

Guidance Document

G557 Electronic Incident Reporting Form

Asset Performance and Capital Programmes

Contents

1.0	Purpose	2
2.0	Scope	2
3.0	Roles & Responsibilities	3
4.0	Screen Controls.....	6
5.0	Near Hit Form.....	7
6.0	Full Incident Form	10
6.1.	Incident Details.....	10
6.2.	Description Tab	12
6.3.	People Involved.....	13
6.4.	Injury Details	14
6.5.	Initial Treatment	15
6.6.	Asset Details	16
6.7.	Train Details	16
6.8.	Immediate Causes	17
6.9.	Incident Reviewer (Submit to Reviewer).....	18
6.10.	Incident Reviewer (Reviewer Submit to Insight Team).....	19
6.11.	Environmental	19
7.0	Post Incident Review	20
7.1.	Incident Scoring	20
7.2.	Incident Scoring Matrix.....	22
7.3.	Immediate Findings.....	23
7.4.	48 Hour Report (Not applicable to suppliers to LU Capital Programmes)	24
7.5.	Lost Time Injury.....	26
7.6.	Local Investigation (Not applicable to suppliers to LU Capital Programmes).....	27
7.7.	Attach Evidence	32
7.8.	Additional Information (Not applicable to suppliers to LU Capital Programmes).....	33
7.9.	Post Review & Close Out.....	34
7.10.	Return to Work	35
8.0	Glossary	36
9.0	More Help	38
10	Document History	38



1.0 Purpose

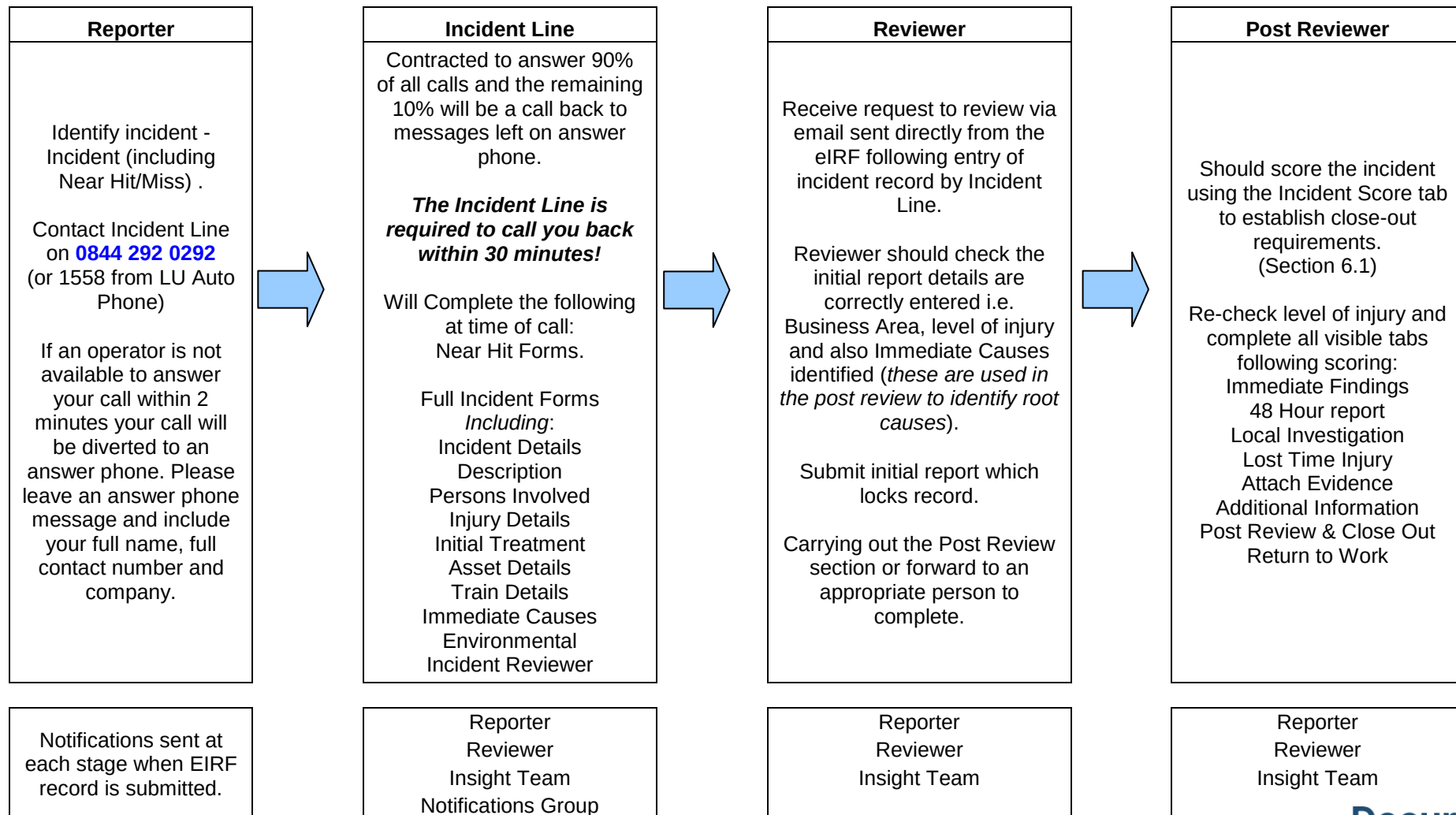
This document provides guidance on the use of the LU Electronic Incident Reporting Form, as required by Standards 1556 and 5557, to ensure that all incidents (including near misses) are recorded on an EIRF and tracked to closure.

