

# Reporting and investigating incidents

## All concerned



An incident is an unplanned, undesired event that may result in:

- Harm to people,
- Damage to property
- Damage to the environment
- Loss of service/process
- A near miss or hit

A near miss or hit is an incident that did not result in an injury, damage or other loss but had the potential to do so.

## Senior manager

You must ensure that adequate arrangements are established, in the areas for which you are responsible, for the reporting and investigation of HS&E related incidents.

You must review all of your manager's initial incident findings for incidents in your area and with the HS&E team decide:

- Whether a more in-depth investigation is required and if so
- Manage that in-depth investigation

## **Manager**

You must ensure that all employees, contractors and tenants are aware of the requirement to report incidents and how they must do it.

If there is a HS&E related incident in the area you are responsible for, or concerning an activity that you manage, then you must investigate it

## **Employee**

You must tell your manager or supervisor as soon as practicable if you are aware of an HS&E related incident.

If there is an investigation or any other type of review you must fully co-operate with it.

Following the incident

## **Manager**

As soon as possible after the incident you must:

### **Ensure that the area surrounding the incident is safe and secure**

This enables evidence to be identified and preserved ensuring it is not moved or removed. It is better to make the decision earlier rather than later to seal off the scene and access should also be controlled so that only those investigating the incident or emergency services are permitted access. Should securing the scene or restricting access impact on TfL operations the relevant parties should be contacted:

- LU - Senior Operating Officer
- Surface Transport (excluding Rail) - Duty Silver Command
- London Overground – Rail Incident Officer
- DLR – DLR Control Centre Duty Manager

- Trams - Trams Control Room Duty Manager
- Emirates Airline – Duty Manager

### **Preserve any evidence**

Evidence falls into four main categories: physical, people, data and documentary.

Physical - The scene / site(s), examples include the position of; tools, equipment, switches, signal levers, points, vehicles and their loads, the environmental conditions on site at the time of the incident and witness marks either at or adjacent to the incident scene.

People – Anyone involved with or witnessing the incident, this may include; staff, contractors or members of the public

Data – closed circuit television recordings, Trackernet, vehicle data records, voice recordings

Documentary – risk assessments and method statements, licenses, log books, signing on sheets, training records, witness statements and maintenance records

These four main categories can be sub-divided into either perishable or non-perishable evidence. Perishable evidence is evidence that in time will expire or disappear and will not be available for the investigation team to utilise – all attempts should be made to record perishable evidence first.

Examples of perishable evidence include:

- The pre-rescue scene
- Ground marks
- Weather conditions i.e. ice, snow and visibility
- Pressure gauge readings and switch positions
- Signal aspects being displayed
- Drug and Alcohol testing

- Devices where the power supplies may have a limited life expectancy
- Witness marks that may extinguish over time or through environmental effects
- Evidence that may become contaminated

Once perishable evidence has been collated you should collate all other evidence available. Evidence should be collated through the most appropriate methodology available at the time of the incident, this may include; drawings and sketches, photography, video, audio recording, handwritten notes.

To enable a full and detailed investigation to be completed all evidence shall be made available to the investigation team at the earliest opportunity.

All evidence should be gathered safely without placing anyone at danger or at risk from on site hazards.

### **Tell the HSE team**

Inform your local HS&E team of the incident.

Reporting an incident

## **All concerned**



Incidents include near misses (these are sometimes called near hits).

A near miss is an incident that did not result in an injury, damage or other loss but had the potential to do so.

## **All concerned**



**London Underground COO Operations**

[Electronic incident report form](#) (EIRF)

**London Underground and COO Assets**

[HSE InfoExchange](#)

**London Underground CPD and COO Assets (excluding JNP)**



**London Underground JNP Assets**



**TfL Specialist Services**

[Accident, Incident and Near Miss Reporting \(Word\)](#)

**Surface Transport (all areas)**

[Accident, Incident and Near Miss Reporting](#)

## **Manager**

The manager or supervisor responsible for the area or activity at the time of an incident must:

- Record the details of the incident at the earliest opportunity, within 24 hours and by the end of the shift if possible
- Use the designated business area incident reporting form or telephone line

## **HS&E team**

The HS&E team must provide periodic reports, as required by the business area, covering incident data and investigation reports.

Areas of investigation

## **Manager**

Incidents seldom occur due to a single failure or shortcoming. You must therefore consider all potential areas related to an incident, these include:

- The Environment – Location, space, weather, lighting, housekeeping, pollution and contamination, general conditions
- Assets and Infrastructure – maintenance, faults, operating procedures and controls, storage, disposal, design, materials, tools and equipment, data which may include speed, pressure, distances
- The Organisation – Standards, procedures, rules, legislation, management and supervision, moral, culture, contractors, resources, methodologies, safety controls and systems, planning of the activity
- Human Factors – these may be Individual, job specific or organisational and include – training (Initial and refresher), competence, fatigue management, risk controls, health and fitness, man machine interface, alcohol and drugs
- Non-Technical Skills – these may be Individual, job specific of organisational and include - communications, situational awareness, decision making and action, conscientiousness, co-operation and working with others, workload management, self-management
- Similar Events – to understand the causal and underlying factors identified and recommendations made to prevent reoccurrence.

