose of illustrating the design, (e.g. size, shape, location and construction) of new assets or modifications to existing).

**Traffic Controller's Diagrams**

For LU works involving alteration to track layout or traction power or signalling:

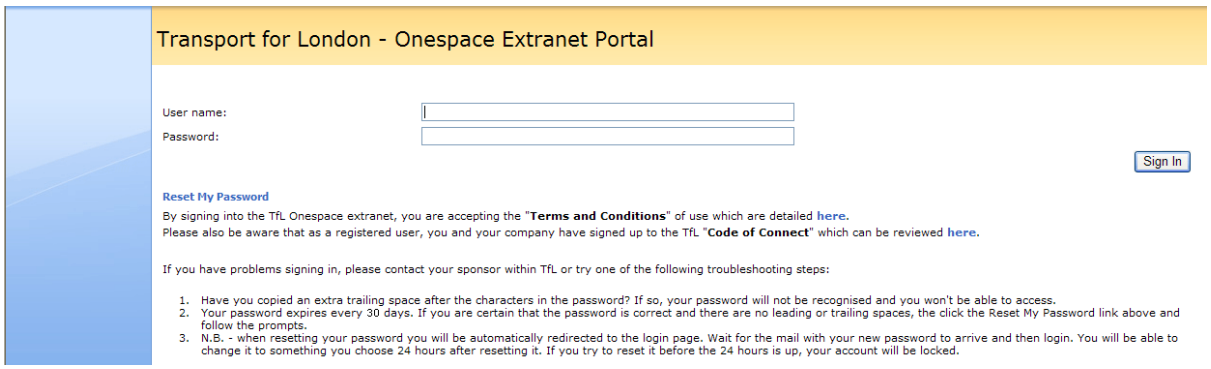
- the Traffic Controller's Diagrams (TCDs) provide vital information in the form of a layout plan showing two information sets
- the upper part of the TCD displays a layout plan of the signalling arrangements and the lower part shows the sectionalisation and switching arrangements of the traction current. Both parts reflect the same area of the network.

If the nature of your work requires this information, it will be included in the pre-construction information. Any updates to previously supplied information will be provided at the project start-up meeting. Controlled copies are also held by the station supervisor.

**Access to the LU Management System**

If you require Access to LU's Management System for Rules books; Standards; Forms and templates:

- you must request a login by sending an email to managementsystemaccess@tfl.gov.uk and provide the following information in the email:
    - first name
    - last Name
    - company
    - email address
    - telephone number
    - date requested
    - name of either one of the following LU representatives: LU sponsor; project manager or commercial contract manager
    - LU programme or project name or contract name
- you will receive an email with a link to the management system registration page. Click on the Register link, you may be asked to enable ActiveX control, follow the instructions on the screen if required
- you will then be directed to a registration screen. Select and enter a password. Your password must be eight characters long and needs to include a special character, for example '@'. Also enter a password recovery question and an answer you will remember
- you will then be directed to a login screen, but do not login immediately. If you try to login at this point, you will be told the server does not recognise your login - do not try to reset your password to solve this
- you will receive an email saying that your request is being evaluated
- you will then receive this email confirmation that you can login using your user name and password. Once logged in you will have access to the LU Management System Document Library



## 4. Description of proposed work

The process of requirements development is fundamental and it defines the scope and objectives of a programme or project. The project manager will take the opportunity to explain how the requirements were developed at the meeting. They will ensure all parties understand the scope and objectives of the programme or project and ensure there is total clarity and agreement on what the proposed work is intended to achieve

## 5. Key personnel and contact details

The commercial contract manager will be the main LU contact for matters relating to the contract administration.

The LU project manager will always be the main contact for you post Contract award for the delivery of the work. The LU project manager will present:

- the project organisation chart, names of all the project team members and their roles and responsibilities. You will be given a hard copy of the project team directory
- the communication and escalation route

You must always take instructions on how to proceed from the LU project manager if there is any confusion or conflicting messages within the project team.

You will interface with many roles during design, mobilisation, delivery and project close - these roles are bulleted below and their interface with you is summarised in the "Who's who in LU" section:

- programme manager
- project manager
- project engineer
- head of discipline
- operational representative
- asset performance representative
- HSE manager
- commercial contract manager
- subject matter experts

## 6. Site compound and access:

The project manager will cover the following:

- worksite access and security
    - Rule Book references to access to the network

    - London Underground Construction Access System (LUCAS) is the membership and Smartcard to allow you access and work on LU infrastructure.
- welfare facilities
- permits and licences
- site visits

**Worksite access and security**

The LU project manager will emphasis that controlling access to the infrastructure is a part of LU's statutory duty as an infrastructure manager.

Access arrangements aim to ensure that suppliers or individuals maintain safety risk to levels that are as low as reasonably practicable (ALARP) when accessing the LU network to carry out their agreed work.

Access to the LU network is explained in the following Rule Books:

- access to LU Station premises is explained in Rule Book 10
- access to depots is explained in Rule Book Support Document 'Depots and Siding'
- access to the LU Track and the protection required to permit this is explained in the following Rule books:
    - Rule Book 14 - Possession planning and management
    - Rule Book 15 - Possession protection methods
    - Rule Book 16 - Going on the track in Engineering Hours
    - Rule Book 17 - Managing access to the track in Engineering Hours
    - Rule Book 20 - Engineering staff - Traffic Hours protection
    - Rule Book 21 - Personal safety on the track
- for access to the track where Network Rail rules apply, Network Rail Protection Standards must be complied with. LU will allow the Supplier's personnel access to reach the site locations via the railway using an authorised route, except where there is public access.
- applying for the various types of Access and Operational Assurance Notification (OAN) is summarised in the mobilisation section of this handbook

**LUCAS smartcard**

LUCAS is the membership and smartcard scheme for engineering and construction workers on LU. It ensures that anyone working on LU infrastructure has the necessary understanding on all access, health, safety and environmental issues affecting LU.

The LUCAS team work closely with London Underground (LU) Security and the British Transport Police to ensure only authorised people receive a LUCAS smartcard.

**How do I apply for a LUCAS smartcard?**

To get a LUCAS smartcard to allow you access and work on LU infrastructure, you will need to book and pass an Access, Health, Safety and Environment (AHS&E) test.

The AHS&E test is computer based and taken at our offices in West Kensington. You will need to download and study the distance learning material before attending your test. You can download the distance learning material for free from our web portal at https://lucas.tfl.gov.uk.

It is important that you have all the necessary enrolment documents with you on the day of your test. Without them, you will be turned away. You can view the documents you will need to bring here before booking your test. Please contact us before booking your test if you do not have all the required documentation.

**Welfare Facilities**

You must not assume that station and depot welfare facilities can be used. Discuss your welfare facilities requirements with the LU project manager or LU operational task manager, who may be able to arrange access to these facilities.

**Permits, licences and certificates for supplier's staff**

You must confirm what permits, licences and certificates have been already obtained and get any assistance required from the LU project manager.

Access is restricted to authorised personnel who have the relevant LU specific permits, licences and certificates. These may include:

- London Underground Construction Access System (LUCAS) is the membership and smartcard to allow you access and work on LU infrastructure
- movement of materials
- storage of materials licence before you store items and equipment on any part of the Operational Railway
- hot work and fire hazardous work operations
- access to sub-stations, electrical switch rooms, equipment rooms and signal equipment rooms
- working in the lift or escalator environment
- access to train cabs

- access to potentially hazardous environments, such as equipment rooms or machine chambers

The LU project manager will reiterate that you must:

- hold a record of all licences, permits and certificates issued to your staff by LU or accredited training providers
- allow sufficient time to ensure that its staff are properly trained and registered before starting work on the contract

**Site Person in Charge in Engineering Hours with Protection**

By May 2015 all Site Person in Charge (SPC) need to hold their Protecting Workers on the Track Engineering hours (PWT-EH) license for all work on London Underground (LU). The PWT-EH training is an updated and expanded version of SPC training which now includes protection in Engineering hours.

