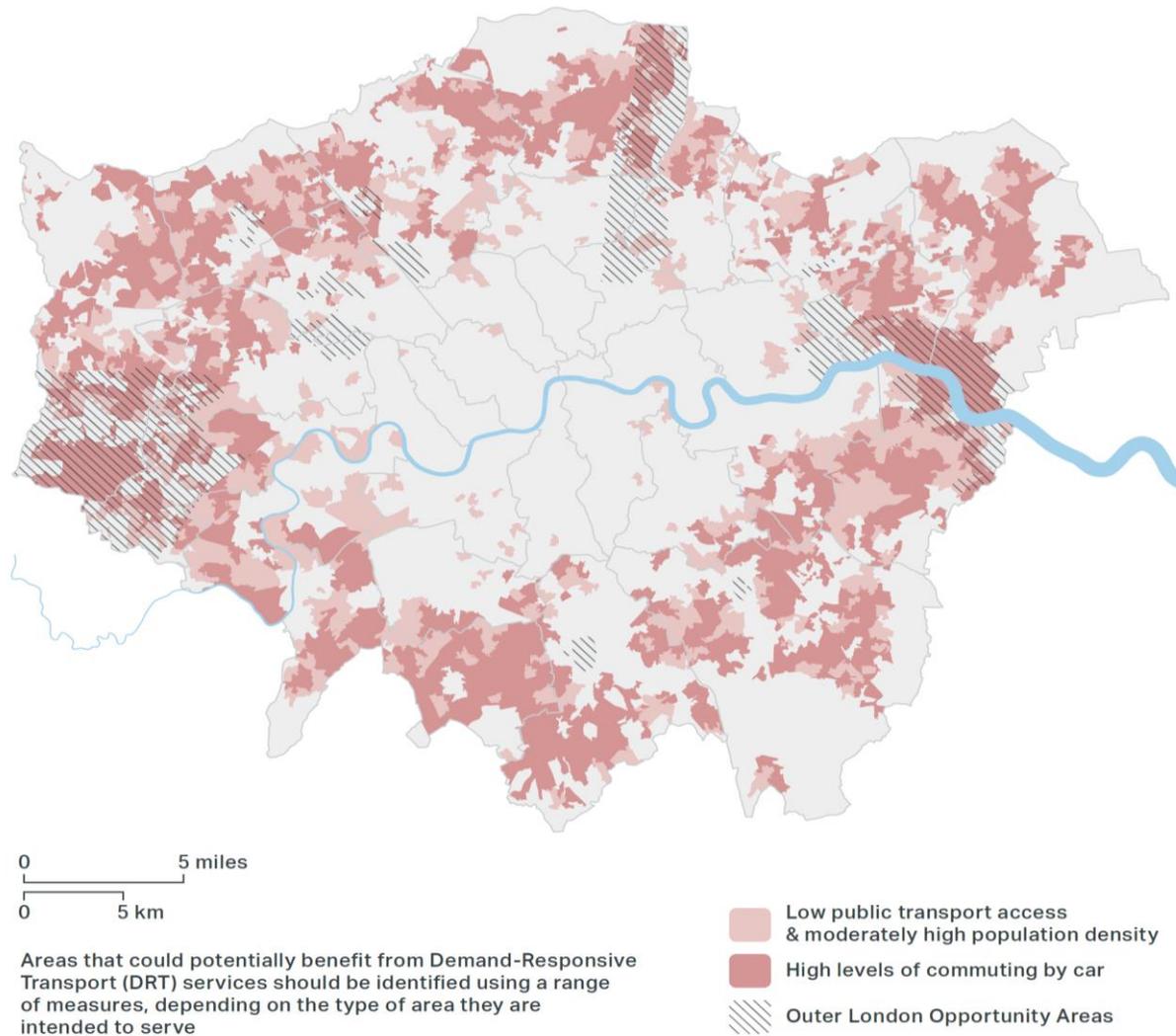


STATEMENT OF REQUIREMENTS APPENDICES

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APPENDIX 1: INFORMATION TO SUPPORT TRIAL PROPOSAL DEVELOPMENT

Part A – Map of areas that could benefit from Demand-Responsive Transport services



This map is taken from Page 237 of the [Mayor's Transport Strategy](#). Further information is also contained in this document on the purpose of the trial and areas of interest to TfL.

Part B – Data sources to support trial proposal development

The following table provides a set of links to sources of data which may be of relevance to bidders in developing their proposed trial:

Theme	Measure	Scale	Source	Link
Public transport	Public Transport Accessibility	100m grid square	TfL WebCat Planning tool (Access level PTAL)	https://tfl.gov.uk/info-for/urban-planning-and-construction/planning-with-webcat/webcat
	Connectivity	100m grid square	TfL WebCat Planning tool (Time Mapping)	https://tfl.gov.uk/info-for/urban-planning-and-construction/planning-with-webcat/webcat
	London bus network maps	Route / area	TfL	https://tfl.gov.uk/maps/bus?intcmp=40401
Car use	Mode of travel to work Car ownership	Borough / Ward	2011 Census	https://www.nomisweb.co.uk/ http://datashine.org.uk/
Demographics / market segments	Population Population density	Borough / Ward	GLA London Data Store	https://data.london.gov.uk/london-area-profiles/
	London Output Area Classification	Ward	GLA	https://data.london.gov.uk/dataset/london-area-classification http://loac.datashine.org.uk
	Transport Classification of Londoners	Borough / Ward	TfL	http://content.tfl.gov.uk/transport-classification-of-londoners-presenting-the-segments.pdf
Travel Demand	Trip rates	Outer London	London Travel Demand	https://tfl.gov.uk/corporate/about-

