serco

Group Standard

Health, Safety & Environment

Our vision is zero harm.
Our work is never so urgent or important that we cannot take time to do it safely and with respect for the environment.

Document Details

Document Details	Serco Business
Reference	**Version**
SMS GS-HSE1: Health, Safety and Environment	4.1
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October 2019	October 2021
Applicability Serco Group covering all business regions, operating companies and business units throughout the world[1] covering: - employees, officers, directors and individuals working as consultants and contractors and any other parties acting as representatives or agents of Serco (Employees) - wholly owned subsidiaries and majority-owned operations Where a minority interest and in regard to its subcontractors and suppliers Serco encourages alignment with this Standard	
Authority Chief Executive, Serco Group plc	
Accountable Policy Owner (Group) Group Company Secretary	
Additional Information Supporting standards, standard operating procedures and guidance relating to this Group Standard are available within the Serco Management System	
Governance Our policies and standards, together with any regional or market requirements and enhancements to them, are authorised through a robust governance process.	
Consequence Management As a Group Standard the requirements detailed in this document are mandated and must be adhered to. Non-compliance will have consequences which may include disciplinary action. The Consequence Management Group Standard (SMS-GS-G1) details how instances of non-compliance will be dealt with	
[1]As used herein, Serco Group and its affiliates, subsidiaries and operating companies are referred to as 'Serco', the 'Company' or 'company', or 'we', 'us' or 'our'.	

Contents

1   Objectives

Our vision is zero harm. Our work is never so urgent or important that we cannot take time to do it safely and with respect for the environment.

Serco operates in many different markets and delivers a comprehensive range of services which impact the lives of many people as well as the natural environment. Wherever we operate we must ensure, for our people, our customers, our partners and contractors and the public, that we maintain a safe and healthy working environment and minimise the impact we have on the natural environment. Serco is committed to:

- building a culture that actively encourages sound health, safety and environmental practices through engaging with our people and those for whom we have a duty of care
- considering the safe and sustainable use of resources and materials in the design, development and operation of our business activities
- minimising the negative environmental impact of our current and future business
- reducing carbon emissions in line with Government, customer and/or internal targets as necessary
- complying with all applicable health, safety and environmental legislation and where appropriate going beyond compliance with the minimum requirements of legislative bodies, regulators and our customers
- encouraging the free and honest reporting of health, safety and environmental issues
- procuring goods and services that meet our health and safety standards and minimise environmental impact
- supporting occupational health programmes and promoting the health and wellbeing of our people
- co-operating with key stakeholders where we share responsibilities, premises or activities
- learning and benefiting from our experience and the experiences of others

2   Policy Standards

2.1 Policy

S1. Health, Safety and Environment (HSE) Policy, Standards and Management Systems (including procedures and work instructions) will be defined, documented, implemented and maintained

S2. Systems and procedures will be appropriate and proportionate to the nature of the organisation's HSE risks

S3. Systems and procedures will be regularly reviewed to ensure they reflect legal responsibilities associated with applicable:

   a. HSE laws, regulations, approvals, licences and other legal requirements
   b. international, national and regional standards
   c. industry codes and best practice
   d. contractual requirements
   e. expectations of regulators and other interested parties

S4. Systems and procedures will be made available to those working under the control of the organisation so that they are aware of their individual HSE obligations

S5. An HSE management structure will be implemented to support the delivery of HSE policies, systems, objectives and targets, to review HSE performance and respond to significant HSE incidents

2.2 HSE culture

S6. Management will understand how they influence the HSE culture within their area of responsibility, demonstrate that HSE issues are important to them, seek to continually improve HSE performance and lead by example

S7. Management will promote a Just Culture in which employees and others are not punished for actions, omissions or decisions taken by them which are commensurate with their experience and training, but where gross negligence, wilful violations and destructive acts are not tolerated

2.3 Risk and hazard management

S8. Health and Safety hazards of our operations, equipment and facilities, including those that impact on others (third parties who are affected by our acts or omissions) and sub-contractors, will be identified and assessed with appropriate controls implemented to manage the risk[1]