2.0 Scope

This Guidance Document applies to all incidents arising from LU capital and maintenance works undertaken by LU or its supply chain.

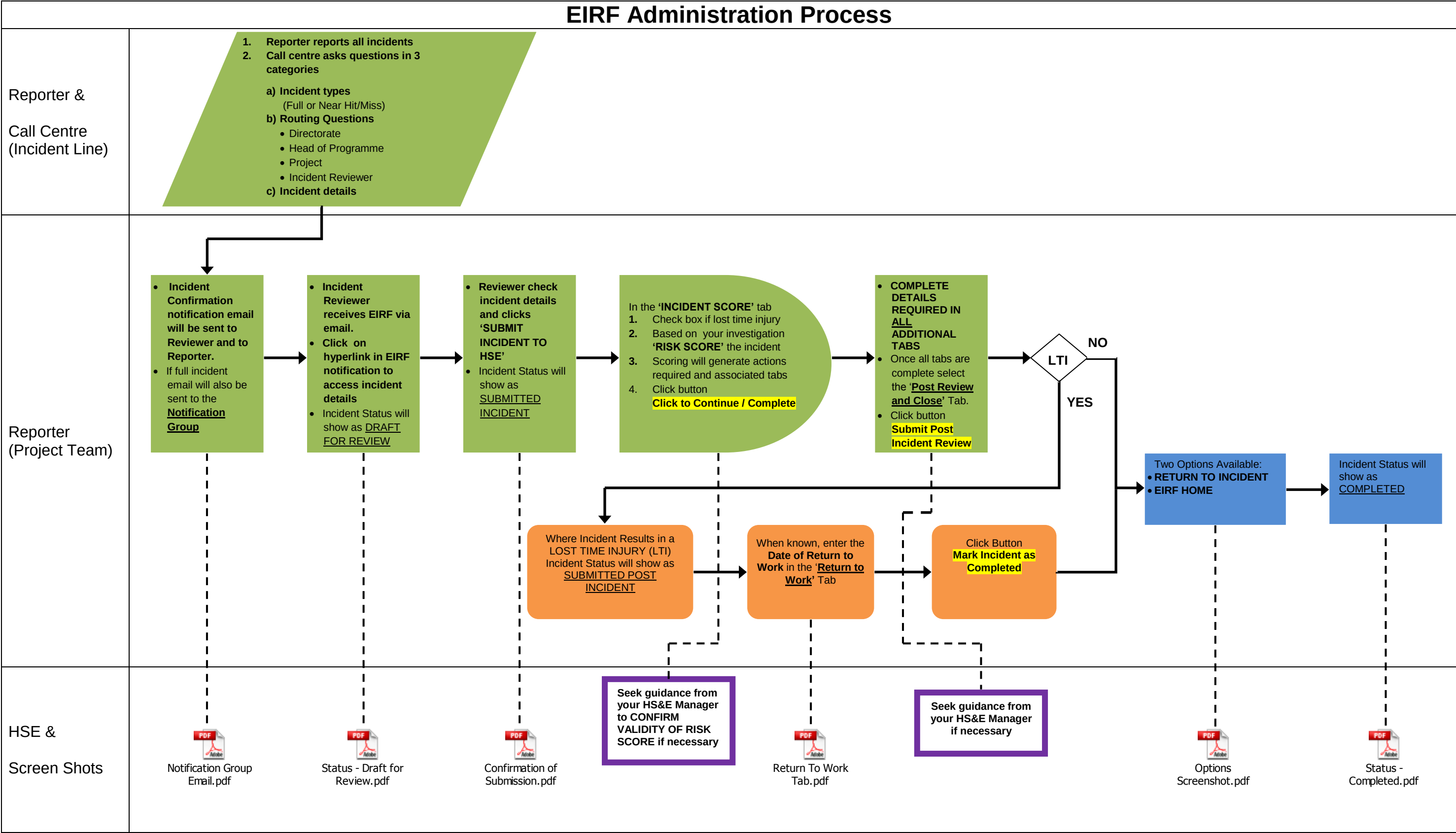
NB: The LU definition of an incident includes near misses (see Standard 1556)