Theme	Measure	Scale	Source	Link
	Mode share Trip purpose		Survey	tfl/how-we-work/planning-for-the-future/consultations-and-surveys/london-travel-demand-survey
Economic	Jobs Employment rate	Borough / Ward	GLA London Data Store	https://data.london.gov.uk/london-area-profiles/
Environment	Air quality	Corridor / area	London Air	http://www.londonair.org.uk/LondonAir/Default.aspx
Road safety	Fatal and serious collisions	Borough / place / road	TfL London Collision Map	https://tfl.gov.uk/corporate/safety-and-security/road-safety/london-collision?intcmp=33888
Active travel	Walking potential	Borough / Ward	TfL	http://content.tfl.gov.uk/analysis-of-walking-potential-2016.pdf
	Cycling potential	Borough / Ward	TfL	http://content.tfl.gov.uk/analysis-of-cycling-potential-2016.pdf
	Strategic Cycling Analysis	Greater London	TfL	http://content.tfl.gov.uk/strategic-cycling-analysis.pdf
New development	New significant commercial and residential development (planned, under construction or completed)	Borough / site specific	New London Development	http://newlondondevelopment.com/

APPENDIX 2: GUIDELINES FOR THE CARRIAGE OF BUGGIES ON BUSES

Low floor buses have been designed and introduced to improve accessibility for all passengers, especially those in wheelchairs and those with children in buggies/pushchairs. The design allows for these to be wheeled on and off the bus and for the buggy/pushchair to be left unfolded in the dedicated space provided. It is expected that this should be achieved for most of the time.

Ordinarily, all buggies/pushchairs must be wheeled on via the front doors.

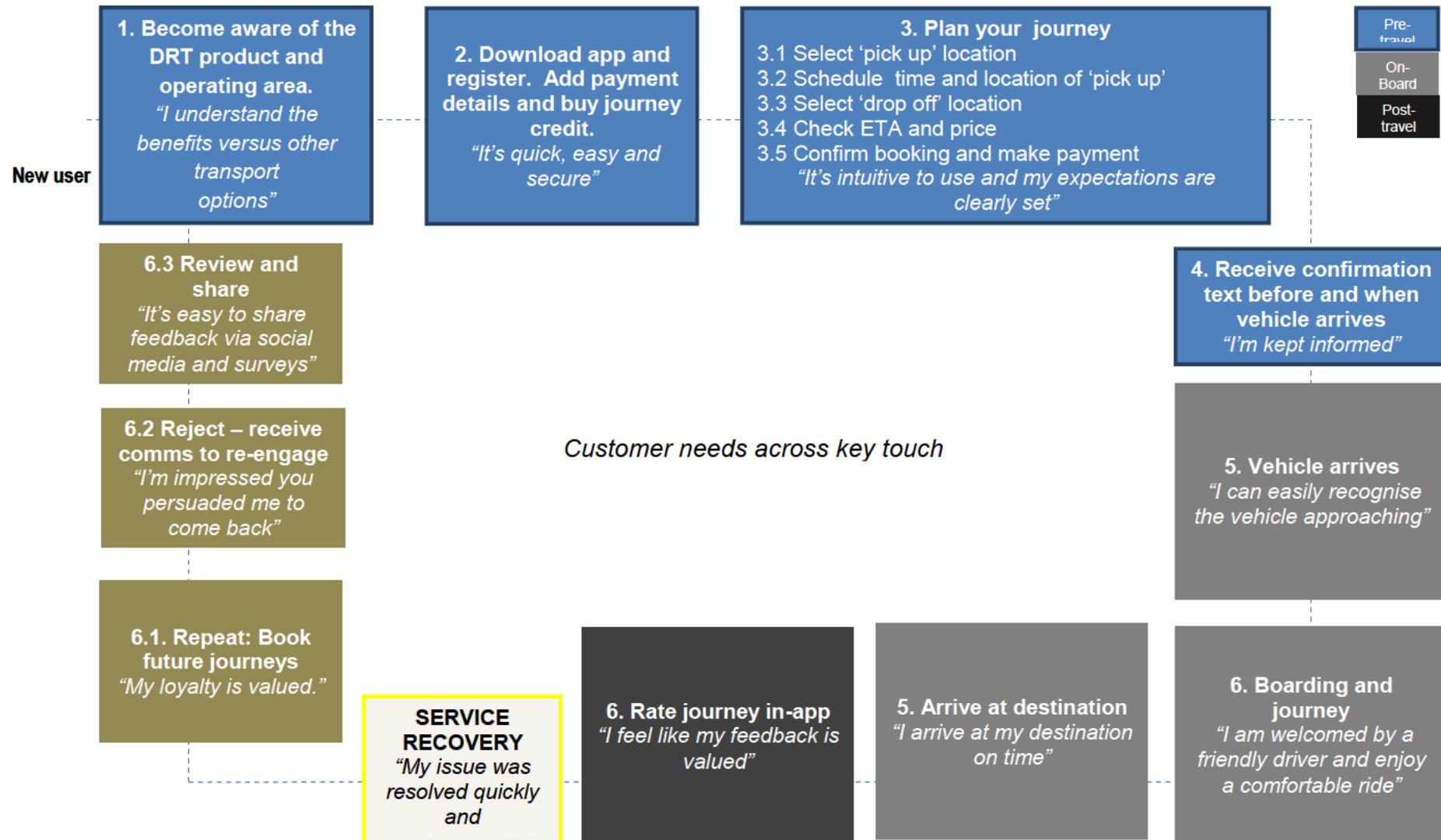
The basic principle is that children in buggies/pushchairs and their carers are passengers and should be treated in the same as any other passenger. This means that they should have full access to the bus unless over-crowding presents a real reason for doing otherwise.