S9. Appropriate HSE risk assessment and due diligence will be completed as part of the assessment of any third parties (e.g. suppliers, contractors) we do business with

S10. Environmental hazards/aspects of activities, products and services will be identified and assessed with appropriate controls implemented to manage the risk

S11. Where risks are assessed as high, a risk reduction action plan will be developed to implement further control measures

S12. All significant risks will be recorded, integrated into the business risk management process and register and communicated to all relevant parties

S13. HSE risks will be reviewed at regular intervals (at least annually) and following serious incidents, legislator and operational changes

S14. Standards defined for risk management will be applied[2]

2.3.1 Business Lifecycle Gates

S15. HSE risks will be assessed considered and regularly reviewed throughout the business lifecycle. Appropriate processes will be implemented to manage or mitigate assessed risks. HSE management processes will be reviewed and material risks signed off for accuracy, completeness and progress against plan at Business Lifecycle Gates 2-9

S16. The HSE review will be a 'live' document, actively managed and handed over through each phase of the business lifecycle through to Gate 9 in order to ensure absolute continuity and consistency of interpretation and the management of HSE risks

S17. Each Gate approval decision will consider:

   a. The appropriateness of the HSE processes

b. Evidence that appropriate HSE risk identification and analysis has been performed and that it has identified a set of material HSE risks that bring to light the HSE threat/exposure to this business activity

c. Evidence that material HSE risks are being mitigated appropriately and reported correctly

d. Evidence that appropriate decisions relating to HSE review are being made and that the right subject matter experts have been involved

e. Where a deficiency in HSE management activity is identified it will be reported to the Divisional HSE Lead, and to the Group HSE Lead where required

2.4 Critical Occupational Safety Risks

2.4.1 Asbestos management

S18. Where asbestos or asbestos containing material is identified, an Asbestos Management Plan will be developed, implemented, communicated and maintained

S19. Where Serco has management and control over premises, an Asbestos Register will be established and maintained

S20. Only trained and competent employees and licensed companies will conduct asbestos related work

S21. Asbestos air monitoring will be conducted for all friable and non-friable asbestos removal work

S22. Health monitoring will be undertaken commensurate to the assessed risk, for all employees and contractors conducting asbestos related work or where they are at risk of exposure to asbestos due to work

2.4.2 Confined spaces

S23. All Contract sites or workplaces will maintain a register of confined spaces, which is kept up to date

S24. All registered confined spaces should be secured against unauthorised entry and will be permanently signposted at each entry point

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[1] See Occupational Health and Safety Risk Assessment GSOP Ref: SMS GSOP-HSE1-27
[2] See Risk Management Group Standard Ref: SMS-GS-RM1

S25. All employees required to work in a confined space, act as a standby person or authorise confined space work will be trained, competent and authorised

S26. Prior to any person accessing a confined space, a risk assessment will be undertaken by a competent person and be recorded in writing. The risk assessment will be reviewed and revised whenever any risks change

S27. Prior to any person entering a confined space, all potentially hazardous services will be isolated and locked-out

S28. Prior to entry into a confined space, all employees will review and sign-on to a Confined Space Entry Permit

S29. Prior to and during any work in a confined space, atmospheric monitoring of the space will be undertaken to ensure a safe atmosphere

S30. Prior to any employee entering a confined space, an Emergency Rescue Plan will be in place

S31. A standby person will be assigned to continuously monitor the confined space when there are people inside the space

2.4.3 Cranes and lifting

S32. All employees who conduct and supervise crane and lifting operations will be competent and authorised

S33. A Pre-Lift Check that includes hazards associated with the work environment, loads, slinging and cranes will be completed for each new crane set-up

S34. A lifting plan will be developed and implemented for all critical lifting operations

S35. Exclusion zones will be established around cranes to prevent people and equipment who are not involved in the operations entering the area

S36. Cranes will only travel, setup and perform lifts where the ground conditions are adequate to support the crane and load

S37. Records of tests, inspections, maintenance, commissioning, decommissioning, dismantling and alterations will be kept for registered cranes

S38. Outriggers will be extended and supported in accordance with manufacturer's recommendations