Please read a short guide to training a site person.
http://tfl.gov.uk/cdn/static/cms/documents/a-short-guide-to-training-a-site-person-in-charge-with-protection.pdf

**How do I organise a site visit?**

Speak to your LU project manager who will assist you in arranging any site visits.

If you will be undertaking surveys (non-intrusive as well as intrusive) you will require a method statement and risk assessment for the activity.

## 7. Work streams, Programme, Milestones, Deliverables and performance monitoring regime

Your contract will outline any project documentation that suppliers need to provide or contribute to; for example the Mandatory Asset Information Deliverable (MAID), which includes health and safety file requirements. Your LU project manager will provide further details on what is required.

LU is the client for all work and projects that LU originates (at inception).

The LU project manager will communicate the reporting arrangements - typically this information may include periodical progress on the following:

- health, safety and environment performance
- progress, planned versus achieved
- milestones achieved or forecast
- risks and issues
- reliability
- Lost Customer Hours (LCH) and engineering overruns
- financials

- upcoming integrated assurance reviews
- red / amber / green (RAG) status reporting

## 8. Methods of working, Closures, Enabling Works

Gaining access to the operational railway is an activity requiring significant effort across LU to ensure best use of any closure or other types of access. Therefore detailed planning and coordination of access, possessions and closures must take place as early as reasonably possible. These arrangements must be captured in the access plan and clearly communicated to the project team. For more details, refer to the Access section.

## 9. Applicable work processes

Please speak to your LU project manager on any LU processes that you require clarity or assistance on.

## 10. Health, Safety and Environmental impacts of the work and precautions and controls related to the work

You must demonstrate compliance with LU standard – S1552 Contract QUENSH (Quality, Environmental, Safety and Health) conditions, set out and agreed in the contract.

**The following will also be covered in the start-up meeting:**

## 11. Communication

With the LU project manager you will agree between you the practical arrangements for co-operation and communication. The LU project manager will also need to:

- know how you communicate site management and control arrangements to your employees and sub-contractors and how you ensure that they are understood
- know how you will ensure that anyone working on the site whose first language is not English will understand safety instructions
- confirm any arrangements for communication where another LU or TfL contractor or supplier shares the work site

## 12. Design issues

The LU project manager will reiterate that the delivery of the works must be in accordance with the design, legislation, and LU category 1 standards. It's an opportunity for you to raise any issues.

## 13. Assurance and acceptance

Safe systems of work, temporary works proposals and other relevant site documentation for all construction and installation works, including the assessment and control of environmental impacts, are reviewed by LU on a risk-based approach. Those with the potential to impact LU staff, customers, operations or the public are more likely to be reviewed.

The suitability and sufficiency of the documents reviewed and the overall performance during delivery will also influence the extent of review that LU undertakes to gain assurance.

**The following will also be covered in the start-up meeting:**

14. Change control process & Compensation Events
15. Sub-contractors and suppliers
16. Review meetings
17. Any other business
18. Date of first Review Meeting

# Who's who in LU

**LU programme manager is the senior manager responsible for:**

- leading and managing a programme from strategy to successful delivery, through effective coordination of the programme's projects, their interdependencies and risks
- as part of this activity they may visit your worksite to review progress and performance. They are also part of the escalation process where issues cannot be resolved at a project level

**LU project manager is responsible for:**

- managing the project on a day-to-day basis from a LU perspective
- reporting project progress to stakeholders
- leading the LU project organisation: assigns roles, responsibilities and deliverables for all team members
- managing and administrating supplier contracts
- managing the handover of deliverables from the supplier

**LU project engineer is responsible for:**

- acting as the central reference point for technical delivery excellence and all engineering assurance output
- maintaining a close view of all the engineering disciplines deployed on a programme or project and acting as the lead in coordination of LU engineering disciplines working on the project
- ensuring that design interface and design integration issues are satisfactorily addressed
- ensuring that validation and verification activities are undertaken so that the delivered system works as intended
- managing the assessment and control of engineering risk and its mitigation
- managing the inspection and test process
- supporting the handover process in partnership with the programme or project manager.

**LU head of discipline is responsible for:**

- providing technical advice support to ensure project scopes are well defined, technical risks are identified and the level of deliverables required is established at the outset
- supporting project delivery as the asset discipline technical authority

- managing the technical content of the relevant LU standards for their specific discipline and reviewing requests for concessions to standards.

**LU construction manager is responsible for:**

- providing advice to the LU project team on buildability of the design
- assessing the safety and practicality, or otherwise, of contractors' and other parties' proposals which may affect the operational railway and as required by the CDM Regulations
- monitoring the contractor's performance, programme and the compliance of their works in accordance with the design and specification
- ensuring that adequate planning and coordination of approved access, possessions and closures is in place with the contractor(s)/sub-contractors(s)
- ensuring appropriate consultation occurs during the construction works with the appropriate statutory authorities including the Health and Safety Executive (HSE) and London Fire and Emergency Planning Authority (LFEPA)
- ensuring that appropriate inspection, test and handover documentation is produced and assisting the project engineer in the process.

**Operations representative is responsible for:**

- providing LU's operational interface with the programme or project
- defining the operational requirements that must be satisfied by the programme or project and ensuring these requirements are being met throughout the project lifecycle
- ensuring that LU Operations is ready to operate the outputs of the project, including any training requirements
- accepting the outputs of the project into operation

**Asset Performance representative is responsible for:**

- providing LU's maintenance interface with the project
- defining the maintenance requirements that must be satisfied by the project and ensuring these requirements are being met throughout the project lifecycle
- ensuring that LU is ready to maintain the outputs of the project
- assisting with the acceptance of the outputs of the project into maintenance

**HSE adviser is responsible for:**

Ensuring that LU and its suppliers comply with relevant health, safety and environmental (HS&E) legislation and LU's standards in the delivery of the project.

**Subject matter experts** are people in the business who have expert knowledge in a particular area related to the project. They are tasked with helping to ensure that the delivery of a product or project is aligned with business requirements, usually at a detailed technical level. The nature of their expertise as well as their level of involvement may vary depending on project requirements. Some typical examples of subject matter experts you may meet on London Underground projects are:

- asset engineers
- systems engineers
- human factors
- software systems

You may meet these people as they carry out validation and verification activities to ensure that the product meets business requirements and specifications.

**Other stakeholders:**

You may also see meet other stakeholders for example:

- Regulators
    - ORR for any projects in the railway environment
    - HSE for any construction work outside the railway environment
    - Environment Agency
- Councils for approvals, eg Section 61 for noise and vibration
- Utilities companies - permits/consents; diversions to enable construction work
- Neighbours (residents, shops, office etc) who may be affected by the work. LU/TfL communication teams usually assist with letter drops, but for larger projects the stakeholder management usually sits with the supplier
- As a consequence of the high-profile nature of LU and the scale and complexity of the works that we undertake, our works attract the attention of politicians, the media and other organisations who wish to benchmark or learn from our experience. Your works may therefore receive visits from these parties. Such visits will be coordinated via the LU project manager who will liaise with you to make the necessary arrangements.

# Powers of regulators

Some suppliers may not have had much experience of interfacing with regulators. The nature and complexity of our environment means that construction and maintenance activities carry risks of concern to our regulators.

While working on or near the LU network, you may interface with the Health and Safety Executive, Office of the Rail Regulator and Environment Agency. All regulators have similar powers to:

- **Enter** any premises
- Take the **police** with them
- To take with them any other authorised person
- To make an examination and investigation
- To require that you leave premises or parts therein undisturbed
- To take measurements, photographs and recordings
- To take samples
- To dismantle
- To take possession or detain
- To require any person to give information/statement
- To require the production of, or inspect and copy, documents
- To require facilities and assistance
- Any other power necessary to uphold the law

# Mobilisation and delivery

## Context

What's different about construction in the LU environment?

Working on the Railway means making the best of scarce resources:

- access
- space

It is rarely a greenfield site:

- some work will be done behind hoardings, but
- much will be done when the trains have stopped running, the power supply turned off and stations are closed:
    - Work starts as customers leave or trains stop
    - Work finishes just before stations open or trains start
- it is unusual for the service to stop to allow work to take place; special arrangements need to be put in place

Sites are often difficult to get to:

- moving materials to a site on the tracks on a nightly basis is common
- getting materials to a station platform may mean delivering them to Central London between midnight and six o'clock and carrying them through the station gates, you will have to make special arrangements to use the customer's escalators and lifts

There are hazards particular to the railway environment that must be understood:

- these present particular risks to people working on or around the railway
- because customers can be close by, risks from construction work must always be understood and properly controlled
- proper mitigation of these risks is paramount and LU will always check that these mitigations are in place

There are particular laws that relate only to the way we operate the railway and work on it:

- there are rules about drinking alcohol and taking certain drugs which are very strict
- we do not deviate from the way we operate stations and trains except under exceptional circumstances
- there are particular types of PPE that we must wear

- there are only certain construction materials we can use
- we must know precisely what we are storing and where
- there are things we cannot use eg petrol

This section contains context and guidance on topics raised by the supplier forum:

- safe system of works
- access
- asbestos
- space allocation
- hot works
- storage of materials
- movement of materials in lifts and escalators

# Safe system of work in brief...

- As a supplier you will produce method statements for your workforce as part of a safe system of work (SSoW)
- A SSoW identifies what work is to be carried out and how it will be done safely
- London Underground does not mandate templates
- London Underground will check your SSoW:
    - on a risk basis, and
    - informed by the assurance you provide

# Guideline on safe system of work

A SSoW must:

- identify what work is to be carried out and details how it will be done safely
- be task and site specific, for example show how a job can be done safely in a particular environment. If efficient, you may attach task or site specific instructions and risks to a generic safe system of work
- be based on a risk assessment including any required specialist risk assessments such as Control of Substances Hazardous to Health and Manual Handling

SSoW risk assessments must:

- take into account risks to the Operational Railway, London Underground customers and staff  For any assistance required speak to the LU Operation Task Manager or discuss with LU HSE manager
- clearly demonstrate how Health, Safety and Environment risks are mitigated to a level that is As Low As is Reasonably Practicable (ALARP).

If you are unsure of how to best produce a SSoW or don't believe that your own format or processes are suitable for work on LU, you may use the methodology or template suggested by LU's Supplier Forum. Copies of the templates can be obtained from LU's Approved Products Register at www.lu-apr.co.uk by registering and then searching for SMoW or Safe Method of Work or selecting product ID 479. Just to reiterate - this template is **not** mandatory.

## Does LU need to see your SSoW in advance?

At the start of the contract, the LU project manager will want to see your proposed schedule of SSoW to be used throughout the Construction Phase.

Over the course of Construction Phase, the LU project team will carry out checking activity based on the risk level and criticality of the works.

If asked for a SSoW this should be sent to LU in advance of the works - usually 28 days beforehand. Upon contract award, you will be given information on how Short Notice Changes to SSoW will be managed.

Timescales for reviews may vary depending on the works. Please check your Works Information - HSE Requirements section (Detailed Safe Systems of Work) for details on your project.

All comments from the LU project team will be communicated to you via the LU project manager, along with the timescales and process for closing out comments.

## Does LU have any specific requirements on how the SSoW should be used on site?

LU does not require anything out of the ordinary. It is expected that as a Supplier you will:

- Communicate the content of the SSoW to your workforce, so that everyone is aware of the risks and knows how to work safely
- Put sufficient supervision and monitoring in place to ensure that your workforce comply with the safe working methods and that controls are being implemented
- Keep a copy of the SSoW on site and provide a copy to:
    - members of the LU project team who are authorised by the LU project manager to see it or
    - HSE managers

# Access in brief...

- As a supplier when looking to book access to the London Underground Infrastructure you should plan your work in advance as access and associated critical resources may:
    - be limited
    - require long planning timescales
    - require coordination with Network Rail
- Allow time for the consultation and stakeholder engagement process for planning access to ensure disruption to customers and staff is minimised
- Types of access working hours:
    - traffic hours
    - engineering hours
    - both
- Types of access:
    - general access
    - planned access
- Types of closures:
    - minor closure
    - lifts and escalators closure
    - lifts and escalators extended closure
    - platform access closure
    - station refurbishment closure
    - major closure
- An Operational Assurance Notification (OAN) will be required for all works that:
    - are likely to impact on station or train operations, or
    - require access or egress through a station during station preparation time

# Types of access working hours

To make use of all the available working time and ensure work is done safely at all locations. You can request access during:

- traffic hours
- engineering hours
- both

**Traffic Hours** access is where you require access whilst a station is open to the public and/or trains are running/traction current is on. Working during traffic hours will give you a longer working window. However, the work must not impact on the safety of staff or customers, or be detrimental to the operational railway

**Engineering Hours** access is where you require access whilst a station is closed and/or trains are not running/traction current is discharged.

You should contact stationaccessteam@tfl.gov.uk who can advise on whether your work can be accommodated in traffic hours or can extend your access window during engineering hours.

# Types of access

The Access team will provide an access number based upon the content of the request submitted.

General Access is a booking type for both track and stations. It is a new category which has replaced Generic Access.

If your work involves repetitive activities that are non-disruptive or non-intrusive in nature across a large number of locations, the Access team will review your request and can issue a single access number that could be valid for up to a year.

The Access team can also issue tailored General Access for individual sites, shorter projects or a number of different work streams that are non-exclusive and non-restrictive in nature.

Depending on your work, you may be given access for:

- traffic hours
- engineering hours
- both

Any work that cannot be done under a general access booking needs to have **planned access**. Planned access bookings are categorised as:

- **exclusive access** - works that require exclusive access to the track or station which prevents other works being done at the same time

- **restrictive access** - works that require restrictive access to the track or station which may prevent other work being done
- **non-exclusive and non-restrictive access** – works that do not fit the general access criterion or are required to be more visible to other requesters and the business

Planned access is required if your booking needs to be published in the weekly Look Ahead or Engineering Notice for any of the following reasons:

- Asbestos Exclusion Zone
- Asbestos site
- Motorised trolley
- Exclusive access
- Wheels free
- Signalling integrity
- Dust suppression

# How to book access

If you need to do work on London Underground infrastructure you must complete an online request via the Access portal

Suppliers will be given access to the online portal later in 2014.

If you do not yet have access to the online portal you must complete an Access request form (F0259) and email it to the correct access email address.

Only submit your request to ONE mailbox as your application will be forwarded to the correct team on your behalf where there is doubt.

| Type of work | Email address |
|---|---|
| Mainly station based<br><br>Although some track access my be needed for protection purposes, or where there is a requirement to work in platform grounds only | AccessRequestsStations@tfl.gov.uk |
| Mainly track based<br><br>Although some station access may be needed to get to the worksite | AccessRequestsTrack@tfl.gov.uk |

You must contact the Access team if you:

- need to cancel your access request
- change your access request
- have a query about your access request

# Booking access timescales and documentation

For work on:

- stations, apply **21 days** before you wish to start work
- track, or if you need possession during engineering hours, you need to apply **28 days** before you wish to start work

You may be able to book under these timescales but your request may not be approved if other works have already been authorised.

You must submit other documentation with your access request form if the work:

- requires an Operational Assurance Notification (OAN)
- requires a possession, submit an approved possession plan
- may disturb asbestos that might be present on the LU network

Details of the Operational Assurance Notification will be recorded in Site Access Booking Railway Engineering (SABRE) database.

# Operational Assurance Notification

If you are responsible for arranging access, you must obtain Operational Assurance Notification for all works that:

- impact on station or train operations, or
- require access or egress through a station during station preparation time

When applying for Access via the Access Portal you do not need to complete a separate OAN form as this will be generated by the Access Team using the information you enter into your work request.

If you do not have access to the Access Portal then you must complete an OAN form and e-mail it to StationAccessTeam@tfl.gov.uk.

You will receive notification via e-mail of whether the OAN has been approved within 5 working days of your submission. Approved OANs will be issued with a unique number.

# Closures

There are six types of closures outlined in the Access Code (RP2), please see below for brief descriptions of each type, along with their associated contractual deadlines.

1. **Minor Closure**: is defined as the closure of a facility between close of traffic on a Friday to start of traffic on a Monday or between 21:00 and 06:00 Monday to Friday. Bank Holidays are also treated as weekends.

    - All minor closures for track and stations should be submitted **222 days** prior to commencement of work
    - However, closures for stations listed in the Station Facilities Exception List should be submitted **90 days** prior to commencement of work

2. **Lift and escalator closures** are defined as the removal, installation or maintenance of the following assets:

    - escalators
    - lifts
    - moving walkways
    - fixed stairs
    - route-ways
    - cross passages

    - Providing it does not require a platform or station closure (full or partial) as this would become a major closure
    - Lift and escalator closures should be submitted 90 days prior to commencement of work

3. **Lift and escalator extended closures** are defined as the maintenance of the above Lifts and Escalator assets which require extended engineering hours between 23:00 and 06:30. They must not cause any disruption to the public and be requested in accordance with pre-arranged work programmes.

    - There's no deadline for submitting lift and escalator extended closures however, they need to be submitted well in advance to allow for accurate assessment and publicity.

4. **Platform access closures** are used for the storage of materials and equipment on platforms during traffic hours. This is done to reduce time spent transporting materials and equipment through station at the start and end of each shift.

    - platform access closures should be submitted 90 days prior to commencement of work

5. **Station refurbishment closures** are only to be used for refurbishment works. It allows a six-hour shift to take place during traffic hours or by extending engineering hours. However, if it is to take place during traffic hours it must have no impact on customer service.

    - Station Refurbishment closures for stations not listed in Appendix 6 (see Supplier Handbook document archive) should be submitted **222 days** prior to commencement of work
    - Station Refurbishment closure for stations listed in Appendix 6 (see Supplier Handbook document archive) should be submitted **90 days** prior to commencement of work

6. **Major closures** are granted at London Underground's discretion. Major closure as any closure which may result in facilities not being available for any period of time between 06:00 to 21:00 on any business day.

    - Major closures should only be booked if the closure can't be classified as one of the other closure types.
    - There is no deadline for submitting major closures; however they need to be submitted well in advance to allow for proper assessment and publicity.

# Asbestos in brief...

- Asbestos can be found in many locations on London Underground property
- Asbestos is not dangerous unless it has been damaged and asbestos fibres become airborne
- As a supplier you must ensure that you plan, set up and manage a safe system of work to deal with known asbestos hazards and risks from unknown asbestos. If you do not know, in advance, whether you will encounter asbestos, then plan your work as if it will happen!
- You must know what to do and who to call if something goes wrong before you start any work
- If you come across asbestos that you think has been damaged:
    - stop work in the area immediately
    - secure the area, do not let anyone near it
    - immediately inform your supervisor

# Managing asbestos

In accordance with the Control of Asbestos Regulations 2012, Duty Holders (in this case London Underground) must:

- assess whether asbestos is present and manage the associated risks
- inform all personnel who need to know including you as a supplier
- ensure planned precautions are effectively implemented.

London Underground has an asbestos register - it is the record of all known asbestos information everywhere on London Underground. The information has been built up from surveys carried out for London Underground. This asbestos register is accessible to everyone who needs it, regularly updated and will be made available to you if you intend to carry out any intrusive work.

**Beware** how asbestos can be typically damaged:

- unrestricted work by contractors
- asbestos removal activities
- uncontrolled drilling or cutting
- uncontrolled cable pulling
- deteriorating condition or weathering

**Check** if asbestos exists within the proposed working environment:

- the Pre-construction Information Pack will include information about the quantities and the types of asbestos present and will contain any available survey results
- where there is no information regarding asbestos, then London Underground will instruct you on how to proceed

**Plan** and manage the work, particularly set up an appropriate Safe System of Work and work to it.

**Do** tell your supervisor and/or project manager if you suspect asbestos is present on any part of the work site.

**Act**: know what to do if you think asbestos has been disturbed or exposed:

- stop work in the area immediately
- secure the area, do not let anyone near it
- immediately inform your supervisor
- as an employer you must keep your own records of any potential asbestos exposure to your employees
- disturbances of asbestos must be reported to London Underground if :
    a) the presence of asbestos was unsuspected and unknown, or
    b) the Safe System of Work that was in place for managing any known asbestos at the work location was NOT followed
- disturbance of asbestos does not need to be reported to London Underground, where the presence of asbestos was previously known and was managed in accordance with the agreed Safe System of Work

For more information on asbestos contact your LU project manager or LU HSE Advisor.

# Space allocation in brief...

- Space allocation is a means of reserving space for a possible specific use. This process provides:
    - facility for agreeing and recording an allocation of space
    - forum for achieving solutions if there are competing requirements
- Approved space allocation must be granted before most new assets are installed on operational property.
- Applications for space can be made up to three years in advance, although this period can be extended for major projects.
- As a supplier you will need to use the space allocation process when you need physical space on operational property including:
    - Stations
    - Non-station operational premises
    - Some depot areas
    - Track
- As a supplier you will need to use the space allocation process when you need physical space on operational property for:
    - New assets, eg fixed or moveable plants, equipment, fixtures and fittings, conducting media, cables, trunking and pipes
    - Office or works accommodation
    - Creating an area to store materials
- Once you have established you have a need for space, you must:
    - Identify an area and size of space required
    - Survey the station or track for suitable space and contact the landlord for local knowledge
    - Complete an Application for an Allocation of Space (see Supplier Handbook document archive)
- Ensure you check all drawings before submitting, they must:
    - Be marked up to show where and how the space will be used (usually on a Station Layout Plan)
    - Include Cable Management System and other critical space allocation requirements
    - Include cables or pipe where appropriate
    - Include the three-dimensional height
    - Indicate if equipment is to be installed on walls or ceiling
    - Include photographs if available
- Ensure the impact of the required asset is understood and that the installation will meet standards.
- Space is at a premium on operational property. Check the space allocation application and ensure the amount of space requested is

limited to your proper needs and does not deliberately exceed those needs. The consequences of applying for an insufficient allocation of space (eg to allow access for maintenance or for the removal of assets) is the responsibility of the applicant.

- You must email the completed space allocation application as a Microsoft Word attachment to the Space Allocation Representative together with any drawings and photographs attached as PDF file(s). The emailed file must be no larger than 8MB.

# Space allocation representative

The space allocation representative will:

- check if the space has already been allocated
- check for a potential clash of use with other applications
- register the application in the database and assign a unique reference
- circulate the application form to designated stakeholders and to other relevant discipline engineers Forward to the applicant any queries raised
- the applicant must respond to issues raised in a timely manner in order to minimise delay
- after a 10-working day consultation period, the LU space allocation representative will advise the applicant if the application has been approved or rejected. If the applicant wishes to appeal the decision, they must contact the space allocation authority.
- a quicker Fast Track option is available which reduces the review time to five working days - this is predominantly for applications that will have a minor impact and have already been agreed by the Landlord. The Space Allocation Authority will be able to assess the application to see if it meets this criterion.
- further details on space allocation can be found in London Underground’s Category 1 Standard S1472 Allocation of Space on Operational Property

# When is a space allocation application not needed?

The Category 1 Standard - Allocation of Space on Operational Property does not apply to following circumstances:

- 'Like-for-like' substitution of an asset within operational property. A 'like-for-like' substitution of an asset is where the replacement asset will be:
    - located in the same place as the original asset
    - requires the same or less space as the original asset
    - performs the same function as the original asset
- head office accommodation properties (ie LU office premises not located within operational property
- train maintenance depots (except those parts occupied by LU). Depot applications may however be circulated to the business for information purposes, although approval for any allocation or installation will need to be sought from the Depot Manager
- existing LU commercial units (if it is proposed to provide new retail accommodation in an area currently allocated for non-retail use eg operational areas, then space allocation will apply)
- any premises, land or buildings in relation to which LU has any legal or equitable interest adjoining or neighbouring operational property
- space leased to contractors, for example to Private Finance Initiatives

# Contact details

For more information on LU Space Allocation Authority contact svcspaceallocarchive@tfl.gov.uk.

