

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 SMS GS-HSE1: Health, Safety and Environment	Version 4
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Applicability Serco Group covering all business regions, operating companies and business units throughout the world ¹ covering: <ul style="list-style-type: none"> - 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'.	

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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 risk¹
- 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 applied²

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

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 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 shall 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 standards³
- 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 ASSURE⁴
- 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 requirements⁵

2.10 Performance measurement and monitoring

- S110. HSE performance will be measured against agreed indicators and the findings recorded and reported⁶
- 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 requirements⁷
- S116. HSE compliance assessments and audits will be:
 - a. planned
 - b. carried out by competent employees

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

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 consequences⁸

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

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				
Ref	Description	Ref	Description	Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
P1	HSE Responsibilities are defined and understood →	C1	<p>A Group HSE Lead is appointed by the Group CEO with responsibility for:</p> <ul style="list-style-type: none"> • 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 	●	○	○	○	○

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)
↪ C2	<p>The Corporate Responsibility and Risk Committee has responsibility for:</p> <ul style="list-style-type: none"> • approving the HSE strategy • providing oversight of HSE incidents and performance • reviewing material HSE risks 			●	○	○	○	○
↪ C3	<p>A Divisional HSE Lead is appointed by the Divisional CEO with responsibility for:</p> <ul style="list-style-type: none"> • 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 			○	●	○	○	○

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	Responsibility				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
			<ul style="list-style-type: none"> promoting a positive and just HSE culture, where HSE performance is continuously improved and leaders lead by example 					
		↪ C4	<p>Appropriate HSE resources are appointed by the Divisional HSE Lead and Business Unit MD with responsibility for:</p> <ul style="list-style-type: none"> 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 	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
		↪ C5	<p>Contract Managers and Corporate Functions Heads are responsible for:</p> <ul style="list-style-type: none"> 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 	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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)
	<ul style="list-style-type: none"> 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	<p>All employees are responsible for:</p> <ul style="list-style-type: none"> undertaking training provided and ensuring any mandatory training is kept up to date taking reasonable care of self and others' health and safety 			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

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	Responsibility				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
			<ul style="list-style-type: none"> following defined procedures, work instructions, method statements and risk assessments telling a line manager or HSE representative of any HSE concerns 					
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	○	○	○	●	○

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	Responsibility				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
			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	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		↻ C13	Hazards associated with electrical equipment used in the workplace are adequately identified, controlled, tested and maintained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		↻ C14	Chemicals and hazardous substances are appropriately stored and a Hazardous Substances register is maintained for all chemicals within the workplace	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		↻ C15	Hot work permits are in place prior to any hot works which are completed in line with agreed work instructions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		↻ C16	Energy sources are isolated and tested for dead prior to any work with an isolation permit used for all group isolations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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	Responsibility				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
➔ C17	Procedures and security measure are in place for those assessed as working remotely or isolated work			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
➔ 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			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
➔ C19	Work undertaken at height is subject to a height permit and undertaken by competent individuals and to agreed work instructions			<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
➔ 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			<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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Ref	Description	Ref	Description	Responsibility				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
P4	HSE Compliance	➔ C21	Legal and regulatory HSE requirements are monitored with changes reflected in systems, procedures and work instructions	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C22	A HSE compliance plan in place	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C23	HSE compliance and audit reports with action plans are produced to address non compliance	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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	○	●	●	●	○

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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	●	●	●	●	○

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)
P8	Develop competent workforce	➔ C35	HSE training requirements are defined, planned and recorded	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C36	HSE induction is completed for all employees when joining or tasking on a new role with records maintained	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C37	HSE training requirements are periodically reviewed and updated	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
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	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C39	The requirement for all employees to report HSE incidents to their line manager has been communicated	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C40	All incidents and emergency situations are classified, reported and recorded on ASSURE	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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Ref	Description	Ref	Description	Responsibility				
				Group (S122 – S124)	Division (S125)	Business Unit (S126)	Contract/function (S127)	All Employees (S128)
P10	Promote HSE culture and Employee engagement	➔ C41	HSE incidents are investigated to a depth commensurate to the seriousness of the incident by competent individuals	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ 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	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C43	HSE information is communicated to and from employees	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
		➔ C44	HSE is a regular agenda item on management and team meetings	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
P11	Managing sub-contractors	➔ C45	HSE induction is completed with records maintained for all sub-contractors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
		➔ C46	Due diligence checks are completed for all sub-contractors to ensure they are approved as competent and able to fulfil their duties	<input type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

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	<p>A responsible person is the individual who completes the task required. Responsibility can be shared and delegated.</p> <p>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.</p>
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	<p>A Business Unit is a cluster of contracts which provide a similar service e.g. Health, Defence, Transport etc.</p> <p>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.</p> <p>This may also refer to Counties/Territories</p>

Contract	<p>A Contract provides specified requirements to a customer (either directly with Serco or to a consortium/Joint Venture in which Serco is a party)</p> <p>A Contract will also refer to a corporate/functional area.</p> <p>Corporate/functional areas are functions which support the business and they include finance, HR, procurement etc.</p>
HSE	<p>Health, Safety and Environment</p>
Organisation	<p>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.</p>
Contract Manager	<p>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</p>

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