S39. Loads will be secured and not suspended over unprotected personnel

S40. Cranes will not lift above their rated or load chart capacity

S41. Crane lifting operations will not be performed if the wind speed exceeds the crane manufacturer's recommendations or if the sail area of the load makes it difficult to control the load

2.4.4 Electrical safety

S42. Hazards associated with electrical equipment used in the workplace will be adequately identified and controlled

S43. All electrical equipment will be regularly inspected, tested and maintained taking account of legislative, client and manufacturers' requirements

S44. All electrical work (whether on energised or de-energised electrical equipment) will only be conducted by competent employees

S45. All electrical work will only be conducted on electrical equipment that has been tested, verified to be de-energised and isolated (except for authorised live testing work)

S46. All hand held or hand operated portable electrical equipment will have Residual Current Device (RCD) protection fitted

S47. Appropriate electrical Personal Protective Equipment (PPE) rated for the voltage hazard will be worn

S48. Appropriate non-conductive tools and equipment rated for the voltage hazard will be used

S49. All electrical enclosures will be secured to prevent unauthorised access

2.4.5 Fatigue management

S50. All employees who operate vehicles and mobile equipment will be fit for work and not fatigued

S51. Prior to conducting a safety critical task, all workers will be assessed for the effects of fatigue

2.4.6 Hazardous substances

S52. A Hazardous Substances Register will be kept and maintained for all chemicals used, handled or stored within the workplace. The Chemical Register will include a copy of the current Safety Data Sheet (SDS), that is not more than five years old, for each hazardous chemical listed

S53. All hazardous substances will be stored and segregated as appropriate

S54. All chemicals will be in a correctly labelled container

S55. All employees handling chemicals will wear appropriate chemically resistant PPE

S56. No hazardous chemical or substance can be brought to site without having first been authorised for use

S57. Transport of hazardous substances will be conducted by a licensed transport contractor, specialising in the transportation of hazardous substances and/or dangerous goods, as appropriate

2.4.7 Hot works

S58. All employees required to conduct hot work, to act as a fire sentry or issue hot work permits must be trained, competent and authorised

S59. A hot work permit will be in place prior to any heat related or spark producing operations being undertaken outside a designated hot work area

S60. Prior to conducting any hot work, all employees will review and sign-on to a hot work permit

S61. Prior to and during any hot work in or near a hazardous area, atmospheric monitoring of the space will be undertaken to ensure a safe atmosphere

S62. Prior to the commencement of any hot work, the emergency plan for the area will be reviewed, available and communicated to all workers involved in the hot work to ensure they are well equipped and can respond effectively in case of a fire or an emergency

S63. Prior to any person conducting hot work, all potentially hazardous energy sources will be isolated

2.4.8 Isolation and lockout

S64. All energy sources such as, but not limited to, electrical, mechanical, hydraulic, pneumatic, chemical, radiation, thermal, compressed air and gas, energy stored by pressure, tension or in springs and ropes, and the potential energy from suspended parts (gravity) and equipment due to its position, will be identified, de-energised and tested for dead prior to work commencing on the equipment

S65. All employees who identify and confirm equipment isolations will be competent

S66. All employees working on a de-energised system will apply a Personal Danger Lock and Tag to the equipment isolation point or device

S67. Employees will ensure that mobile plant is made stable and positively isolated prior to commencing work

S68. An Isolation Permit will be used for all group isolations

2.4.9 Remote and isolated work

S69. Work that is remote or isolated from the assistance of other persons, due to location, lack of communications or contact, or the time and nature of the work will be identified and risks assessed prior to commencement of work activities

S70. Appropriate security measures will be in place for employees who conduct isolated work or who work alone

S71. All employees who conduct remote or isolated work will check-in with their supervisor or manager at pre-determined intervals or times

2.4.10 Vehicles and driving

S72. All employees who operate vehicles and mobile equipment will be competent and authorised and hold the relevant vehicle licence or other applicable competencies and be authorised to perform the task. Exceptions will be made to this requirement where the employee is under training or under escort by an authorised driver

S73. All employees will drive to the conditions and obey traffic rules, signs and speed limits

S74. All employees who operate vehicles and mobile equipment will be fit for work and not fatigued

