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Issue Number	1.0
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Bus Operator Incident Reporting & Investigation	

Health, Safety and Environmental Management System

Bus Operator Incident Reporting & Investigation

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1.0 PURPOSE & SCOPE

- 1.1 This procedure defines the process requirements for reporting and investigation of safety and environment related incidents involving bus operators under contract to LBSL. This includes safety related and environmental incidents as defined in the Framework Agreement¹.
- 1.2 Investigations will normally be led by the Bus Operators and assurance provided to LBSL, but LBSL reserve the right to initiate formal investigations into significant incidents.
- 1.3 This procedure does not include reporting and investigation of serious incidents that do not involve bus operators. Reference should be made to **HSEMS 4.5 Notification of Serious Incidents (NOSI)**, **HSEMS 4.7 Internal Incident Reporting & Investigation** or **HSEMS 4.8 Formal Incident Investigation**.

2.0 GENERAL REQUIREMENTS

2.1. Reporting Incidents

- 2.1.1. The core requirements for Bus Operators reporting safety and environment² related incidents are contained in **Section C1 of the Framework Agreement**. This includes:
 - A definition of specific incidents that must be reported to LBSL
 - A definition of serious incidents and the process for notifying Centrecomm and information required.
 - Requirements for use of the LBSL Incident Reporting Information System (IRIS)³
 - Specific time periods within which reports must be submitted
- 2.1.2. Operators are required to input accident reports directly using the LBSL internet based Incident Reporting Information System (IRIS). The Safety Performance Manager is responsible for ensuring that Bus Operators have been provided with adequate training to use this system and log-in and password details.
- 2.1.3. The Safety Performance Manager will review IRIS on a weekly basis to identify any bus operators that are late submitting returns or have unusual trends that indicate possible under-reporting. The Safety Performance Manager will contact the Operator to resolve any concerns, and report any significant issues to the Account Manager (Performance Directorate).

¹ The environmental content of the Framework Agreement is under review

² Requirements for reporting environment related information are under review and will be addressed as part of other work streams

³ IRIS is the replacement for ATLAS introduced in 2009.



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- 2.1.4. The Safety Performance Manager is responsible for notifying the Environmental Manager of any Bus Operator incidents that have a significant environmental impact, as reported using IRIS.
- 2.1.5. The Contract Compliance Manager (Performance Directorate) is responsible for completing annual audits of bus operators against the requirements of the contract. This must include sampling of incident data to confirm that LBSL requirements have been satisfied. Any significant non-compliance will be reported to the Safety Performance Manager.
- 2.1.6. Bus Operators are required to report serious incidents⁴ to Centrecomm immediately using the on-bus communication equipment. Code Red should be used when emergency services are required and Code Blue for the passing of information. .

2.2. Incident Investigation

- 2.2.1. Incidents that involve TfL employees and/or TfL infrastructure will be investigated in accordance with the requirements of **HSEMS 4.7 Internal Incident Reporting & Investigation** or **HSEMS 4.8 Formal Incident Investigation**.
- 2.2.2. Requirements for investigation of significant incidents involving Bus Operators are defined in **HSEMS 4.5 Notification of Serious Incidents**.
- 2.2.3. LBSL process for formal investigations of significant incidents involving staff or operators is defined in **HSEMS 4.8 Formal Incident Investigation**.
- 2.2.4. The Network Operations Manager, or other senior manager may initiate an investigation into significant incidents on the London Bus Network, in line with **HSEMS 4.8 Formal Incident Investigation**.

2.3. Notification and Investigation of Serious Incidents

- 2.3.1. Each day the Centrecomm Duty Manager will send an email to a named group of Senior Managers and Directors. The email includes:
- An automatic report of all Code Red calls to Centrecomm in the previous 24 hours
 - A summary of severe and serious incidents in the last 24 hours.
- 2.3.2. The Centrecomm reports contain details of all incidents including those that do not have any direct safety or environmental implications.

⁴ Serious incidents are defined in Section 5 of C1 of the Framework Agreement



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- 2.3.3. The Safety Performance Manager is responsible for reviewing all incident reports – direct from the Operator, through Centrecomm reports or other channels – and identifying which require the generation of a **Notification of Serious Incident Form (NOSI)**⁵.
- 2.3.4. The Safety Performance Manager will liaise with the Bus Operator to ensure completion on the NOSI and request a copy of the driver incident report to be faxed or emailed as soon as possible.
- 2.3.5. Using information obtained from the Bus Operator and Network Operations staff, the Safety Performance Manager will issues a notice to the senior management team and other identified individuals within 48 hours, advising of a serious incident on the bus network.
- 2.3.6. The NOSI forms must 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 must summarise the main findings of the investigation and circulate this to members of the Safety Coordination Meeting (SCM) or Environmental Governance Meeting (EGM) as appropriate. The requirements for this are defined in the **HSEMS 4.5 Notification of Serious Incidents**.

2.4. Data Analysis and Monitoring

- 2.4.1. The Safety Performance Manager is responsible for managing IRIS and interrogating the data for trend and pattern analysis. This will be used to generate reports to the TfL Safety, Health & Environment Assurance Committee (SHEAC) Safety Governance Meeting and Environment Governance Meeting as appropriate.
- 2.4.2. The Safety Performance Manager must consult the Environmental Manager on appropriate analysis of incidents with a significant environmental impact.
- 2.4.3. Ad hoc reports will be generated at the request of the Head of Surface Transport Safety Team or Head of Surface Transport Environment Team.
- 2.4.4. **HSEMS 4.1 Monitoring and Reporting HS&E Performance** defines the requirements for analysis and reporting incident data.

2.5. Record Retention

- 2.5.1. The Safety Performance Manager is responsible for ensuring that all incident report forms and investigation documents are kept for a minimum of 3 years after the date they were generated.

⁵ The NOSI process will be reviewed in 2009 to include serious Environmental Incidents



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2.5.2. All records will be kept in accordance with the requirements of the Data Protection Act 1998

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

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

Number	Title
HSEMS 4.1	Monitoring and Reporting HS&E Performance
HSEMS 4.5	Notification of Serious Incidents
HSEMS 4.7	Internal Incident Reporting & Investigation
HSEMS 4.8	Formal Incident Investigation
	Notification of Serious Incident Form