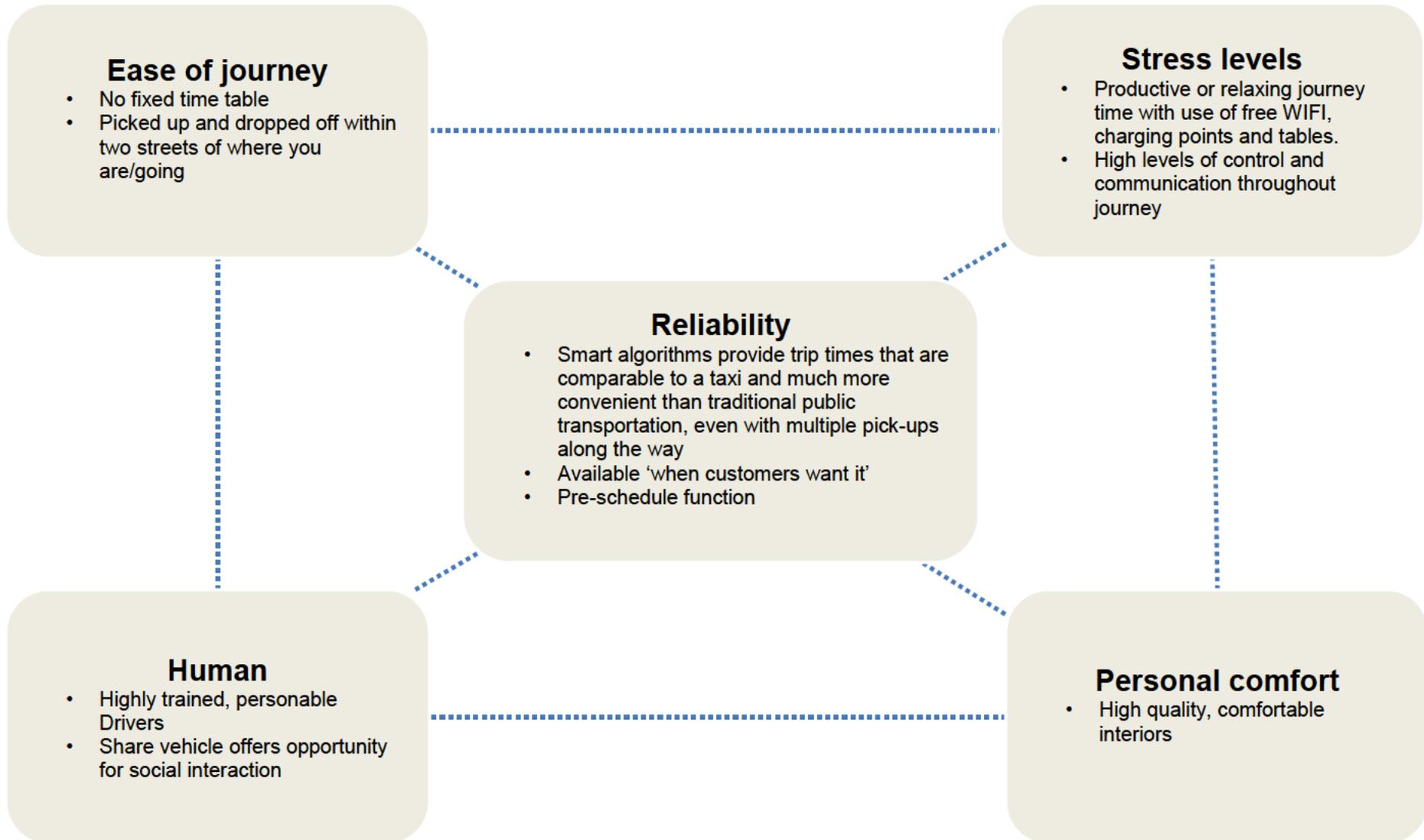
Passengers in wheelchairs do, however, have priority over all other users as they cannot travel in any part of the bus other than in the dedicated area. If someone in a wheelchair wishes to board the bus and the dedicated area is occupied by either passengers with buggies/pushchairs then discretion will be needed.

Refusal to allow people to wheel buggies/pushchairs onto the bus should be at the driver's discretion. It is anticipated that this will be done only when absolutely necessary and in no circumstances should any passenger (whether seated, or in a buggy) be asked to get off the bus.