S75. All vehicles and mobile equipment will be regularly inspected and maintained

S76. A pre-start check will be conducted prior to the operation of any vehicle, plant or mobile equipment for the first time during a working day or shift

S77. A journey management plan will be in place for any off-site high-risk travel

S78. Interactions between pedestrians and vehicles and mobile equipment will be minimised, with physical separation provided wherever practicable

2.4.11 Working at heights

S79. All employees who conduct, supervise or authorise work at heights activities will be competent and authorised

S80. A working at height permit will be in place when working above 1.8 metres with either personal fall-arrest equipment as the primary control or equipment that requires a high-risk work licence

S81. Boom type elevating work platforms will be fitted with a secondary anti-crush guarding device

S82. Fall arrest equipment will only be used when controls such as edge protections, height access systems, barricades and/or fall protection equipment that prevent falling are impractical

S83. Where there is potential for objects to fall, controls such as toe boards, catch nets, tool lanyards and exclusion zones will be used

S84. Height access equipment, anchor points and fall protection equipment will be inspected and maintained to ensure its integrity

2.5 Planning, objectives and targets

S85. The Executive Committee will set annual Group-wide HSE objectives and targets

S86. Each Division, Business Unit and Contract will develop and monitor objectives and targets based on those set by Group and relevant local risks and HSE performance

S87. Where objectives and targets are established plan(s) will be implemented to ensure that they are delivered. Plan(s) will include designated responsibility for delivery and the means, milestones and timeframes by which they are to be achieved

S88. Objectives, targets and programme(s) will be communicated to relevant stakeholders

S89. Progress against objectives and targets will be reported to and monitored by management and the relevant Executive Management Team

2.6 HSE resources

S90. An HSE management structure will be implemented to support the delivery of HSE policies, systems, objectives and targets, to review HSE performance and respond to significant HSE incidents

S91. Appropriate competent resource to manage HSE risks and deliver HSE objectives and targets will be allocated

S92. HSE Teams are responsible for providing competent advice to the relevant Divisional Chief Executive Officer (CEO) and Executive Management Teams

2.7 Training, awareness and competence

S93. Serco employees and sub-contractors will be competent (have the necessary knowledge, training and experience) to undertake their role and deliver HSE compliance and performance

S94. The individual competency required to address identified HSE risks and hazards will be assessed with training needs identified and delivered

S95. Records will be maintained of individual's training and competency

2.8 Consultation and communication

S96. Consideration will be given, through a consultation process, to the views of employees and third parties in HSE decision making, development of

policies and systems, setting of objectives and targets, changes in work practices and hazard identification and assessment

S97. HSE information will be communicated to and from employees and other interested parties

S98. Systems will be implemented to identify record and address employees' and third parties' concerns and resolve conflicts where they arise

2.9 Incident management

S99. Plans will be established, periodically tested and maintained to respond to incidents and emergency situations, subject to any legal limitations and appropriate preservation of Serco legal and other privileges. These will be proportionate with the risks faced by the business and crisis management and business continuity standards[3]

S100. Processes and plans will be implemented to manage HSE incidents so that the immediate and longer-term safety, environmental and other business consequences are minimised

S101. All Serco employees have an obligation to report incidents which have Serco involvement to their line manager who has a duty to investigate and report them on ASSURE, regardless of any customer reporting requirements

S102. All HSE incidents will be classified and reported in accordance with the Standard Operating Procedures for Incident Categorisation and Incident Reporting in ASSURE[4]

S103. Obligations to report significant incident events to an appropriate regulator will be met

S104. All HSE incidents will be recorded on ASSURE

S105. Subject to any legal limitations and appropriate preservation of Serco legal and other privileges, HSE incidents will be investigated to a depth that is commensurate with the seriousness of the incident and the benefit from the likely outcome

S106. Investigations and resulting recommendations will be approved and signed off by a manager whose seniority is commensurate with the severity of the incident

S107. Corrective and preventative actions arising from any investigation will be initiated, tracked, monitored, completed and reviewed for effectiveness. Any learning's will be shared across the organisation and with stakeholders and others as appropriate