3.0 Roles & Responsibilities

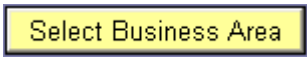
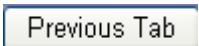
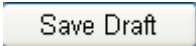
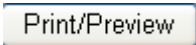
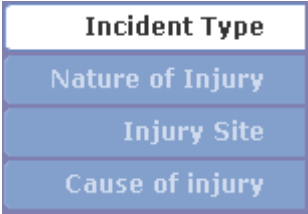
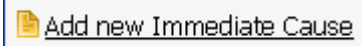
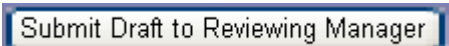


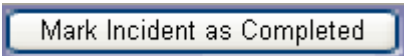
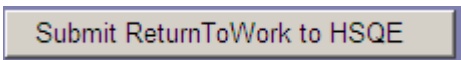


Notifications Group = A list of interested parties, according to the assigned 'Head of' or 'Programme' level, who will automatically receive either a text message and or email notifying them that the incident has occurred. Near Hits/Misses not included. To find out who is on the lists or to apply to get on to a list email incident.reporting@tube.tfl.gov.uk

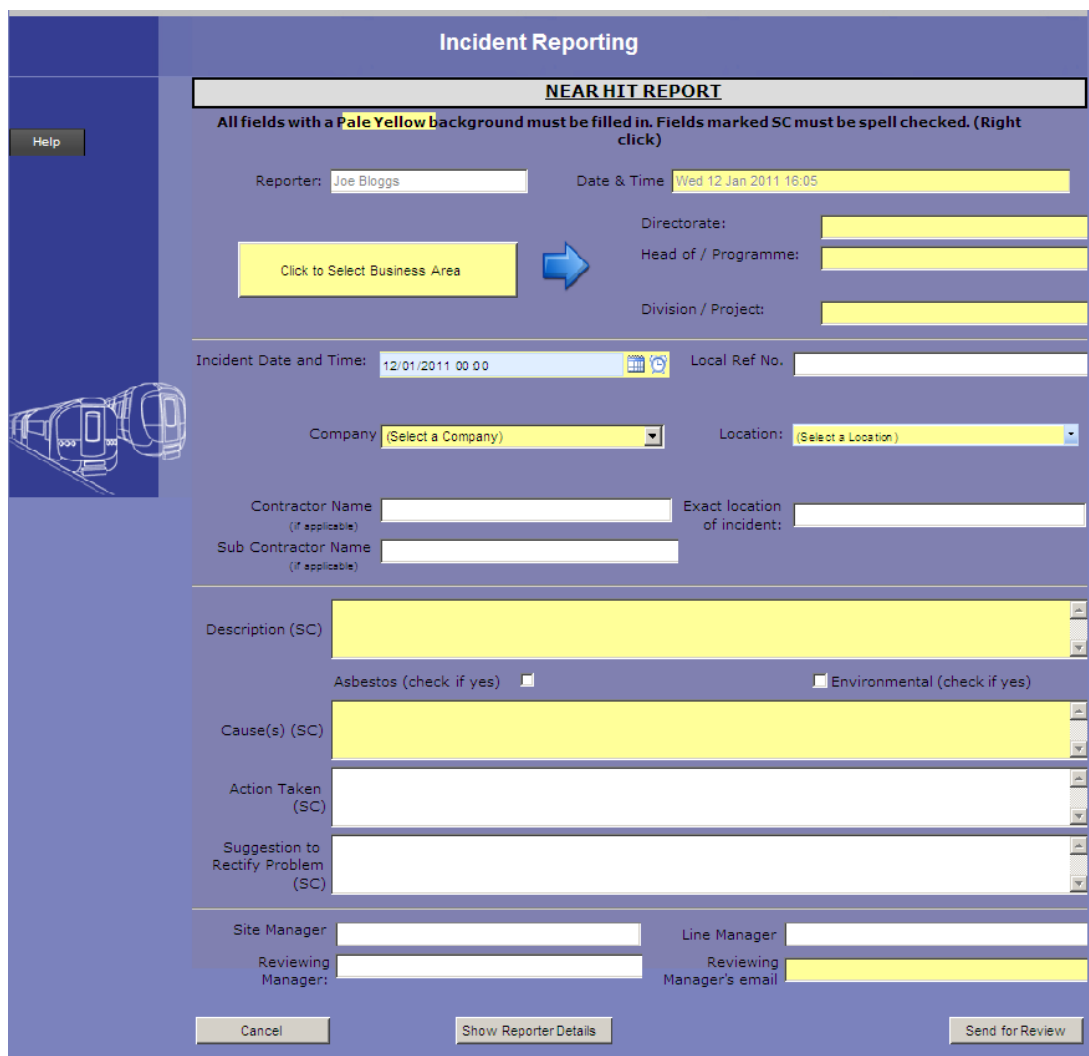


4.0 Screen Controls

Screen Function	Description
	User guide and contact information is available from this button.
	Fields with yellow backgrounds indicate a mandatory field which must be completed.
	The Select Business Area button is also mandatory. Press this button to view the organisation lists and assign the appropriate business area. Email incident.reporting@tube.tfl.gov.uk for a list of the up to date Business Areas.
	This button also opens the organisations list to assign appropriate business area.
	Use this button to move to the next screen (tab).
	Use this button to move to the previous screen (tab).
	Fields with an arrow, indicate that an option must be selected from the given list. Click on the arrow to view and scroll though the list.
	Date fields have calendar and time buttons to help select the correct date and time. Click on the icons to view the calendar and times.
	The user can save the information stored in the EIRF record at any time by pressing the Save Draft button located at the bottom of the EIRF screen. On pressing save, a link will be sent to the Reporter and to Insight who keep up to date records.
	The Show Report Details button reveals, in a separate window, contact information of the person who reported the Incident or Near Hit. The button is located at the bottom of the screen.