# Hot working in brief…

- As a supplier you must apply for a hot works permit (see Supplier Handbook document archive) for all 'Hot Work' activities including the use of:
    - gas and electric welding and cutting equipment
    - blowtorches and hot air blowers
    - tar boilers
    - grinding wheels and cutting discs
- Hot working can take place during engineering hours or traffic hours
- The following approved documents must be sent with the hot works permit application:
    - safe system of work (method statement)
    - risk assessment with any specific fire extinguisher requirements
    - isolation of fire protection if required
    - temporary exemption if required
- You may need to ask for a temporary exemption if your work affects parts of the Fire Precautions (Sub Surface Railway Stations) Regulations 2009. If so you will need to send this with your hot work application.
- If approved, hot works permits are only valid for a maximum of one calendar month
- The original, valid hot works permit must be:
    - displayed at the worksite
    - shown to station staff
    - shown to others (previously identified by the LU project manager) on request
- You may need other specialised permits, if these apply to work at a particular site, as well as a hot works permit
- Only the work detailed on an approved permit can be carried out on the site
- A fire watchperson must:
    - be present during hot working process
    - carry their certification of authorisation
    - have their arrival and departure recorded in the location log book as well as the station log book at stations
    - carry a handheld radio
    - carry out fire safety checks before allowing hot working to start

    - remain on watch in the area for one hour after the completion of the work or until all fire safety systems that were isolated have been reset
- The Site Person in Charge must record who the fire watchperson is in his personal log book
- The minimum fire equipment requirement on site is:
    - 2 AFFF extinguishers (9 litre)
    - 1 CO2 fire extinguisher (2 kg)
    - 1 fire blanket
- Good housekeeping is essential to ensure that:
    - fires are unlikely to occur
    - if they do occur, they are likely to be controlled or contained quickly, effectively and safely
    - if a fire does occur and grow, everyone in your premises is able to escape to a place of safety easily and quickly
- Further details on hot works can be found in Best practice for staff undertaking 'hot work' (see Supplier Handbook document archive)

# Hot works permit

As a supplier, you must complete and submit a hot works permit application (see Supplier Handbook document archive) to carry out hot work activities. The following approved documents must be sent with the application:

- the Safe System of Work (method statement)
- risk assessment with any specific fire extinguisher requirements
- isolation of fire protection if required
- temporary exemption if required

A hot works permit will not be issued until approval has been given for isolations or temporary exemptions, if they are also needed.

A hot works permit is valid for a maximum of one calendar month. You will need a new permit if the work lasts longer. Each separate location must have a separate hot works permit.

The original copy of the hot works permit must be stamped in red to prove it is valid. Do not alter the permit in any way as this will invalidate it.

Each hot works permit must be distributed as follows:

- original (stamped in red) - displayed at the worksite or, if working on the track, carried by the fire watchperson
- copy - landlord manager
- copy - competent authority for issuing hot works permits

# Requesting an isolation of fire protection systems

As a supplier, when asking for an isolation, you must consider whether the application will affect the interests of anyone else that you know will be working in that area and if it does, agree appropriate action with them before submitting your application.

For all areas on stations, the relevant Group Station Manager must be consulted and give permission before applications for isolations are made.

You must ask for an isolation as soon as you know you need one, and the absolute deadline is 15:00 for an isolation required at the close of traffic on that day.

The Site Person in Charge at a site where a request for an isolation has been agreed, must:

- confirm with the Station Supervisor that the requested isolation is in place before starting work
- agree with the Station Supervisor a time for returning the equipment to normal operation after all work has finished
- tell the Station Supervisor details of the work being undertaken according to the station works plan
- in an emergency, the isolation of equipment must be arranged directly with the Fault Report Centre

# Hot working during engineering hours

Flame cutting, disc cutting, welding, grinding and other hot working processes can only be done during engineering hours with:

- an authorised hot works permit
- a fire watchperson present

# Hot working during traffic hours

Flame cutting and other work with flames can only be undertaken during traffic hours if all the following conditions are met:

- in an emergency
- with the agreement of the competent managers
- with an authorised hot works permit
- with a fire watchperson present

Disc cutting, welding and grinding can only be undertaken during traffic hours if all the following conditions are met:

- if the work is suitably enclosed
- with an authorised hot works permit
- with a fire watchperson present
- if any flashing or smoke does not affect or distract train operators, passengers or staff
- if it does not activate any alarm system

Be aware that when fire protection or detection systems are isolated in traffic hours and hot working has taken place, the appropriate landlord representative eg Station Supervisor will undertake an hourly fire inspection of the isolated area until the fire protection system is reinstated.

If you need to isolate smoke detection in any type of machine room, then the fire watchperson must be there all the time.

If there is a break in the work, arrangements must be made for the fire protection or detection system to be reinstated during this period or for an inspection of the isolated area to be made at least hourly. Fire authority exemption notices may impose conditions that must be adhered to.

# Hot working without a hot works permit

Only soldering and sweating may be undertaken without a hot works permit, provided that you as a supplier:

- have approved a Safe System of Work
- tell the Fault Report Centre the details of the work and when it will take place
- tell the station supervisor the details of the work and when it will take place
- make any necessary provisions for temporary exemptions (during traffic hours) or isolations
- ensure that all reasonable precautions against fire are taken
- ensure the person carrying out the work is holding a valid fire safety certificate endorsed ‘fire core’, this is because a fire watchperson does not need to be present
- tell Fault Report Centre and the station supervisor when the work is complete.

# Before hot working starts

As a supplier, if you are performing the fire watchperson's duties you must:

- carry your certification of authorisation
- be there during any hot working process, unless a hot work permit is not required
- not do anything else while the hot work is being done
- carry out the following fire safety checks before allowing hot working to commence:
    - automatic sprinkler and detection systems must continue to operate unless the Project Manager considers that the work will affect the sensitive elements of the sprinkler or detection system
    - visually inspect the other side of any wall or partition on which work is being carried out to make sure that nothing is at risk of being ignited by direct or conducted heat
    - ensure that where hot work is to be carried out on enclosed equipment, such as in containers or ducts, the equipment has been recently cleaned to reduce the risk of any combustible material or flammable vapour igniting during the work
    - fire extinguishers must be available at the hot worksite in well defined and identified positions
    - any flammable materials must be moved at least 15 metres away, or be protected (depending on the practicability and the nature of the fire risk)

At stations the fire watchperson must:

- have their arrival and departure recorded in the location log book as well as the station log book, carry a handheld radio to maintain contact at all times.

At the lineside, on open sections, where staff use stations to gain access, the fire watchperson must:

- have their arrival and departure recorded in the station log book.
- use a handheld radio to tell the Line Controller (if on duty) that hot working is being carried out
- tell the Line Controller and Track Access Controller when the work party leaves the lineside, and when they themselves leave the lineside after remaining on watch.

At the lineside on open sections, where staff use road access, the fire watchperson must:

- use a handheld radio to tell the Line Controller when hot working is about to be carried out

- tell the Line Controller and Track Access Controller when the work party leaves the lineside, and when they themselves leave the lineside after remaining on watch.

# After hot working finishes:

When the hot work is finished, the fire watchperson must:

- remain on watch in the area for either one hour after the completion of the work or until all fire safety systems that were isolated have been reset, whichever is the longer
- make sure that all waste or litter is removed
- make sure that hot steel ends of welding rods and waste materials are safely disposed of
- visually inspect the area to make sure it is safe before you leave.

