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Health, Safety and Environmental Management System

Notification of Serious Incidents (NOSI)

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Issue	Date	Purpose
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1.0 PURPOSE & SCOPE

- 1.1 This procedure defines the process requirements for notification of serious incidents, in support of the general requirements of **HSEMS 4.7 Internal Incident Reporting and Investigation** and **HSEMS 4.3 Bus Operator Incident Reporting and Investigation**.

2.0 GENERAL REQUIREMENTS

2.1. Responsibilities

- 2.1.1. The Safety Performance Manager is responsible for the management of the NOSI process and implementation of the requirements of this procedure.
- 2.1.2. The Safety Manager (Buses) is responsible for ensuring TfL Group Safety are notified of incidents defined in TfL Group Safety Procedure **4-02 Group Review of Major Incidents**.

2.2. Notification of Serious Incidents on Bus Network

- 2.2.1. **HSEMS 4.7 Internal Incident Reporting and Investigation** defines the general requirements for notification of serious incidents involving London Bus Operators.
- 2.2.2. The Safety Performance manager will review all incident reports received and identify those that require the generation of a Notification of Serious Incident Form (NOSI). Should there be an incident that causes significant environmental damage the Safety Performance manager must liaise directly with the Environmental Manager.
- 2.2.3. The Safety Performance Manager will liaise with the Bus Operator to ensure completion on the NOSI forms and as required request a copy of the driver incident report to be faxed or emailed as soon as possible.
- 2.2.4. Using information obtained from operator and Network Operations staff, the Safety Performance Manager is to issue a notice to the senior management team and other identified individuals advising of a serious incident on the bus network within 48 hours of the incident.
- 2.2.5. NOSI forms are to be sent to the Bus Operator for completion with details of the outcome of their investigation. On receipt of this information the Safety Performance Manager, in liaison with the Environmental Manager where necessary, is to summarise the main findings of the investigation and circulate this to members of the Safety Governance Meeting (SGM) or Environmental Governance Meeting (EGM) as appropriate.
- 2.2.6. Appendix A to this procedure contains guidance to Bus Operators on use of the NOSI process and defines what LBSL require from them. This includes definition of incidents that are categorised as serious with respect to bus operations.



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2.3. Notification of Serious Incidents to TfL Group Safety

2.3.1. TfL Group Safety Procedure **4-02 Group Review of Major Incidents** require LBSL to notify them of all incidents that fall within the following criteria:

- Significant incidents where the total final costs (loss) are likely to be excessive (e.g. over £1, 000, 000) to TfL including those covered by insurance
- Incidents resulting in 3 or more people requiring treatment in hospital due to accidental injury
- 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)
- Incidents (including environmental incidents) where prosecution is likely, there is regulatory interest or there is (or likely to be) significant media attention

2.3.2. **HSEMS 4.8 Formal Incident Investigation** defines the process for investigating and reporting the findings of this into incidents that fall into the categories listed in 2.3.1.

3.0 REFERENCES

3.1 The following legislation applies to this procedure:

- Management of Health & Safety at Work Regulations 1999
- Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995
- Social Security Act 1985
- Data Protection Act 1998
- Environmental Damage (Prevention and Remediation) Regulations 2009

3.2 This documents supports and is supported by the following HSEMS documents:

Number	Title
HSEMS 4.3	Bus Operator Incident Reporting & Investigation
HSEMS 4.7	Internal Incident Reporting and Investigation
HSEMS 4.8	Formal Incident Investigation
TfL	Group HSE Procedure 4.02 – Group Review of Major Incident Investigation



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APPENDIX A – GUIDANCE FOR BUS OPERATORS ON NEW NOSI PROCESS

Introduction

London Buses is committed to working with bus operators to reduce incidents on the bus network. We know that bus operators, through their commitment to safety, are already fully engaged in this agenda, but there is now a need to develop and maintain clear structures for dealing with serious incidents as a collective.