S108. Crisis management plans and procedures will be reviewed and updated after the occurrence of a serious HSE incident or emergency situation

S109. Documentation relating to all incidents will be retained and, where identified for disposal, disposed of in accordance with Document Retention requirements[5]

2.10 Performance measurement and monitoring

S110. HSE performance will be measured against agreed indicators and the findings recorded and reported[6]

S111. HSE performance will be reviewed by management in relation to business HSE objectives and targets and any necessary remedial or improvement action will be taken

S112. HSE performance will be monitored and reviewed against agreed objectives and targets by the relevant Executive Management Team

S113. HSE performance measures will be regularly assured through management review

2.11 Compliance

S114. HSE management systems and their associated controls will be periodically assessed to provide a planned, independent and documented assessment of the compliance, effectiveness and adequacy of them

S115. HSE compliance assessments and audits will be completed in accordance with Compliance and Internal Audit requirements[7]

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[3] See Risk Management Group Standard Ref: SMS-GS-RM1 and Business Continuity & Crisis Management Group Standard Ref: SMS-GS-RM2
[4] See Incident Reporting and Management GSOP Ref: SMS GSOP-O1-2
[5] See Document Retention GSOP Ref: SMS GSOP-II1-2

[6] To include Carbon Management see Carbon Management GSOP Ref: SMS GSOP- HSE1-26
[7] See Compliance Group Standard Ref: SMS-GS-G2 and Internal Audit Group Standard Ref: SMS-GS-G3

S116. HSE compliance assessments and audits will be:

    a.   planned

    b.   carried out by competent employees

    c.   recorded and results reported to management

S117. All actions arising from HSE compliance assessments and audits including changes in procedures, will be documented, communicated, followed up and completed. Any learning's will be shared across the organisation and with stakeholders and others as appropriate

2.12 Management review

S118. HSE management systems will be periodically reviewed (at least every two years or sooner if there is a business need or change in legislation/regulations) to ensure their continuing suitability, adequacy and effectiveness in order to meet the HSE policy

S119. The review will consider any need for changes to policy and objectives and other elements of the HSE management system, in light of any HSE compliance assessment and audit results, accidents and incident analysis, legal changes, changing circumstances and the commitment to continual improvement

S120. Reviews, significant findings and actions will be documented and implemented within agreed timescales

3 Responsibilities & Accountabilities

S121. The following responsibilities will apply to the delivery of the defined standards. If these are not completed effectively, the person responsible will be accountable for any consequences[8]

Group

S122. The Group CEO will appoint a Group HSE Lead responsible for:

a. developing and maintaining Group HSE policy

b. ensuring standards and associated procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage HSE risks

c. setting annual Group-wide HSE objectives and targets

d. providing oversight of HSE performance

e. promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example

S123. On behalf of the plc Board, the Corporate Responsibility and Risk Committee will:

a. approve the HSE strategy

b. provide oversight of HSE incidents and performance

c. review material HSE risks

S124. The Executive Committee will set HSE objectives and targets

Division

S125. The Divisional CEO will appoint a Divisional HSE Lead responsible for:

a. implementing HSE policy, standards, procedures and key controls across the division; which may include the development of country/region/Divisional procedures and management systems

b. ensuring procedures and key controls, remain fit for purpose, reflect legislative and regulatory requirements and effectively manage HSE risks

c. providing oversight and reporting Divisional HSE performance

d. defining detailed operating models for the provision of a HSE function

e. promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example

Business Unit

S126. The Business Unit Managing Director is responsible for:

a. complying with HSE policy, standards, procedures and key controls; which may include the development of business unit management systems

b. providing oversight and reporting Business Unit HSE performance

c. ensuring appropriate HSE resources are appointed to support the business unit manage HSE risks, deliver HSE objectives and targets and provide competent HSE advice

d. promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example

Contract/Function

S127. The Contract Manager (or Corporate Function Head) is responsible for:

a. complying with HSE policy, standards, procedures and key controls; which may include the development of local operating procedures/work instructions/method statements

b. ensuring HSE responsibilities are clearly defined

c. ensuring local controls are in place for providing assurance that HSE risks are being effectively managed

d. providing oversight and reporting Contract HSE performance

e. promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example

f. ensuring employees and sub-contractors are competent (have the necessary knowledge, training and experience) to undertake their role and maintaining appropriate records

g. communicating with and providing mechanisms for employees and third parties to raise HSE concerns

h. implementing processes and plans to manage HSE incidents

i. recording HSE incidents on ASSURE and investigating them in accordance with Group Procedures