Drivers are expected to use their discretion and apply these guidelines sensibly and appropriately in the interest of all passengers' safety and comfort. Only if there is a valid reason to refuse entry or to ask for the buggy/pushchair to be folded should this be done.

APPENDIX 3: CUSTOMER EXPERIENCE





APPENDIX 4: DEALING WITH CUSTOMER CONTACTS - STANDARDS AND MONITORING

Definitions

For reference the following terms are used throughout the Agreement and are used in this chapter:

- “Corporation” means London Bus Services Limited and its successors in title. For this Code of Practice we also refer to Surface Transport.
- “Operator” means the company or person named as the Operator in the Agreement.
- “Customer contacts” means any contact received from a Customer (e.g. complaints, commendations, feedback, suggestions etc)

Introduction

This Code of Practice forms part of the Agreement between London Bus Service Limited and bus Operators and sets out the partnership framework for providing excellence in customer service. This Code of Practice, along with the Surface Transport Complaints and Feedback Policy (Appendix 2.1) and the timescales outlined in Appendix 2.2, identify the standards the Corporation requires Operators to meet and details the support the Corporation will provide to Operators to meet these standards. Under this Code, Operators are given the choice of varying degrees of support from Surface Transport. Operators have chosen either:

- **Option 2** – where Surface Transport Customer Services handles the correspondence and telephone calls for the Operator. In this scenario, the Operator provides a response back to Customer Services, who then reply back to the Customer unless the Customer insists on a response directly from the Operator. Refer to Appendix 2.2.
- **Option 3** – where the Operator handles their own correspondence, with Surface Transport Customer Services dealing with all telephone communications. In this scenario, the Operator replies directly to the Customer unless Surface Transport Customer Services are dealing with multiple issues or it relates to an issue TfL need to reply to (e.g. policy). Refer to Appendix 2.2.

Purpose

The Corporation is committed to providing excellent customer service and recognises that this will be delivered through working in partnership with the Operators. The partnership involves working towards the common objective of improving services for customers and sharing risks and benefits. Based on this, this Code of Practice:

1. Sets out the partnership framework for providing consistency and excellence in Customer Service

2. Identifies the standards the Corporation requires the Operators to meet
3. Details the support the Corporation will provide to Operators to meet the required standards

Whilst this Code of Practice refers to processes and procedures, it is recognised that excellence in customer service is based on actions and outcomes. Therefore this partnership framework also focuses on evidence of improvements to handling customer contacts and in using customer contacts as a means to identify and resolve service delivery issues.

This Code of Practice forms the basis for the annual Customer Service Compliance Audits.

Content

Section A - Dealing with Customer Contacts – Standard Requirements for all Operators

Describes the “required standard” for each area of the Code (A1 – A7) and evidence of compliance (i.e. examples of what would demonstrate compliance).

The required standard takes into account the different level of resources available to Operators and the level of support they receive from Surface Transport either under Option 2 or 3.

Section B - Support from Surface Transport

Describes the level of support provided by and available from Surface Transport to all Operators (B1-B5)

Appendix 4.1 – Surface Transport Complaints and Feedback Policy

The policy outlines the processes, procedures and standards to be met for all Surface Transport Customer contacts.

Appendix 4.2 - Bus Operator timescales for investigation and responding to Customer contacts

Outlines the service level agreement (timescales) Bus Operators should meet when dealing with Customer contacts.

Appendix 4.3 - Surface Transport Processes

Lists the processes relevant to Operators referred to in the Code of Practice. These have been issued to all Operators. Copies can be requested from the Process Manager, Delivery & Compliance, Surface Transport.

Section A – Dealing with Customer Contacts - Standard Requirements for all Operators

Area	Ref No.	Required Standard	Evidence of Compliance
A1. Adoption of Complaints & Feedback Policy	A1.1	Have either adopted the Surface Transport Complaints & Feedback Policy (Appendix 2.1) or own policy contains aspects of the London Buses policy. <u>Note:</u> The policy covers all types of customer contacts (e.g. complaints, commendations, feedback, suggestions etc).	Evidence of written policy or statement adopting the Surface Transport policy. Customer Service staff are aware of the policy and are clear which Option they work to (e.g. Option 2 or 3).
	A1.2	Ensure confidentiality of personal customer details obtained through the customer contacts handling process and compliance with data protection legislation.	Written statement of compliance with data protection legislation e.g. operator's IT policy / own data protection procedures, details in employee handbook.
	A1.3	Have a policy and management guidance note on providing redress. <u>Note:</u> All redress matters (e.g. goodwill gestures, compensation claims) are the responsibility of the Operator and their insurer.	Policy documented covering goodwill gestures and compensation matters. Policy document is available to Customer Service staff and Surface Transport Customer Services.
A2. Adoption of Compatible Processes	A2.1	Use a customer contacts handling process that is compatible with Surface Transport's process and procedures. Have escalation procedures in place for dealing with unresolved and contentious issues.	Documentation to show customer contact handling process is in place and compatible with Surface Transport's process and procedures including any escalation procedures.
	A2.2	Operators using Surface Transport's Customer Relationship Management (CRM) system have signed TfL's Code of Connectivity (for access via the T-SNAP facility). All users accessing the CRM are fully aware of their responsibilities (e.g. keeping their passwords secure and not sharing their logons, keeping their security tokens secure and reporting to Surface Transport if lost or stolen).	Each Operator with access to the Customer Relationship Management system has signed TfL's Code of Connectivity and adhere to the requirements. Staff accessing the CRM system are fully aware of their responsibilities under the Code of Connectivity (as applicable to their day to day duties).
A3. Public Accessibility	A3.1	Facilitate customer contacts from all customers. For example, this may require specific procedures to	Ensure material and publicity produced by Surface Transport with contact numbers /

Section A – Dealing with Customer Contacts - Standard Requirements for all Operators

Area	Ref No.	Required Standard	Evidence of Compliance
		support customers with disabilities or different needs (e.g. partially sighted or those who have difficulties with expressing themselves in English).	details (e.g. posters) clearly displayed on buses with ways to contact Surface Transport Customer Services. Posters should include the bus registration number. Contact details also included on Operator websites.
	A3.2	<p>All staff are aware of Surface Transport Customer Service contact details and know to direct / transfer customers should they receive a direct call from a customer.</p> <p>Ensure any correspondence received directly from Customers is forwarded promptly to Surface Transport Customer Services to be logged (e.g. letter, fax, email)</p>	<p>Staff receiving calls directly from customers, know to transfer to Surface Transport Customer Services <u>or</u> provide the customer with the telephone number to call <u>or</u> forward any correspondence (e.g. letter, email, fax) to Surface Transport Customer Services. For example, information is available to ensure staff are aware of the procedure. Refer to Appendix 1.</p> <p>Tel: 0845 300 7000 (08:00-20:00 Monday to Friday)</p> <p>Textphone: 020 7918 4435 (08:00-20:00 Monday to Friday);</p> <p>Email: customerservices.buses@tfl.gov.uk</p> <p>Post: London Buses Customer Services, 4th floor, Zone G7, Palestra, 197 Blackfriars Road, London SE1 8NJ</p>
A4. Administration of Service	A4.1	Have identified and provided Surface Transport with details of an individual with clear management responsibility and accountability for customer contacts.	<p>Provide a written statement to Surface Transport with contact details of person responsible and accountable, with updates as required.</p> <p>All staff involved in the Customer Service</p>

Section A – Dealing with Customer Contacts - Standard Requirements for all Operators

Area	Ref No.	Required Standard	Evidence of Compliance
			process know who is responsible overall within their organisation, in the event of queries and any escalation required.
	A4.2	Regularly assess the resources required to administer the customer contacts handling process.	Assurance that appropriate number of staff in place and trained to meet the Customer Service standard required by the Corporation.
	A4.3	Notify Surface Transport of any changes to staff dealing with Customer contacts, to ensure system accesses (e.g. to the Customer Relationship Management system) are updated accordingly (i.e. new staff joining / leaving or changing roles). Ensure redundant “security tokens” for accessing SAP CRM are promptly returned.	Contact Surface Transport with staff changes related to Customer contacts, to ensure only relevant staff have access to the Customer Relationship Management system.
	A4.4	Monitor and regularly assess the performance of staff involved in handling customer contacts. Training needs are identified and met (e.g. through staff appraisal system or similar).	<p>Examples of evidence:</p> <ul style="list-style-type: none"> - induction and training provided to staff involved in handling customer contacts - guidelines on handling customer contacts issued to staff - feedback process in place for staff to ensure quality standards maintained - system training requested from Surface Transport for staff dealing with customer contacts - system support and knowledge transfer provided for Customer Service staff through “super users” in the organisation - Customer Service staff meet / contact each other to provide support and share knowledge
	A4.5	All records and documentation relating to customer	Operating company’s document retention

Section A – Dealing with Customer Contacts - Standard Requirements for all Operators

Area	Ref No.	Required Standard	Evidence of Compliance
		<p>contacts are retained for a minimum of 12 months for Compliance Audit purposes.</p> <p>Note: You may need to retain records for a longer period e.g. 3 years in respect of accident claims.</p>	<p>policy refers to customer contacts documentation.</p> <p>Management trail for handling customer contacts is available for Compliance Audit by Surface Transport. This includes access to all relevant documentation requested, reasonable access to premises for the purposes of carrying out the audit and staff involved in the process.</p>
A5. Investigation of Complaints & Feedback	A5.1	Comply with Surface Transport's timescales for responding to customer contacts (Appendix 2 - Bus Operator timescales for investigation and responding to Customer contacts).	Staff dealing with Customer contacts are aware of and deal with them within the timescales. e.g. reports show customer contacts responded to within the timescale
	A5.2	Comply with information requests from Surface Transport regarding investigation of customer contacts.	Management trail showing Customer contacts have been dealt with e.g. include notes on SAP CRM / notify Surface Transport of process followed.
A6. Quality of Correspondence	A6.1	<p>Where Operator responds directly to the Customer</p> <p>- correspondence sent to Customers is informative and simple (as per Surface Transport Complaints and Feedback Policy – Appendix 1)</p>	<p>Ensure replies to Customers:</p> <ul style="list-style-type: none"> - Aim to answer all points of concern - Are factually correct - Avoid jargon - Contain full contact details - Tell the person what to do next if they are still not satisfied - Are signed by the person who will address any further queries raised by the same customer on the particular area

Section A – Dealing with Customer Contacts - Standard Requirements for all Operators

Area	Ref No.	Required Standard	Evidence of Compliance
		<p>Where Operator provides a response back to Surface Transport Customer Services</p> <p>- information sent to Surface Transport Customer Services is informative in order to provide a response to the Customer (as per Surface Transport Complaints and Feedback Policy – Appendix 1)</p>	<p>Ensure responses back to Surface Transport Customer Services include sufficient information to provide a response to the Customer concerned e.g.</p> <ul style="list-style-type: none"> - Aim to answer all points of concern - Are factually correct - Avoid jargon
<p>A7. Monitoring, Review & Continuous Improvement</p>	<p>A7.1</p>	<p>Monitor and review customer contacts received and act upon them accordingly (e.g. to inform improvements where appropriate).</p>	<p>Process and procedures in place for monitoring e.g.:</p> <ul style="list-style-type: none"> - compliance against timescales for dealing with customer contacts - trends for types of customer contacts received etc.
	<p>A7.2</p>	<p>Senior management regularly updated on customer contact handling, to aid decision making and introducing improvements where appropriate.</p>	<p>Internal reporting procedures in place to ensure senior management regularly updated on customer contact handling e.g. inclusion on management team meeting agenda.</p>
	<p>A7.3</p>	<p>Improvements introduced for handling customer contacts and / or service delivery issues improved.</p>	<p>For example - records of any action taken:</p> <ul style="list-style-type: none"> - to improve the customer experience as a result of the monitoring and review process in place - resulting in a positive impact on complaints received as a result of the monitoring and review process in place - resulting in improvements to service

Section A – Dealing with Customer Contacts - Standard Requirements for all Operators

Area	Ref No.	Required Standard	Evidence of Compliance
			delivery
	A7.4	Senior management oversee the annual Customer Service Compliance Audit.	Senior management ensure any non-conformities highlighted during the annual Compliance Audit, are addressed as part of an action plan agreed with Surface Transport.

Section B - Support from Surface Transport

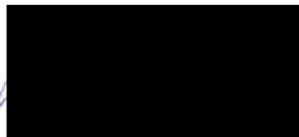
Area	Ref No.	Detail	Examples of Support
B1. Process and procedures	B1.1	Surface Transport will continue to invest in developing and maintaining excellent customer service processes / procedures and to sharing that expertise with Operators.	<ul style="list-style-type: none"> - Surface Transport Customer Services will provide regular updates on points of contact including escalation procedures - Provide updates on changes to Surface Transport Customer Service processes and procedures - Post Customer Service Compliance Audit support, to ensure any non-conformities are addressed as part of an agreed action plan (e.g. through site visits, provision of system training).
B2. Technology	B2.1	Surface Transport will continue to identify new technologies to facilitate the effective handling of customer contacts. Surface Transport will stipulate the use of integrated and compatible technology systems.	<ul style="list-style-type: none"> - Where the use of certain technology is stipulated, technical support will be provided through a Helpdesk facility. See also B5.1 below.
B3. Information	B3.1	Surface Transport will provide support to all Operators to access information from the customer contacts handling system, to help with	<ul style="list-style-type: none"> - Hands on support to create reports required using the technology provided / stipulated by Surface Transport. See also B5.1 below.

Section B - Support from Surface Transport			
Area	Ref No.	Detail	Examples of Support
		their monitoring and review process.	
B4. Knowledge Management	B4.1	<p>As part of the partnership approach Surface Transport will:</p> <ul style="list-style-type: none"> - arrange and co-ordinate the dissemination of best practice between Operators and Surface Transport Customer Services. 	<ul style="list-style-type: none"> - Will arrange workshops (twice a year) for Operator and Surface Transport Customer Service representatives - Will encourage Operators to provide feedback to help inform future workshops - User groups will be set up to address specific initiatives where appropriate - Written updates and communication will be issued where appropriate - Will encourage reciprocal site visits between Operator and Surface Transport Customer Services
B5. Training and Development	B5.1	Surface Transport will provide system training to all Operators on Surface Transport's customer contact handling system, where the use of certain technology is stipulated.	<ul style="list-style-type: none"> - Provision of training on Surface Transport's customer contact handling system (new user, refresher and specific hands on support) - Provision of training to access information from the customer contacts handling system - Provide feedback to and encourage feedback from Operators relating to the customer contacts process, procedures and systems in place - Circulate learning points for Operators and Surface Transport Customer Service staff as a result of feedback received

Surface Transport Customer Services Complaints and Feedback Policy

Approved by David Brown, MD Surface Transport

Signed:

A black rectangular box redacting the signature of David Brown.

Date: 29th May 2009

Version 1.0

Purpose

This policy sets out the principles for handling complaints and feedback in Surface Transport Customer Services.

Definition

Customer complaint and feedback is defined into four categories:

- Complaint – which is any expression of dissatisfaction with Surface Transport’s service, staff or policies
- Query – this could be a general or specific request for information. Requests under the Freedom of Information Act 2000 are handled in accordance with the statutory procedure
- Commendation – which is an expression of approval for Surface Transport or its services
- Suggestion – an idea submitted to Surface Transport with the aim of improving our services

Organisational Scope

Surface Transport is the integrated body responsible for the Capital’s surface (public) transport system. Its role is to implement the Mayor’s Transport Strategy across Surface Transport modes, improving the quality of service, increasing the number of passengers on Surface Transport services and improving accessibility to the Surface Transport services for mobility-impaired passengers and young people.

Surface Transport Customer Services manages:

- London’s Buses
- Streets
- Public Carriage Office (PCO)

Surface Transport is committed to providing consistent, high quality services and values customer feedback.

Surface Transport Complaints and Feedback Policy Statement

•
“Promote feedback from our customers ensuring that information provided is used within the business to improve the provision of transport in London”.

Policy Content

This policy outlines Surface Transport’s commitment to managing complaints well through a complaints system which is:

- Easy to Access
- Timely
- Confidential
- Informative
- Simple
- Fair
- Effective
- Monitored and Audited

•
•

Easy to Access

-
- We will make access to our customer services teams as easy as possible, whether by written correspondence, e-mail, fax, telephone, web-form or other methods. We are committed to making communication with us as easy as possible. We will assist people who have difficulty in contacting Surface Transport due to disabilities or language problems.
 - We will ensure Surface Transport customers are confident about making a complaint. We will provide support where necessary and inform customers of help they can get from outside Surface Transport.

Timely

•
All feedback will be dealt with in a timely manner, adhering to published timescales and guidelines.

We will keep you informed about the different stages of the contact process.

For all enquiries we will provide a response or update within a maximum of 15 working days. We will acknowledge all written enquiries within 2 working days.

Confidential

We will keep all personal details confidential, in accordance with applicable legislation and internal guidelines. However, we may share information within Surface Transport to the extent necessary to resolve an issue or to be able to offer a reply.

You are not required to provide your details however in such case, we will resolve the issue but will not be able to provide you with any feedback.

Informative and Simple

-
- We will aim to eliminate jargon and to communicate in a clear and concise way. Our response to your feedback will:
 -
 - Aim to answer all points of concern
 - Be factually correct
 - Aim to find positive, workable solutions
-
- If you are dissatisfied with our response, we will tell you what options are open to you.

Fair and Effective

We will ensure that all customer complaint and feedback is handled in a fair and effective way. This means that we will deal with complaint and feedback without bias towards any particular group or body and that we will be consistent and thorough in our approach.

Monitored and audited

We will log and monitor all feedback to ensure that we adhere to our promises under our published policies and our obligations under any relevant legislation.

We will also ensure that customer feedback is passed on to senior managers and other members of staff, in order to help improve services.

Redress

As part of valuing customers and customer feedback, we will seek to provide appropriate redress when required.

Escalation

Our operating procedures will provide for escalation of matters that are unresolved or where the nature of the feedback requires it.

- Our operating procedures will also provide for escalation of matters to external organisations. Depending on the issue this will either be the London TravelWatch, the Local Government Ombudsman or the Information Commissioner. Contact details are given below:

-

London TravelWatch	
Phone:	020 7505 9000 (09.00 to 17.00 Mon to Fri)
Fax:	020 7505 9003
E-mail:	enquiries@londontravelwatch.org.uk
On-Line:	www.londontravelwatch.org.uk
Post:	London TravelWatch, 6 Middle Street, London, EC1A 7JA

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Greater London Authority	
Phone:	0207 983 4000 (24 hours)
Fax:	0207 983 4057
Minicom:	0207 983 4458
On-Line:	www.london.gov.uk
E-mail:	mayor@london.gov.uk
Post:	Greater London Authority, City Hall, The Queen's Walk, More London, London, SE1 2AA

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Local Government Ombudsman	
Phone:	0845 602 1983 (09:00 – 16:30 Mon - Fri)
E-mail:	http://www.lgo.org.uk/reqinfo.htm
Post:	Local Government Ombudsman, 10th Floor, Millbank Tower, Millbank, London, SW1P 4QP

-
-

Information Commissioner	
Phone:	01625 545745
E-mail:	http://www.ico.gov.uk/Global/online_enquiries.aspx
Post:	The Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF

How to Contact Us:

Surface Transport Customer Services (London Buses)	
Phone:	0845 300 7000 (08:00-20:00 Monday to Friday)
Fax:	0845 600 6241
E-mail:	customerservices.buses@tfl.gov.uk
Post:	London Buses Customer Services, 4th floor, Zone G7, Palestra, 197 Blackfriars Road, London SE1 8NJ

-

-

• Surface Transport Customer Services (London Streets)	
Phone:	0845 305 1234 (24 hours a day)
Fax:	0845 600 6241
E-mail:	londonstreets@tfl.gov.uk
Post:	London Streets Customer Services, 4th floor, Zone G7, Palestra, 197 Blackfriars Road, London SE1 8NJ