	The Print/Preview button allows the user to view and print a copy of the EIRF record.
	Where tables require entries, as on the People Involved tab, the Edit and Delete buttons are available next to each entry. Edit will allow the user to make changes to any of the table fields for the selected row and the Delete button will remove the row from the table.
	On the Injury Details tab user should select options from each of the four categories Type, Nature, Site (Body Part) and Cause of Injury.
	On the Immediate Causes tab, use this button to enter the causes. Minimum of 1 and a maximum of 3 entries are required.
	This button is used by the Incident Line to submit the EIRF record for Review. When pressed, an email will be sent to the Reporter, Insight and the Reviewer requesting that they review the incident.

	Notification emails and text messages to groups according to the assigned Business Area are also sent at this point.
	This button is used by the Reviewer following their initial review of the reported information within the EIRF record. When pressed an email is sent to the Reporter to inform them an update has occurred, and to the Reviewer confirming the update.
	Once the Reviewer has submitted the initial review, they will be asked to score the incident against Severity and Likelihood. This button saves the scoring and reveals the tabs required for completion close-out.
	This button is available from the Return to Work tab and is used once the Return to Work Date is completed.
	This button is also available from the Return to Work tab and is used to close out the eIRF record. Once pressed an email is sent to the Reporter, the Reviewer and the Insight Team.

5.0 Near Hit Form



Incident Reporting

NEAR HIT REPORT

All fields with a **Pale Yellow** background must be filled in. Fields marked SC must be spell checked. (Right click)

Reporter: Joe Bloggs Date & Time: Wed 12 Jan 2011 16:05

Click to Select Business Area

Directorate: Head of / Programme: Division / Project:

Incident Date and Time: 12/01/2011 00:00 Local Ref No.

