

Category 5 Standard

S5557

Incident Reporting & Local Investigation

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Contents

1	Purpose	3
2	Scope	3
3	Requirements	3
3.1	Notification of Incidents within LU	3
3.2	Notifying other Train Operating Companies and Infrastructure Controllers	4
3.3	Notifying Regulators	4
3.4	Recording Incidents	4
3.5	Access to information by Health and Safety Representatives	5
3.6	Investigating Incidents	5
3.7	Local use of EIRFs / Incident Reports	7
3.8	Formal Investigations	7
3.9	Retention of Records	7
3.10	Rail Accident Investigation Branch	7
3.11	Confidential Incident Reporting and Analysis System (CIRAS)	7
3.12	Civil Legal Proceedings – Implications for Managers	7
4	Responsibilities	8
4.1	All responsibilities in relation to this Standard are outlined in Section 3.	8
5	Supporting information	8
5.1	Type of incidents requiring notification and reporting	8
5.2	Local Investigations	9
6	References	11
6.1	References	11
6.2	Abbreviations	12
6.3	Definitions	12
6.4	Person accountable for the document	15
6.5	Document history	15

1 Purpose

- 1.1 The purpose of this Standard is to define the requirements to ensure that a robust method of recording and investigating incidents is maintained to prevent recurrence.

2 Scope

- 2.1 This Standard applies to all LU Directorates and covers the notification, recording and reporting of incidents, dangerous occurrences and near misses, both within LU and to external parties.

Note: The term near miss means the same as near hit

3 Requirements

3.1 Notification of Incidents within LU

- 3.1.1 Managers shall ensure that all staff, contractors and tenants are made aware of LU's requirement to notify and report incidents (including near-misses) and how this should be done.
- 3.1.2 The Manager with responsibility at the time of the incident for:
- a) the area in which the incident occurred, or
 - b) the activity taking place
- shall ensure that incidents are notified immediately to the relevant manager, station supervisor or control centre.
- 3.1.3 Managers shall notify Health and Safety Representatives (or in their absence one of their colleagues) as soon as possible of incidents which affect, or could have affected, employee health and safety by the quickest means practicable.
- 3.1.4 The Network Operation Centre (NOC) shall notify the TfL Chief Officers and the HSE General Manager, London Rail and Corporate:
- a) Significant incidents where the final total costs (loss) are likely to be excessive (e.g. over £1,000,000) to TfL, including those covered by insurance or
 - b) Incidents resulting in 3 or more people requiring treatment in hospital due to accidental injury or
 - c) Fatality to employee, contractor, transport user or member of the public on TfL property or premises (excluding suicide or suspected suicide, non-work related medical fatality or crime-related) or
 - d) Incidents (including environmental incidents) where prosecution is likely, there is regulatory interest or there is (or there is likely to be) significant media attention.
- 3.1.5 Where it is not evident that the defined criteria will be met until after an investigation has commenced, notification shall be made by HSE as soon as it has been established that the criteria will be met.

3.2 Notifying other Train Operating Companies and Infrastructure Controllers

- 3.2.1 The line Service Control function, Network Operations Centre (NOC) or Maintenance Control Centre shall immediately notify other train operators and infrastructure controllers where:
- a) such notification is required under The Railways and Other Guided Transport Systems (Safety) Regulations or Railway Group Standards, or
 - b) the incident affects (or could have affected) their operations.

3.3 Notifying Regulators

- 3.3.1 The NOC shall notify the Office of Rail Regulation (ORR) Rail Accident Investigation Branch (RAIB) immediately of incidents as outlined in 5.2.
- 3.3.2 HSE shall notify in writing:
- a) the ORR, where required to do so under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR),
 - b) the Environment Agency of significant environmental incidents,
 - c) the RAIB, where required to do so under the Railways (Accident Investigations and Reporting) Regulations.

3.4 Recording Incidents

3.4.1 Reporting Incidents – ALL DIRECTORATES

- 3.4.1.1 All incidents (including near misses) shall be recorded at the very earliest opportunity, usually by the person responsible for the location / activity giving rise to the incident or the person affected.
- 3.4.1.2 The basic details shall be recorded on an incident report within 24 hours and preferably before the end of the shift in which the incident occurred. Completed incident reports shall be reviewed for quality by the appropriate manager for the person, location or activity involved.
- 3.4.1.3 HSE shall seek incident records from other organisations where incidents have, or could have, affected LU staff, operations, infrastructure or premises.
- 3.4.1.4 If an incident results in a lost time injury to one or more employees, a 'Go Look See' must be completed by a senior manager within 14 days of the injured person returning to duty (this is in addition to any level of investigation). The local health and safety representative(s) should be informed of 'Go Look Sees' that affect staff they have been elected to represent.
- 3.4.1.5 All employees and suppliers shall report all incidents (including near misses) APD and CPD using the LU Incident Line (0844 292 0292 or LU Auto 1558) and COO using the Electronic Incident Reporting form (EIRF).
- 3.4.1.6 Where incidents result in a LTI or may result in a LTI, a 48 hour report will be completed by the line manager and attached to the incident record.
- 3.4.1.7 Staff injuries or illnesses that occur in connection with work shall be recorded on a 'Record of Workplace Injury or Illness' form (RWIIF), in addition to the EIRF.
- 3.4.1.8 Where a member of staff is assaulted, a 'Staff Assault Report Form' (SARF) shall be completed in addition to the EIRF.

