

Reference

R0492 A2

Criteria for commissioning a formal incident investigation

Contents

1 Purpose ..... 2

2 Scope ..... 2

3 Information..... 2

    3.1 Formal incident investigation criteria ..... 2

4 Person accountable for this document ..... 4

5 Abbreviations ..... 4

6 References ..... 4

7 Document history ..... 4



## **1 Purpose**

The purpose of this reference document is to define the criteria to be used to determine the necessity for conducting a formal incident investigation.

## **2 Scope**

The criteria in this reference document are a combination of general TfL criteria and business area specific criteria.

## **3 Information**

### **3.1 Formal incident investigation criteria**

The following criteria must be used to determine the types of incident that must be subject to a formal investigation. Some of the criteria are general and apply to all business areas. Others are specific to business areas (Underground/Rail).

TfL - Rail, Surface and Underground						
Nature of incident (illustrative – not an exhaustive list)	Employee / Contractor	Customer / Member of the public	Operational incidents	Asset / Infrastructure related incidents	Other loss / consequence	Regulatory or public interest
A decision not to investigate this type of incident must be subject to formal justification	<ul style="list-style-type: none"> <li>any fatality</li> <li>reportable disease under RIDDOR</li> <li>specified injury under RIDDOR</li> <li>fall into water (Surface Transport).</li> </ul>	<ul style="list-style-type: none"> <li>fatality (excluding medical or suicide)</li> <li>specified injury under RIDDOR (excluding attempted suicide or medical)</li> <li>vulnerable user taken to hospital for treatment (Surface Transport)</li> <li>three or more people taken to hospital for treatment (Surface Transport)</li> <li>fall into water from TfL pier/ boat (Surface Transport).</li> </ul>	<ul style="list-style-type: none"> <li>TfL vehicle collision</li> <li>TfL vehicle leaving road or rail</li> <li>failure of crowd control procedures</li> <li>high potential near miss</li> <li>serious operational error</li> <li>collision with bridge, other sign posted overhead structure or tree</li> <li>run-away TfL vehicle</li> <li>bus boarding and alighting incidents resulting in dragging</li> <li>vehicle incursion into TfL property or protected work site.</li> </ul>	<ul style="list-style-type: none"> <li>asset failures with safety implications</li> <li>collapse or overturning or failure of lifting equipment</li> <li>collapse of Scaffolding or building or structures</li> <li>power failure (trains stalled for more than 20 minutes).</li> </ul>	<ul style="list-style-type: none"> <li>significant service disruption</li> <li>significant property damage</li> <li>other significant loss of process</li> <li>significant revenue loss</li> <li>significant impact on the environment</li> <li>fires causing damage having the potential to affect operations (including arson).</li> </ul>	<ul style="list-style-type: none"> <li>prosecution likely</li> <li>subject to current regulatory interest</li> <li>subject to public or media interest</li> <li>noteworthy incident involving new technology.</li> </ul>
<p>A decision not to investigate this type of incident does not require justification unless:</p> <ul style="list-style-type: none"> <li>the incident could have led to a fatality or major injury under slightly different circumstances</li> <li>it is not clear why the incident occurred</li> <li>the incident is part of a growing trend which is of concern.</li> </ul>	<ul style="list-style-type: none"> <li>lost time injury</li> <li>minor injury.</li> </ul>	<ul style="list-style-type: none"> <li>suspected suicide or suicide</li> <li>medical related fatality</li> <li>hospitalisation</li> <li>minor injury.</li> </ul>	<ul style="list-style-type: none"> <li>derailment in a depot or sidings (not affecting a running line)</li> <li>platform/train interface Incidents</li> <li>Signals Passed at Danger (SPAD).</li> </ul>	<ul style="list-style-type: none"> <li>possession irregularities.</li> </ul>	<ul style="list-style-type: none"> <li>minor service Disruption</li> <li>minor property damage</li> <li>other minor loss of process</li> <li>minor revenue loss</li> <li>minor impact on the environment.</li> </ul>	<ul style="list-style-type: none"> <li>not subject to current regulatory Interest</li> <li>not subject to current public or media interest.</li> </ul>

#### 4 Person accountable for this document

Name	Job title
Ian Gaskin	HSE General Manager - Specialist Team

#### 5 Abbreviations

Abbreviation	Definition	Source
RIDDOR	The Reporting of Incidents and Dangerous Diseases Regulations	

#### 6 References

Document no.	Title or URL
	The Reporting of Incidents and Dangerous Diseases Regulations

#### 7 Document history

Issue no.	Date	Changes	Author
A1	February 2014	New reference document produced to supersede some elements of the category 1 standard 1-558 "Formal Investigation of incidents" as per DRACCT Ref. No.02355.	David Burton
A2	April 2017	Alignment of Surface Transport "major incident investigation" process with the TfL Formal Investigation process as per DRACCT Ref No:05512.	Wayne Donald