Every year, around 100 “serious” incidents (as defined below) occur across the entire bus network. Accepting that this is the tip of the iceberg, we are required to co-ordinate efforts to understand these incidents, establish any trends or patterns and satisfy our stakeholders that buses remain a safe mode of transport. Furthermore, by systematically improving our understanding of these incidents, we will enhance our ability to evaluate current controls in place to reduce incidents on the bus network to as low as reasonably practicable.

We hope that you will find this information useful in engaging with us to further improve the notification and investigation of serious incidents.



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Serious Incidents categorisation

Incident Category	Background / Rationale
Fatalities	Refers to fatal incidents on the bus network including medical related incidents.
Bus collision with low bridge and overhead structures	There are over 1,400 low bridges in London. London Buses works with various agencies to reduce the likelihood of buses colliding with them. The purpose, therefore, is for all collision incidents to be reported to ensure that Network Rail carry out a survey of the bridge following the incident and for bus operators to investigate all incidents to help provide assurance that steps to reduce bridge strikes are effective. This category includes other limited headroom obstructions.
Bus collision with other structures	This category covers serious collision incidents with structures such as buildings, bus shelters, lamp posts etc.
Fires on bus	Electrical/Mechanical: All electrical/mechanical fire incidents involving buses where flames were seen. Malicious: Intentional act of arson resulting in major damage to bus.
Bus collision with trees and overhanging branches	For the purpose of the NOSI process, tree strikes will be classified as incidents where bus collisions with a tree or its branches result in major damage to the bus e.g. broken windscreen. Bus operators must continue to report all tree strikes to CentreComm and record all incidents in IRIS ¹ irrespective of its severity.
Incidents involving multiple vehicles	This applies to road traffic collision between a bus and three or more vehicles.
Bus collision with another bus	This applies to road traffic collision between two or more buses resulting in damage or injuries.

¹ IRIS is the replacement for ATLAS introduced 2009



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Incident Category	Background / Rationale
Incidents resulting in 3 or more people injured	Road traffic collision resulting in three or more people needing medical attention and taken to hospital from site of the incident. The three people could be a combination of bus driver, passengers, 3rd Party drivers and pedestrians.
Mechanical failure	This relates to safety critical mechanical bus failures and include; <ul style="list-style-type: none"> • Power surge • Brake failures • Steering loss • Wheel loss
Any incidents likely to attract media attention	Media attention refers to London wide media such as TV News coverage, Evening Standard and other London wide newspapers and national newspapers as determined by the Operations Director.

Please fax a copy of a completed driver's report and/or company official's report to: 020 3054 2002 as soon as possible (within 24hours).

Note:

The categorisation of "serious" incidents is done to ensure London Buses is be in a position whereby we are able to systematically evaluate controls, processes, procedures, infrastructure etc that may have contributed to these types of incidents. The categorisation is not intended to cover all major incidents on the bus network as bus operators generally have robust system for dealing with them internally.



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Reporting Serious Incidents

All incidents involving London buses must be reported in the IRIS system each week. Serious incidents (as defined above) should be reported within 24 hours to the Surface Transport Safety Team and recorded in IRIS within 48 hours.

The above category of incidents is considered by London Buses as “Serious” which requires an investigation undertaken by the bus operator. To assist with the process and to ensure consistency in reporting, two forms have been developed by the Safety Team:

1. **NOSI07 Form** - for reporting immediate findings of serious incidents
2. **Findings07**- for reporting conclusion of investigation, lessons learned and steps taken to prevent incident reoccurring.

This process supports the efforts by London Buses to systematically review serious incidents on the bus network with a view to providing assurance to TfL stakeholders that:

1. Buses remain a safety mode of transport
2. London Buses is working collaboratively with bus operators to reduce incidents on the bus network
3. Bus operators are thoroughly investigating serious incidents
4. There are efforts to share lessons learned and best practice.

Please Note!

It should be noted that major incidents with classifications based on RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995) definitions should also be inputted to the ATLAS system as soon as possible. These incidents include accidents or assaults whereby the injured person is taken to hospital, fractures and amputations. Full details of requirements under the RIDDOR Regulations can be found on the HSE website <http://www.riddor.gov.uk/>. The expectation is that bus operators, as part of their commitment to reducing incidents, are carrying out full investigations and taking steps to prevent similar incidents happening in the future.