- 3.4.1.9 Where signals are passed at danger, a 'SPAD continuation form' shall be completed in addition to the EIRF (in the event of the electronic system being unavailable, paper forms shall be used).
- 3.4.1.10 Where EIRFs are unavailable, a paper Incident Report Form (IRF) shall be completed. Paper IRFs shall only be used where Electronic Incident Report Forms are unavailable. Distribution of hard copies of forms is as follows:
- a) The white copy is sent to the Insight (for COO) or HSE (for Non-operational Directorates) immediately.
 - b) The pink copy is retained locally for review and ultimately forwarded to Insight (for COO) or HSE (for Non-operational Directorates) when the results of the investigation have been recorded on it.
 - c) For SPAD incidents, a photocopy of the SPAD form is sent to the Employing Manager of the member of staff involved in the SPAD.
- 3.4.1.11 Any revisions to EIRFs that are subsequently made by managers shall be forwarded to Insight.
- 3.4.1.12 Insight shall forward the received IRFs and associated information to HSE.

3.4.2 SAP

- 3.4.2.1 Employing managers are responsible for ensuring that details relating to incidents involving employees are entered onto SAP.
- 3.4.2.2 When an employee is absent from work due to a workplace injury or illness this shall be recorded on SAP.
- 3.4.2.3 When an employee returns to work following an absence associated with a workplace injury or illness this shall be recorded on SAP.

3.4.3 Road traffic accidents

- 3.4.5.1 In the event of an incident involving an LU-owned or leased vehicle there are two recording requirements to be met:
- a) the EIRF for COO / Incident Line for APD and CPD
 - b) the forms contained in the Driver's Log (which is in every vehicle).

3.5 Access to information by Health and Safety Representatives

- 3.5.1 Health and Safety Representatives shall be given access to information relating to any injury, incident, dangerous occurrence that affected (or could have affected) the health or safety of any employee in the area of the business that they are elected to represent. Information relating specifically to an individual shall not be provided unless the individual has consented to it being disclosed

3.6 Investigating Incidents

- 3.6.1 The person responsible for the location or activity in which the incident occurred, shall initiate an investigation for all incidents that is proportionate to the level of risk. This investigation shall determine the details of the incident; identify the immediate cause and local corrective actions taken immediately following the incident. The investigative process shall only start once:

- a) the area surrounding the incident has been secured and made safe so that any hazards / risks (including environmental risks) which may be present are controlled
 - b) the relevant persons have been notified of the incident (including health and safety representatives where relevant), and
 - c) any evidence is preserved.
- 3.6.2 The initial investigation findings (including the identification of immediate causes) shall be recorded on the EIRF / Incident Line within 24 hours of the incident, preferably by the end of the shift in which the incident occurred.
- 3.6.3 Local management or HSE shall highlight any incidents to the local Business Manager which may require a local investigation.
- 3.6.4 The local Business Manager and HSE Senior Manager shall decide if further local investigation is required. This may range from a fact finding exercise to a detailed local investigation depending on the severity and likelihood of the incident. For APD/CDP the EIRF is scored by severity and likelihood to assess the relevant level of investigation.
- 3.6.5 Where a Local Investigation has been requested by a Health and Safety Representative and a decision is made not to undertake one, the reasons for this should be communicated to the Health and Safety Representative(s) making the request.
- 3.6.6 Any investigation other than the initial investigation completed on the EIRF shall be carried out by a competent person (one who has been trained in investigation techniques) and assistance shall be sought from the following persons subject to their availability:
- a) Health and Safety Representatives, in the case of an incident either involving an employee or having the potential to do so. If local Health and Safety Representatives are not available, efforts should be made to provide a representative from the relevant Health and Safety Council.
 - b) other persons with expertise believed to be relevant to the incident.
- 3.6.7 Investigations shall not seek to apportion blame but to identify:
- a) what happened
 - b) Any evidence to be preserved and recorded.
 - c) the immediate causes and how they arose
 - d) root causes (also known as underlying causes)
 - e) remedial actions to make the situation safe and prevent a recurrence
 - f) who such actions should be allocated to
- 3.6.8 Immediate actions required to prevent a recurrence shall be notified to the person(s) responsible for the action(s).
- 3.6.9 The relevant Senior HSE Manager shall review completed incident reports and local investigations to assess whether or not there is information in them which merits wider distribution or further investigation and act accordingly.