If there is any report of burning smells or of smoke in the vicinity of the hot work area during the period, then the fire watchperson must:

- stay there unless it is unsafe to do so
- visually inspect the area
- tell the station supervisor or, on open sections, the Line Controller
- accompany the fire brigade to the site, if they are called

When hot working is undertaken in tube or subsurface tunnels and is completed less than one hour before the end of engineering hours, the fire watchperson must go to and stay on the platform of the station that gave access to the tunnel and stay there until the hour is up. If a fire is reported, the fire brigade will come to this station and the adjacent one. The fire watchperson must give the fire officers details of the work and may be asked to accompany them.

# Working near hot work

If you are working near hot work you should:

- know how to raise the alarm in the event of a fire
- know how to use the fire fighting equipment
- know the means of escape
- be aware of anyone else working nearby

# Storage of materials in brief....

- As a supplier you need a licence before you store items and equipment on any part of the Operational Railway
- It is good practice to contact the London Underground Landlord Manager (for stations) or Track Inspection System Manager, the TISM (for track) to discuss your storage requirements prior to submitting the application, to make sure your proposals are feasible and likely to be acceptable. Speak to your LU Project Manager or LU Operational Task Manager for assistance initially
- The StationAccessTeam@tfl.gov.uk also have a library of storage areas across the network and can offer advice on suitable locations
- For storage within stations and depots, you must apply (see Supplier Handbook document archive) to the Group Station Manager (GSM) or Train Operation Manager (TOM) or the site manager for the area
- For lineside storage including the station suicide pit areas, excluding Jubilee, Northern and Piccadilly (JNP) lines, you must apply (see Supplier Handbook document archive) directly to the TISM at the Track Office
- For JNP lines check the correct procedure, ask the LU project manager for a copy
- Storage licence applications must be sent to the relevant London Underground Landlord Manager or TISM at least:
    - 21 days before you need it if it is a 'first time' application
    - 14 days before the expiry date of the existing storage licence, if it is an application for a renewal and an extension to a Fire Concession Forum exemption (a waiver) is required
    - 7 days before the expiry date of the existing storage licence, if it is an application for a renewal and there is no exemption involved.
- If you need to renew a storage licence, a new application is always required
- You will receive a decision within 14 days
- Storage licences must be in date and displayed at the storage site, they will be checked by station staff regularly

# What types of materials can be stored?

The list below is not definitive. If you are unsure about whether or not you will be able to store specific materials and/or the maximum quantities that can be stored, please talk to the LU Project HSE Advisor.

Materials must be shown on the storage licence as per the following definitions:

- non-flammable, eg metals
- not readily flammable, eg timber, some greases and oils (flash point above 55ºC)
- flammable, eg diesel fuel, white spirit, paraffin (flash point between 21ºC and 55ºC)
- highly flammable, eg methylated spirits (flash point between 0ºC and 21ºC)
- extremely flammable, eg petrol (flash point below 0ºC)

In a permanent store above ground it is possible to store quantities of hazardous substance, although this will be subject to control by the storage licence. Specific restrictions for flammable materials are as follows:

| | |
|---|---|
| Extremely flammable | Can only be stored at surface locations |
| Highly flammable (flashpoint between 0°C and 21°C) | A maximum quantity of 1 litre in 0.5 litre containers at sub-surface locations |
| Flammable (flashpoint between 21°C and 55°C) | A maximum quantity of 69 litres in 25 litre containers at sub-surface locations |
| Gas cylinders | Can only be stored at surface locations |

Details of these restrictions can be found in the London Underground Standard QUENSH S1552

# Applying for a storage licence

- Why a licence is necessary
    - Uncontrolled storage poses a risk to the safe movement of trains, the safe movement of persons, and the fire safety and reliability of the train service
- Who can request a storage licence
    - You must be an authorised representatives of the Supplier organisation that needs the storage for example the project manager or client representative
- Who you can speak to for advice
    - You can speak to your LU project manager, LU HSE Advisor, London Underground Landlord Manager or Track Inspection System Manager (TISM) for any advice
- Who can grant a storage licence
    - Only the London Underground Landlord Manager or Track Inspection System Manager (TISM) can grant a storage licence
- Further information can be found in:
    - Contract QUENSH conditions
    - Standard 1-158 Track - Inspection and Maintenance (section 3.9)
    - Standard S1472 Allocation of space on operational property

**Check** the following before applying for a storage licence:

- check that the materials/equipment that you want to store are not prohibited
- check and confirm that a fire waiver for any hazardous materials that needs to be stored has already been granted
- check that a site-specific risk assessment of the storage site has been carried out and the relevant storage plans and method statements have been completed
- determine if materials and equipment to be stored are to be classified as strategic spares or maintenance or project plant and materials or scrap

**Plan** and apply for a storage licence in plenty of time:

- 21 days before the commencement date, if it is a 'first time' application

- 14 days before the expiry date of the existing storage licence, if it is an application for a renewal and an extension to an (fire) exemption.
- 7 days before the expiry date of the existing storage licence, if it is an application for a renewal and there is no exemption involved.

**Do** complete the correct application form and submit to the correct email address:

- application form for a storage within stations and depots
- application form for lineside storage and station safety pit areas, excluding Jubilee, Northern and Piccadilly (JNP) lines

| Line | Group Email |
|---|---|
| District | StorageLicenceDistrict@tfl.gov.uk |
| Metropolitan & Hammersmith & City | StorageLicenceMet&H&C@tfl.gov.uk |
| Central & Waterloo & City | StorageLicenceCentralWC@tfl.gov.uk |
| Bakerloo & Victoria | StorageLicenceBV@tfl.gov.uk |

For Jubilee, Northern and Piccadilly (JNP) lines check the procedure: The safe Storage of Line Side Materials and Removal of Scrap.

**Act:** As a supplier you must:

- not store any material in a position where it could fall, slip, roll or be blown onto the track, railway equipment, public highway, platforms or walkways
- when storing cable drums on platforms, secure them with a chain and padlock within a hoarded area
- carry out a thorough safety inspection at the end of each shift and after use of the storage area to ensure that stored items are secure and compliant with the conditions of the storage licence
- comply with all legislation and relevant Environment Agency guidance notes in respect to oil, liquid and other potential pollutant storage
- store liquids in enclosures or trays to contain any spills or drips
- protect and store materials in such a way as to minimise unnecessary damage, wastage, spoiling of goods or environmental harm.

# Movement of materials in lifts and on escalators in brief...

Most materials used for station work can damage lifts and escalators if not transported correctly. This damage might not be immediately apparent. Components that are over-strained or distorted by this damage can fail at a later date through fatigue or accelerated wear.

Small, handled items can be carried in lifts or on escalators at any time, provided that the items are held in the hands and can be safely managed by one person. The person must be able to:

- move freely
- see where they are going
- in the case of an escalator, steady themselves with one hand on the handrail, if necessary

If material loads cannot be held by hand, you must complete a Materials Movement Application form (see Supplier Handbook document archive) and sent to the individual(s) responsible for approval at least five working days in advance. You must:

- identify all materials to be moved
- send an approved safe system of work with the application
- provide proof, that all alternative routes to move the material have been examined, and that no other reasonably practicable option exists, eg engineer's train
- wherever practicable, the movement of materials must be incorporated in the station possession plan

A permit will be required under the permit to enter system to take possession of the lift or escalator.

To move materials in Traffic Hours using a lift or escalator you must also complete an Operational Assurance Notification (OAN) form. You must submit the form to StationAccessTeam@tfl.gov.uk. The Station Access Planning Manager will approve your request if it is safe to do so.

The Site Person in Charge/ person supervising the works must manage the possession and the use of lifts or escalators for movement of materials.

The individual(s) responsible for approving the Material Movement Application form will audit the movement of materials in lifts and

escalators. Non-compliance with the approved safe system of working will result in withdrawing the authorisation.

For further information, refer to Movement of materials in lifts and on escalators.

# Handheld items carried in lifts or on escalators

Small, easily handled items can be carried in lifts or on escalators at any time, provided that the items:

- are held in the hands and can be safely managed by one person. The person must be able to move freely, see where they are going and can, in the case of an escalator, steady themselves with one hand on the handrail, if necessary
- do not exceed 1.8 metres in length or 25kg in weight and are shorter or lighter, if the capability of the person undertaking the task deems this necessary
- are securely packaged, with liquids in sealed robust containers and loose items and granular materials double or triple bagged
- do not present a risk to passengers or staff (for example, items with sharp edges and/or corners must be properly protected)
- are clean and there is no risk of soiling or snagging passengers' clothing
- are handled so as not to damage the lift or escalator or to cause risk or inconvenience to passengers
- are not slid down the decking panels or rested on the handrails or steps of the escalator

# Moving materials on escalators

When moving materials on escalators, attention must be paid to:

- loading and unloading the escalator with minimum dynamic loading of the step
- the stability of the material on the escalator steps and the effect on the position of centre of gravity of the material when it is moved on to the incline, where, because of the overlap of steps, the effective depth of each step is reduced
- for scaffolding in lifts or on escalators, refer to the Static loading in lifts and on escalators section
- the support of the material must be in a manner that will prevent it from toppling if the escalator brakes are applied while they are on the incline
- the use of strapping or additional persons to support the load. Staff must have one hand on the handrail for support during the movement of materials

- a person must be positioned by the emergency stop button at the landing where the load will approach
- there must be no persons below any material carried on a moving escalator

The following constraints apply to London Underground escalators:

- maximum usable step width - approx. 900mm
- maximum usable step depth - approx. 350mm
- step rise - approx. 200mm
- angle of inclination 27 or 30 degrees
- maximum (uniformly distributed) step loading must be taken as 150kg.

# Moving materials in lifts

Station lifts are not specifically designed to carry heavy loads. Any materials or equipment to be moved must be restricted to 25% of the rated passenger loading for the lift (as shown on the lift car load plate). Most lifts (except the step free access lifts) are of 30 or 50 person's capacity and can carry loads up to 560kg or 935kg respectively.

When moving materials in lifts consideration must be given to the following:

- the load must be uniformly distributed over the floor of the lift
- the restricted load limit includes the weight of any means provided for transporting the load into or out of the lift
- suitable protection must be agreed with the individual(s) responsible for approving the Materials Movement Application form to prevent damage to all surfaces within the car lift, with particular attention to sills, door tracks and floors
- lift sills often have a lower load-carrying ability than the lift itself. When materials are to be placed over a sill, the load must be spread uniformly over it to protect the sill from damage
- it is not permitted to use forklift trucks or other mechanical handling equipment to move materials in to or out of lifts where the combined weight of the handling equipment and the material exceeds the restricted load limit of the lift.

# Static loading in lifts and on escalators

If it is proposed to erect a structure such as scaffolding, on an escalator or within the lift and escalator environment, a request must be submitted using the Materials Movement Application form (see Supplier Handbook document archive), together with any relevant drawings. Before authority

is given for a structure to be erected, the individual(s) responsible for approving the Materials Movement Application form must be satisfied that the:

- escalator will be isolated, and, if necessary, anchored
- balustrade and decking panels will not be used for supports
- steps and floor trays will be protected from point loading by the use of load spreading plates
- escalator must be protected from dust, debris, liquids and loose articles from the works
- safe entry and exit must be maintained at all times within the lift and escalator environment

# Damage to lifts and escalators

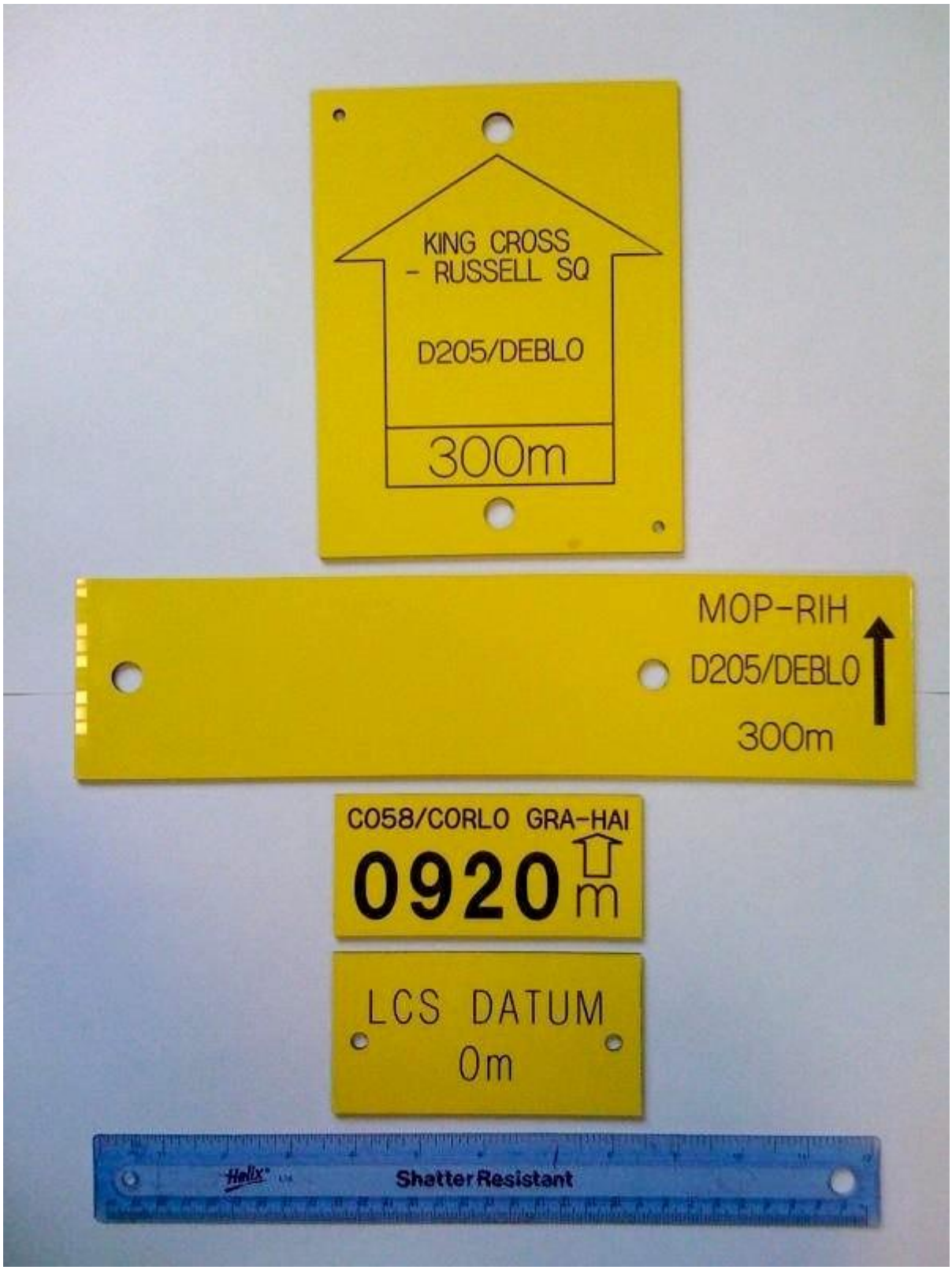
If the escalator or lift is damaged or contaminated with loose material, the Site Person in Charge or person supervising the work must immediately:

- stop the escalator or lift
- make safe the load on the escalator, if necessary
- tell the Station Supervisor
- isolate the escalator or lift
- tell the Fault Reporting Centre or the Station Supervisor
- make sure the escalator or lift remains out of service until approval to restart is given by a trained lift or escalator engineer

# Navigating the LU network

LU gives each location its own unique code via a Location Code System (LCS). These codes help people correctly and consistently communicate locations on the network and work out accurately where they are on the network. Suppliers will be provided with location information in the track environment to ensure that the work is undertaken at the correct site.

When you are out on the LU network, you will see LCS track plates which are used to identify LCS codes and metreages on the track, with the exception of the Victoria Line which uses monument plates at five-metre intervals.




Please note that the plates used for the Central line may be slightly different in appearance.

The LCS boundary datums are only marked on the structure where the boundary is not the top of ramp or headwall. This only occurs where a platform has been extended. It is marked by a yellow plate approximately 120mm x 60mm.

Track plates are used to indicate the distance travelled in the direction of travel for each LCS section. There are two types of plates:

- At every 100 metres, starting at 0m (marked 'Start'), either a 145mm x 185mm plate are fixed to the sleeper end opposite the positive conductor rail or 330mm x 80mm plate on hedgehog sleepers.
- At 20-metre intervals between the 100m plates, 120mm x 60mm plates are clipped to the rail.

The three-letter station abbreviations that are used on the LCS 20m track plates are published as an Excel table in the Supplier Handbook document archive.

**It is vital that these plates are maintained** or replaced following track works.

### How LU monitors suppliers' HSE performance

LU monitors supplier performance through a range of activities:

- Risk-based verification activities
- Reviewing of supplier incidents
- Quarterly HSE assessment of performance

### Risk-based verification activities

Safe systems of work, temporary works proposals and other relevant site documentation for all construction and installation works, including the assessment and control of environmental impacts, are reviewed by LU on a risk-based approach ie those with the potential to impact LU staff, customers, operations or the public are more likely to be reviewed. This helps inform the quarterly assessment (see below).

LU will communicate to you the verification activities that it will be undertaking and inform you of any documentation you need to provide and any activities that LU would like to be involved in.

The suitability and sufficiency of the documents reviewed and the overall performance during delivery will also influence the extent of further reviews that LU undertakes to gain assurance.

# Incident reporting requirements

While suppliers are expected to have their own system in place to capture and investigate incidents, LU also requires that incidents are reported to LU via the LU incident line within 24 hours of the incident:

Call 0844 292 0292 (24-hour) or 1558 from LU Auto phone

What to report: All incidents and near misses eg:

- Fatalities, personal injuries or illnesses
- Train incidents
- Station incidents
- Rolling stock failures
- Track incidents
- Infrastructure failures
- Crime-related incidents
- Environmental incidents
- Loss or damage incidents
- Structural incidents
- Fire incidents
- Lifting equipment incidents
- Explosive incidents
- Pressure vessel incidents

See LU Standard 1-556 for further details.

**To make a report you will need:**

- Your email address
- Your reviewing manager's (ie line manager or site project manager) name and email address

- The project or area of LU being worked for at the time of the incident, near miss or hit (ie Victoria Station upgrade, Cooling the Tube, Track programme etc)

**Having problems reporting an incident:**

If an operator is not available to answer your call within two minutes, your call will be diverted to an answerphone. Please leave an answer phone message and include your full name, full contact number and company.

Please note: The incident line is required to call you back within 30 minutes.

- If you have problems reporting an incident then

- Email incident.reporting@tube.tfl.gov.uk and include:
  - Your full contact details (including best time to contact you)
  - Dates and times of when the incident line was called
  - Describe the problems you experienced
- Check the User Guide document available via the Help function on the incident report
- Ask your LU HSE advisor

# Communication and review of incidents

A reviewing manager will be asked to review the incident report and will be sent an email with a link to the incident report. The reviewing manager is usually someone within the Principal Contractor's organisation.

The reviewing manager must check all the information reported on the incident record, make corrections where necessary and click on the Submit Incident to HSQE button.

The incident reviewer is responsible for ensuring that a suitable level of investigation is carried out by the party accountable for the incident, and recorded with the incident record. See LU Standard 1556 for further details.

**What incident reports are used for:**

- Discussions at management meetings
- Safety dashboards
- Balanced scorecard measures
- Health and safety discussions with suppliers

On a periodic basis suppliers are required to submit HSE performance data. Your Project Manager will provide you with the template and inform you where your completed data should be sent.

# Quarterly supplier HSE assessment

LU monitors suppliers against a number of HSE objectives. Each HSE objective is associated with performance indicators which allow LU to systematically measure suppliers' HSE performance against set objectives.

LU HSE managers carry out quarterly supplier assessments using a standardised process and toolkit. The assessment results show as red/amber/green and are discussed and shared with suppliers. It is expected that suppliers work on improving their HSE performance to such a standard that all HSE objectives show green within six months of the contract start date.

Where objectives score amber or red, suppliers are required to put in place an appropriate action plan to address the issues identified by the assessment and to report progress to LU against this plan . LU requires suppliers to improve their performance as follows:

- Green scores = remain green
- Amber scores = turn green by the following quarter
- Red scores = turn amber (if not green) by the next quarter and green by the quarter after that

The LU HSE manager will discuss the HSE supplier assessment criteria in detail with their counterpart in the supplier's organisation. The objectives and associated performance measures are as follows:

1. **HSE leadership and culture**:

**Objective**: The supplier actively promotes a positive HSE culture and displays excellent HSE leadership.

**Target - green scores for the following:**

- Engagement and two-way communications
- Allocation of responsibilities & accountabilities for HSE
- Leadership & behaviours on HSE matters
- Continuous improvement
- Over and above: excellence in HSE leadership and behaviours

2. **Communication, cooperation, coordination and information**:

**Objectives**: The supplier effectively communicates with all affected parties to ensure that everyone receives the HSE information relevant to them and that all stakeholders are engaged in a timely manner. The supplier cooperates with all affected parties and coordinates works in such a way that ensures the safety of people, infrastructure and environment.

**Target - green scores for the following:**

- Communication plans & information management
- Workforce consultation
- Cooperation, coordination & joined-up working with others
- Provision of MAID information

**3. Competence:**

**Objective**: The supplier's project team and site personnel are fully competent to carry out their work safely and in compliance with legislation.

**Target - green scores for the following:**

- Managing competency
- HSE roles and responsibilities

4. **HSE risk, works and site management**:

**Objective for delivery only, not applicable to design contracts**: HSE risks to all affected parties are adequately

identified, assessed and controlled in compliance with applicable legislation and LU standards.

**Targets - green scores for the following:**

- HSE surveys
- Boundaries, security and traffic management
- Emergency planning
- Housekeeping, welfare and waste management
- HSE plans, CDM documentation, licences & consents
- Inductions and briefings
- Managing nuisance and complaints
- Risk assessments and SSoW
- Temporary structures
- Managing ecology and sustainability
- Compliance with PC's site rules, processes and instructions
- Equipment and PPE

5. **HSE risk in design**:

   **Objective for design only, not applicable to delivery contracts**: HSE risks associated with the full lifecycle of the design are adequately identified, assessed and controlled in compliance with applicable legislation and LU standards.

   **Targets - green scores for the following:**

   - HSE surveys
   - HSE plans, CDM documentation, licences and consents
   - Identifying & managing HSE design risks

6. **Managing contractors**:

   **Objective**: All of the supplier's contractors are competent and their performance is adequately monitored and managed.

   **Targets - green scores for the following:**

   - Monitoring HSE performance of contractors/sub-contractors
   - Onsite supervision of contractors/sub-contractors and coordination of works
   - Sharing information and communicating with contractors/sub-contractors

- HSE competency of contractors/sub-contractors

7. **Managing incidents**:

   **Objective**: All accidents, incidents and near misses are reported, investigated and managed in compliance with LU standards and HSE legislation.

   **Targets - green scores for the following:**

   - Incident reporting
   - Incident investigation
   - Managing actions and preventing re-occurrence of incidents
   - Managing the impact of incidents on the operational railway

8. **HSE performance review and continuous improvement**:

   **Objectives**: The supplier sets appropriate HSE targets and objectives and reliably monitors their performance against these. Performance data is used by the supplier to inform improvement plans with the aim of continuously improving their HSE performance.

   **Targets - green scores for the following:**

   - Continuous improvement
   - Inspections and audits
   - Performance data
   - Managing the LU quarterly performance review or assessment