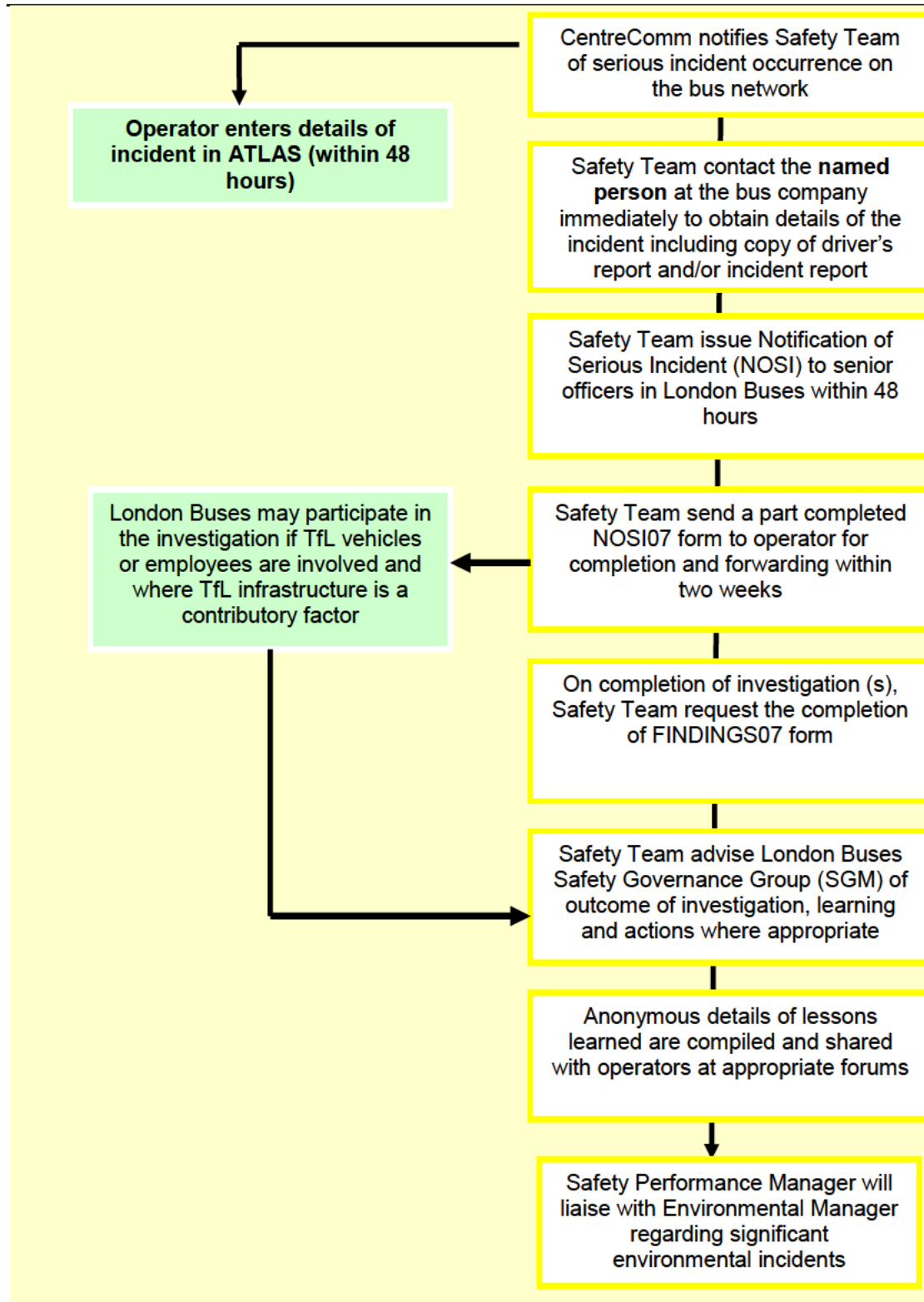
Full details of incident reporting can be found in the Amended and Restated Framework Agreement. More information and assistance can be obtained from the Surface Transport Safety Team by calling [REDACTED]. If you require technical assistance with IRIS please call the IM Helpdesk: [REDACTED]



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NOSI Process Flow chart





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Key information of fatal incidents

The main outcome of the NOSI process is to see a reduction in bus incidents on the network. To achieve this, there is a need for the understanding of incidents, their circumstances and factors influencing them.

As part of the arrangements for reporting outcomes of investigation, it is anticipated that additional information will be gathered in the case of fatal incidents. The table below provides an outline of this information. Please endeavour to ensure this information is captured in your **NOSI07** or **Finding07** forms.

Key information	Purpose
Accident Manoeuvre	To establish what the bus driver was doing at the time of the incident. e.g. turning left, overtaking, stationary, taking evasive action etc
Point of contact with bus	To establish the part of the bus that struck the pedestrian or 3 rd party vehicle
Tourist or Visiting London	To establish the origin of the pedestrians, particularly those from countries where cars are driven on the right-hand side of the road and are therefore not used to looking to the right when crossing
Gender	To determine the gender of casualties.
Age Category	To determine the age category of casualties (Child, Adult and Elderly).
Exact Location	To establish the part of London the incident occurred in
Road Layout	To establish the type of road including junctions, crossings, etc
Environment	<ol style="list-style-type: none"> 1. To establish the prevailing environmental factors at the time of the incident. This should include the weather condition, daylight etc 2. To also look at other factors such as unusual number of people on the road (e.g. after a football match)
Speed of bus	To establish the speed of the bus on collision with the pedestrian or 3 rd party vehicle



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Key information	Purpose
The type of bus involved	This should include manufacture, type of bus etc
What the pedestrian was doing	<ol style="list-style-type: none"> 1. To establish what the pedestrian was doing at the time of the incident. If possible, indicate the pedestrian's activities, e.g. commuting, sightseeing, shopping etc 2. The activity the pedestrian was engaged in, e.g. using mobile phone, reading a map etc
Fatal falls	To establish actual location within the bus the incident occurred e.g. upper deck, stairs etc
Conclusion of investigation	To establish the final outcome of the operator's investigation and to indicate if the driver or the bus or the road layout were contributory factors to the incident.
Conclusion of Coroner's hearing	To establish the outcome of the coroner's hearing into the incident
Driver status	<ol style="list-style-type: none"> 1. To indicate whether the driver was dismissed or resigned following the incident 2. To indicate if the driver was charged with an offence and the type of offence

Sharing Lessons Learned and best practice

Through the Bus Operators Forum – Safety Sub Group and others forums, the way in which lessons learned and best practice are to be disseminated will be agreed. This will provide the final aspect of the NOSI process.



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Anticipated outcomes of the new process

- Reduce administrative time for bus companies and TfL
- Bus companies contacted when investigation is concluded or at key milestones
- Authorised member of staff provide information to TfL within agreed framework
- Consistent information provided to TfL
- Information gathered as part of the process will be more meaningful
- The process is streamlined and more effective
- Information requested better targeted
- The information will ensure better planning by both TfL and bus companies
- TfL better able to analyse serious accidents on the bus network
- TfL better able to review effectiveness of preventative strategies
- TfL better able to demonstrate steps being taken to ensure buses remain safe
- TfL better able to provide assurance to all stakeholders
- Improved joined-up working
- TfL able to systematically share lessons learned with all bus companies
- Where applicable, TfL better able to warn other bus companies affected by the occurrence of a serious incident

Instruments for continuous improvement

Various opportunities exist for continuous improvement in the reporting and investigation of serious incidents on the London bus network. Bus operators are encouraged to continually feed back to the Safety Team if they think the process can be further improved. The following forums exist presently and will benefit from the new process and at the same time help support continuous improvement:

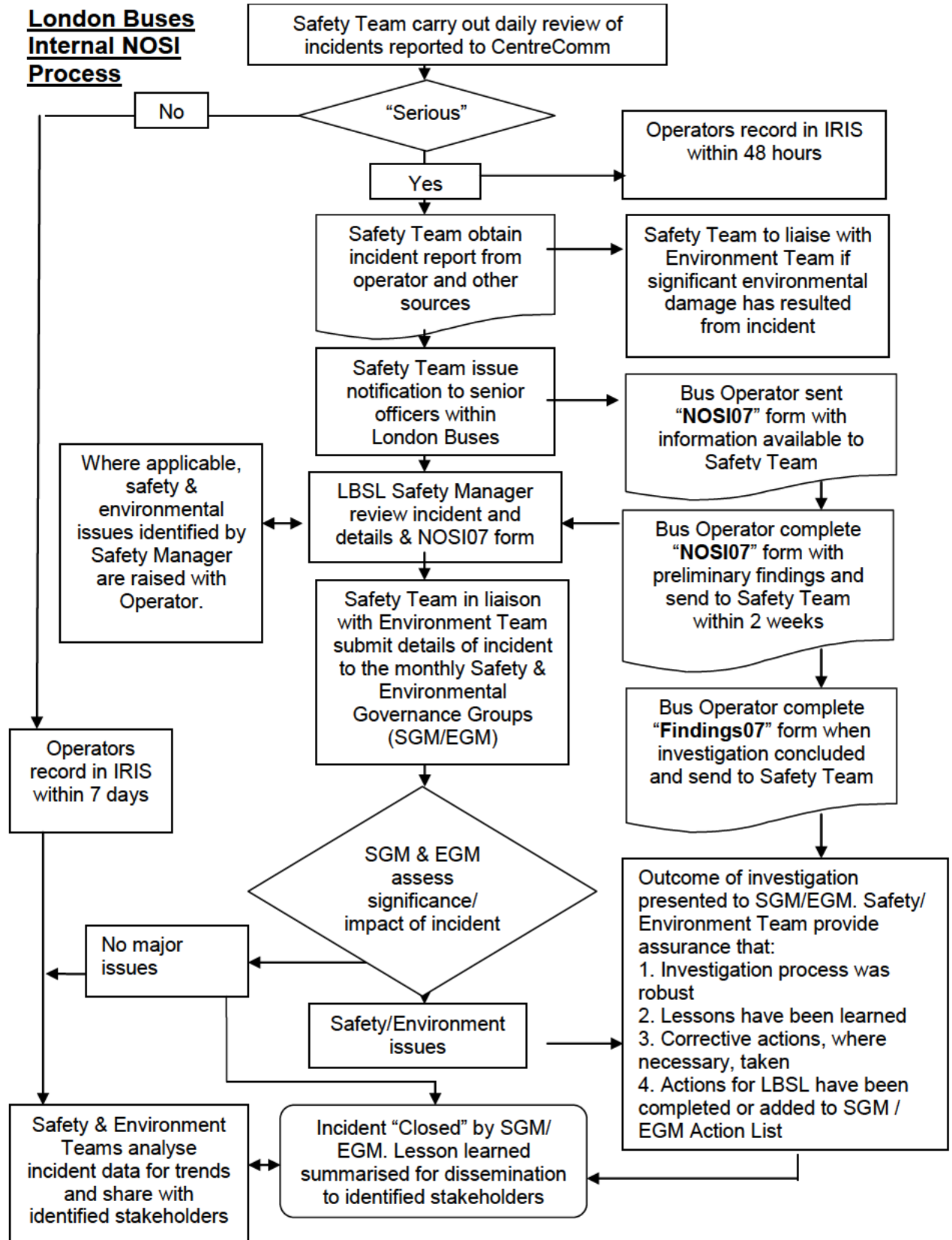
- Bus Operators Forum- Safety Sub Group
- Safety Co-Ordination Meeting (SCoM) – The London Buses’ safety governance group. This group meets every month to review serious incidents
- Bus Operators’ Health and Safety Audit Regime (BOHSAR)
- Account Managers for respective bus companies
- London Bus Operator Health and Safety Forum (LBOHSF)

Freedom of Information Act

LBSL is committed to working with bus companies within a framework that will not compromise the bus operators’ position. Provision within the Act allows TfL to seek exemption from disclosing details of ongoing investigations.



**London Buses
Internal NOSI
Process**





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