Company: (Select a Company) Location: (Select a Location)

Contractor Name (if applicable) Exact location of incident: Sub Contractor Name (if applicable)

Description (SC) Asbestos (check if yes) Environmental (check if yes)

Cause(s) (SC)

Action Taken (SC)

Suggestion to Rectify Problem (SC)

Site Manager: Line Manager: Reviewing Manager: Reviewing Manager's email:

Cancel Show Reporter Details Send for Review

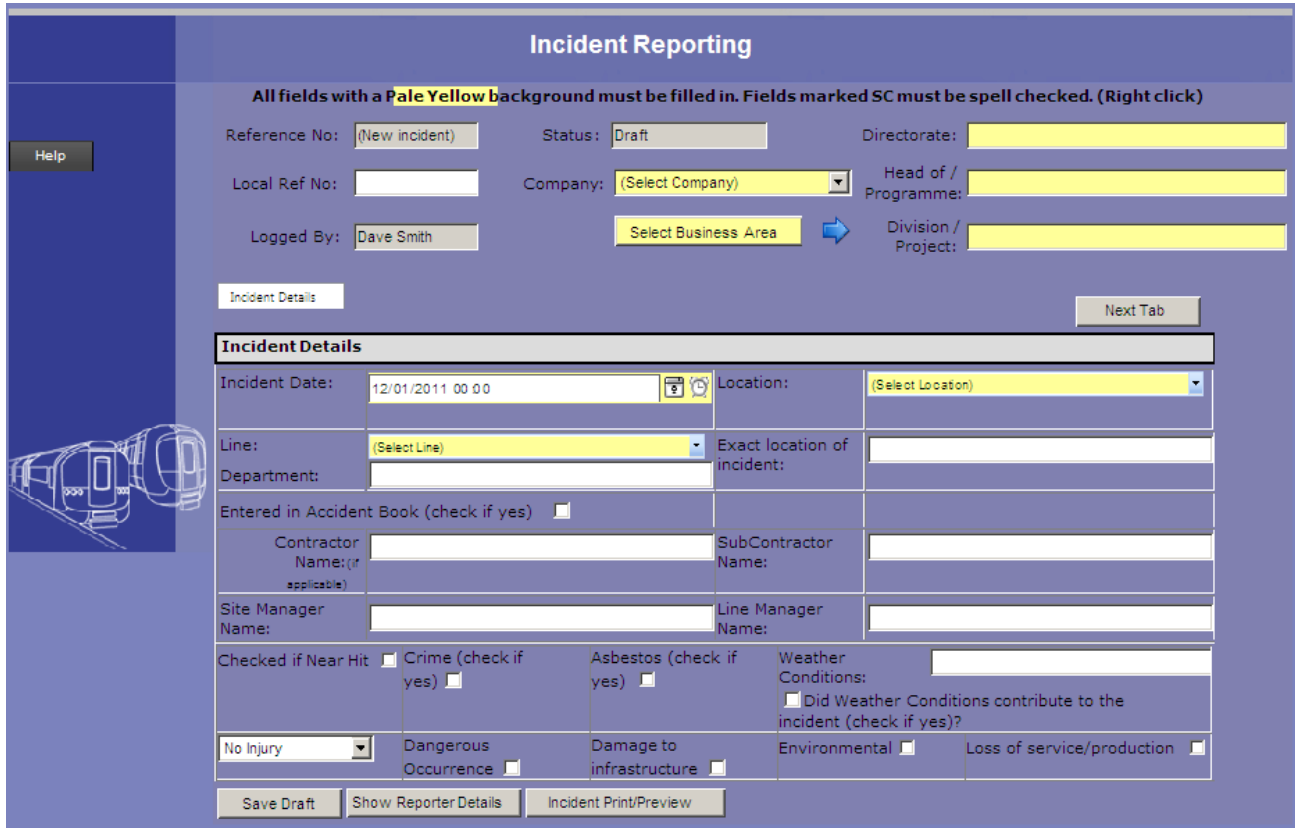
Ref	Fieldname / Button	Requirement
1	Reporter	Name of person calling the Incident Line . Entered on First screen following logon screen by Incident Line Operator.
2	Date & Time	Date and time of report entered, automatic entry.
3	Click to Select Business Area	Button. Click to assign Business Area according to the current organisation structure. On click a new screen opens with three fields for completion Directorate (Level 1), Head of / Programme (Level 2) and Division / Project (Level 3). Drop down lists reflect the current organisation at each level. The Head of / Programme options are restricted according to the selected Directorate and the Division / Project options are restricted according to the Head of / Programme options.
4	Directorate	Field is locked. Entry by the Click to Select Business Area button.
5	Head of / Programme	Field is locked. Entry by the Click to Select Business Area button.
6	Division / Project	Field is locked. Entry by the Click to Select Business Area button.
7	Incident Date and Time	Date and Time Near Hit/Miss occurred. This can be typed directly or by using the Calendar and Clock buttons to the right of the field.
8	Local Ref No	Reference used by the reporter's local area to identify Near Hit/Miss report.
9	Company	LU business area which is responsible for the work or location where the Near Hit/Miss occurred; LU, LU Nominee BCV Ltd, LU Nominee SSL Ltd, Supplier, Sub Contractor.