All employees

S128. All employees are responsible for:

a. undertaking training provided and ensuring any mandatory training is kept up to date

b. taking reasonable care of self and others' health and safety

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[8] See Consequence Management Group Standard Ref: SMS-GS-G1

c. following defined procedures, work instructions, method statements and risk assessments

d. telling a line manager or HSE representative of any HSE concerns

4   Processes and Controls

4.1 Governance processes and controls

Process		Controls		Responsibility				
A set of related activities that must be carried out to achieve policy outcomes		The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference		for ensuring controls are in place and operating effectively				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/ function (S127)	All Employees (S128)
Ref	Description	Ref	Description					
P1	HSE Responsibilities are defined and understood ⟳	C1	A Group HSE Lead is appointed by the Group CEO with responsibility for: • setting HSE policy, • ensuring standards, procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage HSE risks • providing oversight and reporting HSE performance • setting annual Group-wide HSE objectives and targets • promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example	●	○	○	○	○

➲	C2	The Corporate Responsibility and Risk Committee has responsibility for: • approving the HSE strategy • providing oversight of HSE incidents and performance • reviewing material HSE risks	●	○	○	○	○
➲	C3	A Divisional HSE Lead is appointed by the Divisional CEO with responsibility for: • implementing HSE policy, standards procedures and key controls across the Division; which may include the development of country/region/Divisional procedures and management systems • ensuring procedures and key controls remain fit for purpose, reflect legislative and regulatory requirements and effectively manage HSE risks • providing oversight and reporting divisional HSE performance defining detailed operating models for the provision of a HSE function • promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example	○	●	○	○	○
➲	C4	Appropriate HSE resources are appointed by the Divisional HSE Lead and Business Unit MD with responsibility for: • supporting the business to manage HSE risks	○	●	●	○	○

- supporting the business to deliver HSE objectives and targets
- providing competent HSE advice to Contract, Business Unit and Divisional Management Teams

C5 Contract Managers and Corporate Functions Heads are responsible for:
- complying with HSE policy, standards, procedures and key controls which may include the development of local operating procedures/work instructions/method statements
- ensuring HSE responsibilities are clearly defined
- ensuring local controls are in place for providing assurance that HSE risks are being effectively managed
- providing oversight and reporting Contract HSE performance
- promoting a positive HSE culture
- ensuring employees and sub-contractors are competent to undertake their role and maintaining appropriate records
- communicating with and providing mechanisms for employees/3rd parties to raise HSE concerns
- implementing processes and plans to manage HSE incidents
- recording HSE incidents on ASSURE and investigating them in accordance with Group procedures

C6 All employees are responsible for:

- undertaking training provided and ensuring any mandatory training is kept up to date
- taking reasonable care of self and others' health and safety
- following defined procedures, work instructions, method statements and risk assessments
- telling a line manager or HSE representative of any HSE concerns

					1	2	3	4	5
P2	Establish HSE policy	➲	C7	Policy, standards and Group procedures are defined and published	●	○	○	○	○
		➲	C8	Policy, standards and Group procedures are communicated and implemented	●	●	●	●	○
P3	Establish HSE systems and process	➲	C9	Appropriate HSE management system with supporting procedures and work instructions are defined, published and communicated	○	●	●	●	○
		➲	C10	Where asbestos or asbestos containing material is identified, an asbestos management plan is in place including an asbestos register, asbestos air monitoring and health monitoring and appropriate staff are trained	○	○	○	●	○
		➲	C11	Where a site has confined spaces, a register of them is maintained, the spaces are secured against unauthorised entry, appropriate risk assessments and work procedures are in place	○	○	○	●	○