Monitoring the actions and keeping records

## **All concerned**

**Lead Investigator**

When an investigation is concluded you shall ensure that the final report is published and any recommendations are loaded onto HSE InfoExchange.

**Actionee**

You must ensure that:

- Any actions for which you are accountable are addressed and closed on HSE InfoExchange
- Suitable and sufficient evidence is attached to the HSE InfoExchange work-package associated with the formal investigation to support and evidence the closure of the any action for which you are accountable

**Validator**

You must validate the closed action to provide assurance the completed action has addressed the purpose of the recommendation.

TfL business area incident reporting and investigation arrangements

## All concerned



Each business areas has detailed arrangements for incident reporting and investigation.

### London Underground

[Incident Reporting and Investigating Standard \(PDF\)](#)

[Incident Reporting and Local Investigation Standard \(PDF\)](#)

## **Surface Transport**

[Reporting Incidents \(PDF\)](#)

[Investigating Incidents \(PDF\)](#)

## **London Buses**

[Notification of Serious Incidents \(NOSI\)](#)

[Bus Operator Incident Reporting and Investigation](#)

## **London Buses only**

In addition London Buses has procedures for the:

- Notification of serious bus operating incidents
- Reporting and investigation of safety and environmental incidents involving bus operators under contract to London

## **Buses**

Follow the links below for details of these processes:

- [Notification of Serious Incidents \(NOSI\)](#)
- [Bus operator incident reporting and Investigation](#)

## **Manager**



## **London Underground only - Go Look See**

You must arrange a Go Look See visit if an incident occurs which results in a lost time injury to one or more people or if there is a customer injury.

## **All concerned**

A Go Look See is an opportunity to:

- Demonstrate safety leadership
- Highlight the seriousness of the incident
- Ensure action has been taken to prevent recurrence

It demonstrates commitment to safety and helps build trust.

The Go Look See is in addition to any other incident investigation carried out. Read the [Go Look See guidance](#).

## **Manager**

You must carry out the Go Look See within 14 days of the injured person(s) returning to work.

Attendees must include the:

- Person(s) involved
- Manager responsible for the area
- Person managing the work
- Head of the business unit – a senior manager
- Senior manager of the HS&E team

- The person(s) involved

If the incident involves contractor's or supplier's staff you must invite someone from their supervisory or management team .In COO Asset Performance you must invite the local employee health and safety representative.

A [Go Look See form](#) must be completed.

## **Manager**

You must ensure that all of the control measures are adequate before the Go Look See is done by reviewing:

- The workplace risk assessment and work instructions for the activity
- Any actions raised on the incident reports (including the 48 hour incident report)
- The site of the incident
- Any other supporting evidence

## **Manager**

### **London Underground and Rail only – CIRAS**

You must ensure that all employees, contractors and tenants are aware of the Confidential Incident Reporting and Analysis System (CIRAS).

[CIRAS](#)

### **London Underground only – ‘What’s Wrong?’ reporting**

## All concerned



‘What’s Wrong?’ reporting is an alternative reporting process that may be used when the existing fault reporting system has failed to produce a satisfactory result.

## Manager

You must ensure that:

- The ‘What’s Wrong?’ poster is prominently displayed
- Copies of the [‘What’s Wrong?’ form](#) are readily available

## Manager

If you receive a ‘What’s Wrong?’ form you must confirm receipt to the sender and provide copies to:

- The manager responsible for correcting the fault
- The local employee health and safety representative
- The HS&E team

You must tell the employee what action is being taken within 14 days.

All ‘What's Wrong?’ forms must be reviewed at the relevant health and committee meeting or equivalent.

SafeLine - challenging wrong doing

## All concerned

SafeLine is a confidential and independent reporting service that allows TfL staff, agency staff and contractors to raise concerns they feel cannot be reported through TfL's normal reporting processes. For further information refer to [Challenging Wrongdoing](#).

This form is for you to give feedback on how this page is written and what information is included. If this information affects you personally and you need advice, use the contact details above where provided.

Help us improve the information on this page. This page is (select all that apply)...

- ☐ Helpful
- ☐ Confusing
- ☐ Has a broken link
- ☐ Missing information

I want to give more feedback

- My feedback is about

 

- Your comments 

Please limit your comments to 500 characters.

Comments are submitted anonymously, unless you provide your details below:

- Name:
- Email address:
- Telephone number: