

## Guidance

# G1234

## Incident recording, investigation and reporting

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|------------|----|--------------|------------|
|            |    |              |            |
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## 1 Purpose

The purpose of this Guidance is to ensure that incidents are properly investigated, then promptly and accurately reported.

## 2 Scope

This guidance applies to to all incidents reported by Service Control and/or Trains Duty Managers, where:

- An 'Incident' can be defined as – “an unplanned event that results in, or in slightly different circumstances could result in harm to people, damage to property or the environment, or a loss of process.”
- The Company's requirements for incident reporting and investigation are set out in Standard S5557 (INCIDENT REPORTING AND LOCAL INVESTIGATION).

***This document is intended to clarify the application of these procedures for Service Controllers and Duty Managers.***

**Note :** It does not cover incident management nor incident reports generated by Station or non operational staff.

## 3 Guidance

### 3.1 Why is Incident Recording, Investigation and Reporting important?

Information gathered during and following an incident is used in a number of different ways. It is important that incidents are properly investigated, then promptly and accurately reported:

- to establish the causes
- to allow corrective and preventative action to be taken
- to provide management information
- to promote effective staff performance
- to provide a database and allow analysis of trends
- to underpin the operation of asset maintenance contracts
- to aid provision of information to Government, HSE, TfL and the Mayor's office

### 3.2 Identification, Recording and Assignment of Incidents

The Service Manager and/or Service Controller are required to monitor operation of the service through reports from Service Operators, Train Operators, Depot & Maintenance staff, other staff and electronic data. The standard S5557 details who the Service Controller should notify for specific types of incident. Attention is particularly drawn to the requirement for prompt recording of the incident using an Incident Summary Form (ISF) on the EIRF system.

All COO Asset failures will be issued via an automated process from the ISF to the APCC. It is therefore essential that core asset information is included within the ISF e.g.involvement assets such as Car or Signal number.

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### 3.4 Distribution of Incident Reports by Duty Managers

The Duty Manager on shift at the time of the incident is accountable for submission of the report within the shift it occurs, and no later than one working day after. Where a full report cannot initially be completed a Preliminary report is to be submitted.

***For details of distribution arrangements see Appendix 3 of this document***

If during investigation it is appropriate to raise an action with another party the Duty Manager should forward a copy of the incident report, and associated forms, as necessary in addition to the distribution detailed in Appendix 3, e.g. Staff issues to relevant Line Manager.

### 3.5 Review and Checking of Incident Reports

The quality of completed incident reports shall be reviewed by the Service Manager against the core criteria laid down in appendix 2 of this document. The workflow within EIRF provides a facility for this review.

### 3.6 Analysis of Incident Reports

The Insight Performance Information Team is responsible for collating data from incident reports relating to Train Service Disruptions and safety issues.

Service Performance data is stored on the CuPID database and as well as providing performance information for LUL is also used to monitor performance of asset maintainers and attribute lost customer hours.

Safety data such as SPADs, wrong side door openings, Injuries, etc is stored on LUSEA. This system is used for all safety reporting.

The Planning and Performance team is responsible for Root Cause analysis against Assets. This data forms part of the improvement initiatives to reduce in service failures and increase asset reliability. In particular, the understanding of repeat failures and data that support predict and prevent approaches to maintenance.

Any enquiries or requests for information and reports based on data collected from Incident Reports can be made via the Insight team contacts shown in Appendix 4 to this document.

**Local analysis of incident reports should be carried out as required to monitor staff performance.**

#### 4 Supporting information

| Number | Title                                                                                                                                                                                               | Source |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| S5-557 | INCIDENT REPORTING AND LOCAL INVESTIGATION<br><a href="http://onespace.tfl.gov.uk/lu/cms/CMSLibrary/S5/S5557.pdf">http://onespace.tfl.gov.uk/lu/cms/CMSLibrary/S5/S5557.pdf</a>                     | b      |
| WO849  | Ellipse data management & governance<br><a href="http://onespace.tfl.gov.uk/lu/cms/CMSLibrary/WI/W0849.pdf">http://onespace.tfl.gov.uk/lu/cms/CMSLibrary/WI/W0849.pdf</a>                           | b      |
|        | EIRF Intranet Help Pages<br><a href="http://luintranet.tfl.gov.uk/Working_here/Tools_services/Apps_tools/691.html">http://luintranet.tfl.gov.uk/Working_here/Tools_services/Apps_tools/691.html</a> | b      |

#### 5 Person accountable for the document

| Name         | Job title                       |
|--------------|---------------------------------|
| Jon Nye      | Insight Systems Manager         |
| Chris Baitup | Insight Senior Analysis Manager |

#### 6 Definitions

The following topic specific definitions are created:

- a) within London Underground's Glossary of Terms (1-622) (a Category 1 Standard)
- b) from published sources that are clearly identified.

| Term           | Definition                                                                       | Source |
|----------------|----------------------------------------------------------------------------------|--------|
| "Duty Manager" | includes Duty Reliability Managers (DRMs) and Duty Trains Staff Managers (DTSMs) | b      |

#### 7 Abbreviations

The following abbreviations are created:

- a) from within the glossary
- b) from other, identified published sources.