⮌	C12	Where cranes and lifting equipment are used they are operated by competent individuals working to a lifting plan and work procedures with appropriate records maintained	○	○	○	●	○
⮌	C13	Hazards associated with electrical equipment used in the workplace are adequately identified, controlled, tested and maintained	○	○	○	●	○
⮌	C14	Chemicals and hazardous substances are appropriately stored and a Hazardous substances register is maintained for all chemicals within the workplace	○	○	○	●	○
⮌	C15	Hot work permits are in place prior to any hot works which are completed in line with agreed work instructions	○	○	○	●	○
⮌	C16	Energy sources are isolated and tested for dead prior to any work with an isolation permit used for all group isolations	○	○	○	●	○
⮌	C17	Procedures and security measure are in place for those assessed as working remotely or isolated work	○	○	○	●	○
⮌	C18	Relevant vehicle licenses are held by those using vehicles and the vehicles are maintained with journey management plans in place for off-site high risk travel	○	○	○	●	○
⮌	C19	Work undertaken at height is subject to a height permit and undertaken by competent individuals and to agreed work instructions	○	○	○	●	○

	⊃ C20	HSE systems with supporting procedures and work instructions are periodically reviewed, at least every two years, in light of any HSE compliance assessment and audit results, accidents and incident analysis, legal changes, changing circumstances and the commitment to continual improvement	○	●	●	●	○
	⊃ C21	Legal and regulatory HSE requirements are monitored with changes reflected in systems, procedures and work instructions	○	●	●	●	○
P4 HSE Compliance	⊃ C22	A HSE compliance plan in place	○	●	●	●	○
	⊃ C23	HSE compliance and audit reports with action plans are produced to address non compliance	○	●	●	●	○

4.2 Key processes and controls

Process		Controls		Responsibility				
A set of related activities that must be carried out to achieve policy outcomes		The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference		for ensuring controls are in place and operating effectively				
Ref	**Description**	**Ref**	**Description**	Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/ function (S127)	All Employees (S128)
P5	Assess and manage HSE risks	➲ C24	HSE risks are identified with assessment shown in risk registers using approved tools (e.g. eSTRIM). All registered risks have allocated owners and include controls to manage and mitigate them	●	●	●	●	○
		➲ C25	Appropriate HSE risk assessment and due diligence is completed as part of the assessment of any third parties we do business with (e.g. suppliers, contractors)	○	●	●	●	○
		➲ C26	Evidence of periodic review of HSE risk registers by management and the relevant EMT	●	●	●	●	○
P6	Business Lifecycle Gates	➲ C27	HSE management is reviewed at Gate 2 onwards for any new business opportunities	○	●	●	●	○
		➲ C28	Material HSE risks are signed off for accuracy, completeness and progress against plan at Business Lifecycle Gates 2-9	○	●	●	●	○

Process
A set of related activities that must be carried out to achieve policy outcomes

Controls
The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility
for ensuring controls are in place and operating effectively

Ref	Description		Ref	Description	Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/ function (S127)	All Employees (S128)
		➲	C29	HSE risks are reviewed and actively managed and handed over through each phase of the business lifecycle through to Gate 9	○	●	●	●	○
		➲	C30	Evidence is maintained of gate approval decisions regarding HSE processes, risk management, HSE reviews and escalation of HSE issues	○	●	●	●	○
P7	Define and monitor HSE objectives, key performance indicators (KPIs) and targets	➲	C31	HSE objectives, KPIs and targets are defined and communicated	●	●	●	●	○
		➲	C32	Objectives have defined owners and plans with agreed timescales in place to deliver them	●	●	●	●	○
		➲	C33	HSE performance is measured and reported against agreed KPIs	●	●	●	●	○
		➲	C34	Performance against KPIs and progress against objectives and targets are monitored by management and the relevant EMT	●	●	●	●	○

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Process
A set of related activities that must be carried out to achieve policy outcomes

Controls
The action we put in place to mitigate a risk(s) within a key process and/or the delivery of policy outcomes. These are mandated and are the minimum that should be implemented regardless of any local difference