10	Contractor Name	Business name of the Contractor involved in the Near Hit/Miss .
11	Sub-Contractor Name	Business name of the Sub-Contractor involved in the Near Hit/Miss .
12	Location	Location of the Near Hit/Miss. A list of all LU locations is provided in list format. As you type the location a search will find a match within the list.
13	Exact Location	A more exact location then provided on the list above i.e. '5 th Floor' or 'Escalator 3'
14	Description	A detailed description of the events. Fields with (SC) have spell-checker facilities click right-mouse button when in field to use.
15	Asbestos	If the report is suspected or actual identification of Asbestos this box should be ticked. On submission the Asbestos Team will be informed and contribute to any investigation.
16	Environmental	If the report is related to an Environmental issue then this box should be ticked. On submission the Environmental Team will be informed and contribute to any investigation.
17	Cause(s)	Detail of any identifiable causes or possible causes should be entered in this field.
18	Action Taken	Detail of the immediate action taken following the Near Hit/Miss i.e. 'Site made safe', 'First Aid given', etc.
19	Suggestion to Rectify Problem	Detail of what has or should be done to prevent a reoccurrence of the incident.
20	Site Manager/Site Person in Charge (SPC)	Person responsible for the worksite or location.
21	Line Manager	Person responsible for the staff on site.
22	Reviewing Manager	Person responsible for the work and staff and ensuring that the preventative actions are implemented.
23	Reviewing Manager's Email	Reviewing managers email address. This needs to be correct as, on submission, the reviewer will receive a request to review the Near Hit/Miss report and close