| Abbreviation | Definition                             | Source |
|--------------|----------------------------------------|--------|
| APCC         | Asset Performance Control Centre       | a      |
| EIRF         | Electronic Incident Report Form system | a      |
| IRF          | Incident Report Form                   | a      |
| ISF          | Incident Summary Form                  | a      |
| LCH          | Lost Customer Hour                     | a      |
| SPAD         | Signal Passed at Danger                | a      |

## 8 Document history

| Issue no. | Date          | Changes                                                                                                                                                                 | Author          |
|-----------|---------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|
| A1        | December 2011 | include guidance on incident reporting into the management system for COO Trains Managers                                                                               | J.Bryce         |
| A2        | March 2012    | As per DRACCT No. 796 update to contacts has been done following Horizon.                                                                                               | J Nye           |
| A3        | April 2015    | Update to reflect latest company structure, full use of ISF by all Lines, changes to ISF system to show LCH values, and Asset performance changes. DRACCT Ref No. 03624 | J Bryce / J Nye |

## 9 Attachments

Appendices 1 to 4 are attached:

## 9.1 Appendix 1. Service Disruption Recording-guidelines for Service Controllers

This appendix details the requirements for Service Controllers to record service disruptions, for the purposes of initiating investigations into the identification of root causes of incidents and calculating the LCH value for each incident. It **must** be read in conjunction with Standard S5557 - Incident Reporting & Local Investigation, which gives full details on the company's requirements for incident reporting.

The following areas are covered –

- Which types of items should be recorded using the ISF module within EIRF to produce the Daily Summary of Incidents sheet (formerly called the Daily F&D Sheet)
- Use of the ISF system
- Calculation of delay times
- Guidelines for appropriate levels of reporting using the ISF system
- Guidelines to achieving an accurate LCH value from the internal LCH calculator in ISF.

### 9.1.1 Incidents to be recorded on the Daily Summary of Incidents sheet using ISF

The following lists typical incidents to be recorded on the ISF Summary Of Incidents sheet. Note – this is a *minimum* requirement, local instructions may call for more comprehensive reporting. Additionally this is a requirement for ISF records only and the full Incident Reporting requirements of Standard S5557 *must* be met.

- Any train service incident which causes a delay to customers of two minutes plus, or causes a train to be cancelled or withdrawn from service.
- Fleet, Track or Signal faults affecting trains in service but not necessarily causing a two minute delay
- Any station or platform closure
- Safety related items which may not have caused a service delay, such as –
  - SPADs
  - Passenger overcarries to sidings
  - Platform or station overruns
  - Platform / Train interface incidents
  - Collisions / derailments in depots siding or involving engineers trains.
- Failure to stop
- Lost time through the road Loss of route selection
- Wrong signal lowered and accepted
- Lift stalled in shaft

### 9.1.2 Use of ISF

The ISF replaces the Daily Incident Summary sheet (sometimes known as F and D or line controllers sheet). Control room staff can use it to:

- Record the basic details of an incident
- As a means to communicate failures to the APCC. In this respect it replaces the need for fax/calls to APCC for minor incidents/failures.
- If required, nominate a duty manager to further investigate the item. In such cases, the completed ISF is sent to a nominated Duty Manager. They will receive it in the form of a partially completed IRF opened from their "To Do list", which can then be completed as normal.

All ISFs are automatically added to Control Room watch lists. At the end of each traffic day (currently approx 03:00), a PDF is automatically produced containing all the items for the completed traffic day. This is automatically pasted as the "Summary of Incidents" onto the Heartbeat site (Heartbeat Daily), from where it is possible to print the report - select the date and line required, then select the icon in the HB Line Reports section (bottom left of screen).

The following link gives access to the EIRF help pages –

[http://luintranet.tfl/Working\\_here/Tools\\_services/Apps\\_tools/691.html#page-link-isf-specific-functionality](http://luintranet.tfl/Working_here/Tools_services/Apps_tools/691.html#page-link-isf-specific-functionality)

This quick reference guide link gives specific instructions on completing an ISF

[http://luintranet.tfl/working\\_here/tools\\_services/apps\\_tools/2188.html](http://luintranet.tfl/working_here/tools_services/apps_tools/2188.html)

It is essential that the ISF is completed in a timely manner (i.e. 30mins post failure) as this has a direct impact on returning the asset to service and the management of repeat defects. For this reason it is encouraged that the LIS play a role in the creation of ISFs on behalf of the SC.

### 9.1.3 Incident Locations, Time and Calculation of Initial Delay / Incident Duration

The following is a guide for Service Controllers regarding the calculation of initial delays and incident durations to support the derivation of an accurate Lost Customer Hour figure.

The following general points should be noted:

- **Actual times** should be used unless stated otherwise. If the actual time was not recorded the time used should be the booked time of the train at the location plus any late running recorded at the last booking point on the line.
- **Initial delays** are rounded to the nearest minute if over 2 minutes.
- In general **initial delay** is calculated on the basis of the delay to a theoretical passenger who could have been travelling on or boarding the train when it was first delayed, or waiting for it at the train's first passenger pick-up point after entering service. Specific exceptions are noted in the table below.