Responsibility
for ensuring controls are in place and operating effectively

Process Ref	Description		Control Ref	Description	Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/ function (S127)	All Employees (S128)
P8	Develop competent workforce	➲	C35	HSE training requirements are defined, planned and recorded	○	●	●	●	○
		➲	C36	HSE induction is completed for all employees when joining or tasking on a new role with records maintained	○	○	○	●	○
		➲	C37	HSE training requirements are periodically reviewed and updated	○	●	●	●	○
P9	Incident planning, management and investigation	➲	C38	Procedures (including crisis management and business continuity plans dependent on risk) for responding to HSE incidents and emergency situations are in place and implemented when required	●	●	●	●	○
		➲	C39	The requirement for all employees to report HSE incidents to their line manager has been communicated	○	○	○	●	○
		➲	C40	All incidents and emergency situations are classified, reported and recorded on ASSURE	○	○	○	●	○

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Process
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Controls
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Responsibility
for ensuring controls are in place and operating effectively

Process Ref	Description		Controls Ref	Description	Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/ function (S127)	All Employees (S128)
		➲	C41	HSE incidents are investigated to a depth commensurate to the seriousness of the incident by competent individuals	○	●	●	●	○
P10	Promote HSE culture and Employee engagement	➲	C42	A consultation process (including issue resolution) engages employees (and third parties) in HSE decision making, development of policies and systems, setting of objectives and targets, changes in work practices and hazard identification and assessment	●	●	●	●	○
		➲	C43	HSE information is communicated to and from employees	●	●	●	●	●
		➲	C44	HSE is a regular agenda item on management and team meetings	●	●	●	●	○
P11	Managing sub-contractors	➲	C45	HSE induction is completed with records maintained for all sub-contractors	○	○	○	●	○
		➲	C46	Due diligence checks are completed for all sub-contractors to ensure they are approved as competent and able to fulfil their duties	○	●	●	●	○

5 Supporting documentation and guidance

The following should be read in conjunction with this standard:

Ref	Document
SMS-GS-G1	Consequence Management Group Standard
SMS-GS-RM1	Risk Management Group Standard
SMS-GS-RM2	Business Continuity Management Group Standard
SMS-GS-PSC1	Procurement and Supply Chain Group Standard
SMS GSOP-HSE1-6	Organisational Health & Safety Responsibilities GSOP
SMS GSOP-O1-2	Incident Reporting & Management GSOP
SMS GSOP-HSE1-26	Carbon Management GSOP
SMS GSOP-HSE1-27	Occupational Health & Safety Risk Assessment GSOP
	Code of Conduct

6 Definitions

Term	Definition
Accountability	Being accountable means being not only responsible for something but also answerable for your actions.
Responsibility	A responsible person is the individual who completes the task required. Responsibility can be shared and delegated. All responsible persons will also be accountable for completing tasks effectively. Non-compliance will have consequences which may include disciplinary action as defined within the Consequence Management Group Standard.
Group	Serco Group plc is the administrative centre of the organisation, responsible for setting corporate strategy, defining governance requirements and supporting the business in its day to day operations
Division	The Group will define a set of business divisions which will be responsible for business delivery within a defined set of markets or geographies.
Business Unit	A Business Unit is a cluster of contracts which provide a similar service e.g. Health, Defence, Transport etc. Where appropriate, a separate legal entity wholly owned or where Serco has a controlling share may also be referred to as a Business Unit, where appropriate. This may also refer to Counties/Territories

Contract	A Contract provides specified requirements to a customer (either directly with Serco or to a consortium/Joint Venture in which Serco is a party) A Contract will also refer to a corporate/functional area. Corporate/functional areas are functions which support the business and they include finance, HR, procurement etc.
HSE	Health, Safety and Environment
Organisation	Organisation refers to a site, Contract, Business Unit and Division. HSE Management Systems and Procedures must be proportionate and appropriate to the risks identified within all of these organisations.
Contract Manager	This refers to a manager with responsibility for managing the performance of a contract and can include a Contract Manager on a day-to-day basis (or Operational Manager with devolved responsibility), a Contract Director, Partnership Director and/or a Business Unit Managing Director

7   Further information and support

If you require any further information or support regarding this Group Standard, or if you have any suggestions for improvement, please contact the Accountable Policy Owner (Group) or email sms@serco.com