		out any actions.
24	Cancel	Button. Will cancel the report and close the form returning the user back to the logging of report details. Note: Any information in the fields when Cancel is pressed will be lost.
25	Show Reporter Details	Button. Opens a window showing details of the Reporter including Name, Email address and Contact Number.
26	Send for Review	Once all mandatory fields (those with yellow highlight) have been completed, pressing Send for Review will save the report with a unique reference which will be displayed. An email with link back into the record will be sent to the Reporter, Reviewer and the Insight Team.

6.0 Full Incident Form

6.1. Incident Details

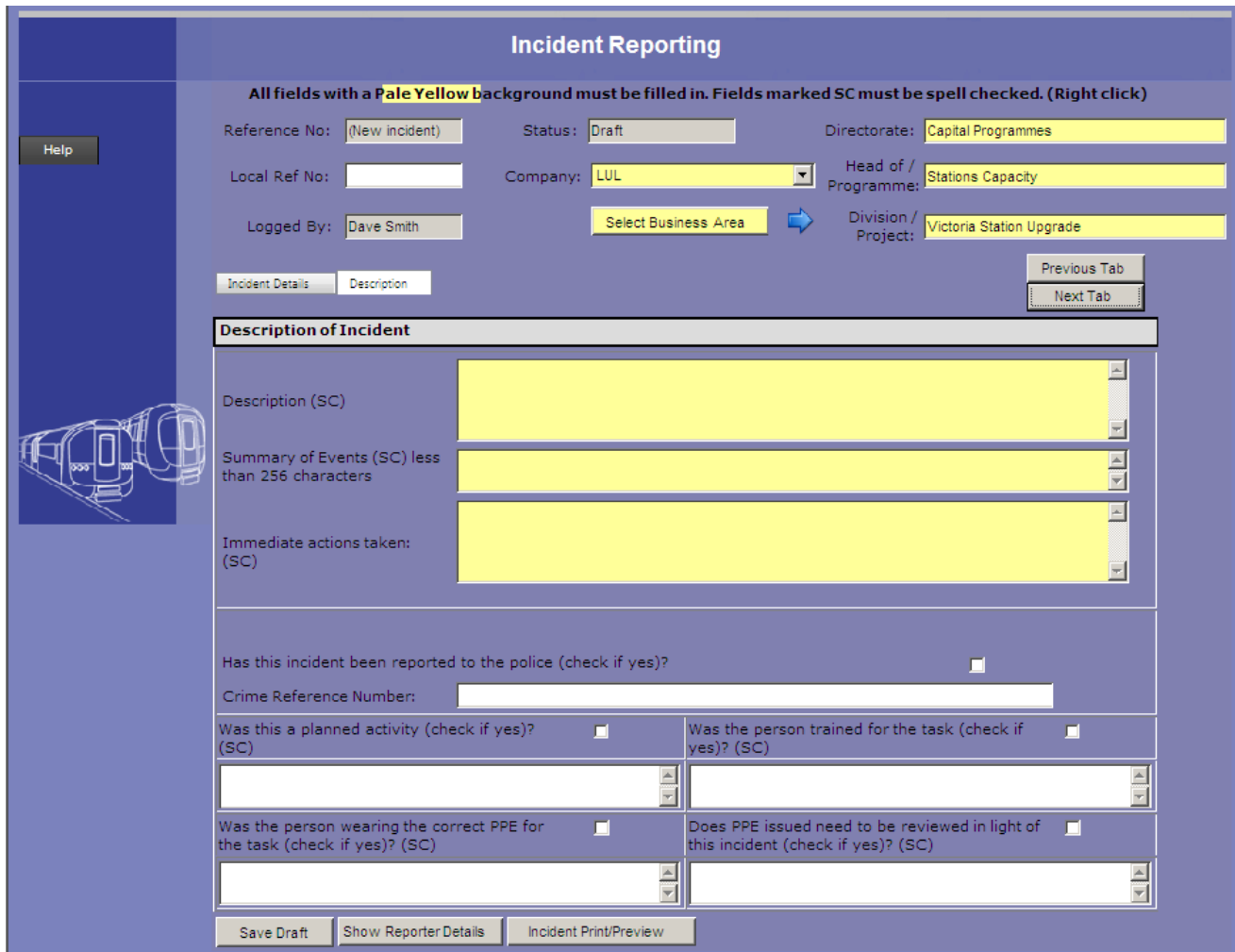


The screenshot shows the 'Incident Reporting' form. At the top, a note states: 'All fields with a Pale Yellow background must be filled in. Fields marked SC must be spell checked. (Right click)'. The form includes fields for Reference No (New incident), Status (Draft), Directorate, Local Ref No, Company (Select Company), Head of / Programme, Logged By (Dave Smith), Select Business Area, and Division / Project. Below these is the 'Incident Details' section, which includes Incident Date (12/01/2011 00:00), Location (Select Location), Line (Select Line), Department, Entered in Accident Book (checkbox), Contractor Name, SubContractor Name, Site Manager Name, Line Manager Name, Checked if Near Hit, Crime (checkbox), Asbestos (checkbox), Weather Conditions, Did Weather Conditions contribute to the incident (checkbox), No Injury, Dangerous Occurrence, Damage to infrastructure, Environmental, and Loss of service/production. At the bottom are buttons for Save Draft, Show Reporter Details, and Incident Print/Preview.

Ref	Fieldname / Button	Requirement
1	Reference No	Unique reference Number generated by the eIRF system at time of saving or submitting. Field is locked.
2	Local Ref No	Reference used by the reporter's local area to identify incident.
3	Logged By	Name of person calling the Incident Line . Entered by Incident Line Operator.
4	Status	Shows the process step at which the incident record is currently at: Draft – Initial entering of record, Not yet submitted for review. Draft for Review – Record has been submitted to Reviewing manager for their review and submitting. Submitted Incident – Initial Report has been reviewed and submitted. Requires Post Review. Submitted Post Incident Report – Follow up detail has been submitted i.e. Findings of Investigations, Root Causes identified, Preventative Actions implemented. May Still require Return to Work details if incident is a Lost Time Injury (LTI) . Submitted Return to Work – Return to Work details have been submitted and record is now complete and closed. Record is now Locked. Complete – All Required Information has been completed and record is now locked.
5	Company	LU business area which is responsible for the work or location where the incident occurred; LU, LU Nominee BCV Ltd, LU Nominee SSL Ltd, Supplier, Sub Contractor.

6	Select Business Area	Button. Click to assign Business Area according to the current organisation structure. On click a new screen opens with three fields for completion Directorate (Level 1), Head of / Programme (Level 2) and Division / Project (Level 3). Drop down lists reflect the current organisation at each level. The Head of / Programme options are restricted according to the selected Directorate and the Division / Project options are restricted according to the Head of / Programme options.
7	Directorate	Field is locked. Entry by the Click to Select Business Area button.
8	Head of / Programme	Field is locked. Entry by the Click to Select Business Area button.
9	Division / Project	Field is locked. Entry by the Click to Select Business Area button.
10	Incident Date	Date and Time incident occurred. This can be typed directly or by using the Calendar and Clock buttons to the right of the field.
11	Line	Related Line where the incident occurred.
12	Department	Related department responsible for the activity or the location.
13	Location	Location of the Incident. A list of all LU locations is provided in list format. As you type the location a search will find a match within the list.
14	Exact Location	A more exact location than provided on the list above i.e. '5 th Floor' or 'Escalator 3'
15	Entered in Accident Book	Some accident books are still being used; if the incident has been entered into the Accident Book then this field should be ticked.
16	Contractor Name	Business name of the Contractor involved in the incident.
17	Site Manager Name	Person responsible for the worksite or location.
18	Sub-Contractor Name	Business name of the Sub-Contractor involved in the incident.
19	Line Manager Name	Person responsible for the staff on site.
20	Checked if Near Hit	Definition of Near Hit : Near Hit / Near Miss
21	No Injury (Choose)	No Injury / Minor Injury / Major Injury / Fatal Injury
22	Crime	If the report is Crime related this field should be ticked. If the field is ticked complete
23	Dangerous Occurrence	If Incident is a Dangerous Occurrence this field should be ticked.
24	Asbestos	If the report is suspected or actual identification of Asbestos this box should be ticked. On submission the Asbestos Team will be informed and contribute to any investigation.
25	Damage to Infrastructure	If as a result of the incident damage was done to any structure i.e. building / bridge / tunnel / track etc, this field should be ticked.
26	Weather Conditions	Details of weather conditions at time of incident.
27	Did Weather Conditions Contribute to the Incident	If the weather contributed to the incident occurring, i.e. 'Ice caused the person to slip', then this field should be ticked.
28	Environmental	If the report is related to an Environmental issue then this box should be ticked. On submission the Environmental Team will be informed and contribute to any investigation.
29	Loss of Service/production	If, as a result of the incident, there was a loss of passenger service or production of works, this field should be ticked.
30	Save Draft	Button. Allows the user to save the details entered into the record without submitting, keeping the record unlocked.
31	Show Reporter Details	Button. Opens a window showing details of the Reporter including Name, Email address and Contact Number.
32	Print / Preview	Button. Opens a printable report of the incident record.
33	Next Tab	Button. Takes user to the next tab to be completed.

6.2. Description Tab



Incident Reporting

All fields with a **Pale Yellow** background must be filled in. Fields marked SC must be spell checked. (Right click)

Reference No: (New incident) Status: Draft Directorate: Capital Programmes

Local Ref No: Company: LUL Head of / Programme: Stations Capacity

Logged By: Dave Smith Select Business Area Division / Project: Victoria Station Upgrade

Incident Details Description

Description of Incident

Description (SC)

Summary of Events (SC) less than 256 characters

Immediate actions taken: (SC)

Has this incident been reported to the police (check if yes)?

Crime Reference Number:

Was this a planned activity (check if yes)? (SC) Was the person trained for the task (check if yes)? (SC)

Was the person wearing the correct PPE for the task (check if yes)? (SC) Does PPE issued need to be reviewed in light of this incident (check if yes)? (SC)

Save Draft Show Reporter Details Incident Print/Preview

Ref	Fieldname / Button	Requirement
1	Description	A detailed description of the events. Fields with (SC) have spell-checker facilities click right-mouse button when in field to use.
2	Summary of Events	A brief description of the incident not exceeding 255 characters. Required only if the text in the Description field exceeds 255 characters. The eIRF will notify the user if this field requires an entry.
3	Immediate Actions Taken	Detail of the immediate action taken following the incident i.e. 'Site made safe', 'First Aid given', etc.
4	Was this activity planned	Used to identify if the activity was part of a planned work activity which should have been risk assessed or not.
5	Was the person trained for the task	Used to identify competency of person carrying out the task.
6	Was the person wearing the correct PPE for the task	Use to identify if the Personal Protective Equipment (PPE) was being used and if it was appropriate for the activity.
7	Does PPE issue need to be reviewed in light of this incident	Use to establish if the correct PPE is available to employees.