Surface Transport Customer Services (Public Carriage Office)	
Phone:	0845 300 7000 (08:00-20:00 Monday to Friday)
Fax:	0845 600 6241
E-mail:	coms@pco.org.uk
Post:	Surface Transport Customer Services, 4th floor, Zone G7, Palestra, 197 Blackfriars Road, London, SE1 8NJ
General queries (excluding comments or complaints):	enquiries@pco.org.uk
Passengers wishing to submit a comment or complaint to the Public Carriage Office (PCO) about taxi or private hire services in London should use the online form or use the contact details above	

You can also report issues to us via the **Help & Contact** section on www.tfl.gov.uk

Other Useful Contacts

London Travel Information London Underground	
Phone:	020 7222 1234 (24 hours a day)
Textphone:	020 7918 3015
E-mail:	travinfo@tfl.gov.uk

Oyster Customer Service Centre	
Phone:	0845 330 9876 (08:00-20:00 seven days a week)
Post:	Oyster card helpline, 1st Floor, Albany House, 55 Broadway, London SW1H 0BD

London Underground	
Phone:	0845 330 9880 (08:00-20:00, seven days a week)
Post:	Customer Service Centre, London Underground, 55 Broadway, London SW1H 0BD

Congestion Charging	
Phone:	0845 900 1234
International:	+44 20 7649 9122
Textphone:	020 7649 9123 (if you have impaired hearing)
Post:	Congestion Charging, PO Box 2985, Coventry, CV7 8ZR

London River Services	
Phone:	0207 941 2400
On-Line:	https://www.tfl.gov.uk/tfl/contact/default.asp?type=river

Tramlink	
Phone:	0207 941 2400
On-Line:	https://www.tfl.gov.uk/tfl/contact/default.asp?type=river

Dial -a- Ride	
Phone:	0845 999 1 999 (9am-4pm, Monday to Friday)
Fax:	020 7027 5801
E-mail:	Dar.generalenquiries@tfl.gov.uk
Post:	Dial-a-Ride, Progress House, 5 Mandela Way, London SE1 5SS

Victoria Coach Station	
Phone:	0207 730 3466
Mobility Assistance:	0207 824 0000
On-Line:	https://www.tfl.gov.uk/tfl/contact/default.asp?type=vcs

TfL Customer Relations	
Phone:	020 7222 5600 and ask to be put through to TfL Customer Relations
Fax:	020 7027 9914
E-mail:	enquire@tfl.gov.uk
Post:	23rd Floor Empress State Building, Empress Approach, London SW6 1TR

Appendix 4.2 - Bus Operator timescales for investigation and responding to Customer contacts

All timescales for resolving complaints and replying to customers are set out in the Surface Transport Customer Services Complaints and Feedback Policy, which states, "For all enquiries we will provide a response or update within a maximum of 15 working days. We will acknowledge all written enquiries within 2 working days." The timescales commence from the day that the Customer contact is received in Surface Transport Customer Services.

Bus Operators responding directly to Customers (Option 3)

Surface Transport Customer Services create a Service Ticket and re-assign to Bus Operator within 1 working day.

The exception to this is, if ST Customer Services need to reply to the Customer (e.g. complaint about more than one issue) and a Hand Off task will be created (see response times below).

A response should be provided to the Customer within 15 working days. For high priority Customer contacts the timescale is 10 working days.

Bus Operators responding back to Customer Services (Option 2)

Surface Transport Customer Services create a Service Ticket and send a Hand Off task to the Bus Operator within 2 working days of receipt.

A response following any investigation carried out, should be provided to ST Customer Services within 7 working days, to enable them to send a response to the Customer. For high priority Customer contacts the timescale is 5 working days.

Occasionally, an Option 2 Bus Operator will need to respond directly to the Customer, if the Customer has requested this. In this case, ST Customer Services will still send a Hand Off task but the due date will be changed to 15 working days.

For Information: High Priority Customer Contacts

High Priority correspondence can come from a variety of sources, but most usually via MPs, the Mayor's Office, the GLA, the Ombudsman and the Commissioner's Office. Cases coded with Safety or Security codes, those that have been fast tracked or are involved in an escalation process are also treated as high priority.

Appendix 4.3 – Business Processes

Listed below are the processes relevant to Operators and Surface Transport Customer Services (copies were issued at SAP CRM Go Live – November 2008).

8.1 – Bus operator handling initial contact

8.2 – Bus operator call contact handling

8.3 – Bus operator correspondence handling

8.4 – Escalation routes for Customer Services regarding Operators

8.5 - Incorrectly assigned service tickets / tasks

8.6 – Bus operator requires further information from Customer

8.7 – Garage templates (use of internal memo templates to carry out investigations)

8.8 – Multiple service ticket handling

8.9 – New bus operator staff training requests

7.04 – Specific handling – Legal claims

If you require a copy of these processes, please contact:
Process Manager, Delivery & Compliance, Surface Transport

APPENDIX 5: TFL COMPLAINTS HANDLING PROCEDURE

This appendix comprises the following sections:

Appendix 5.1 – TfL Complaints Handling Procedure

Appendix 5.2 – Surface Transport Complaints and Feedback Policy

The policy outlines the processes, procedures and standards to be met for all Surface Transport Customer contacts.

Appendix 5.3 - Bus Operator timescales for investigation and responding to Customer contacts

Outlines the service level agreement (timescales) Bus Operators should meet when dealing with Customer contacts.

Appendix 5.4 - Surface Transport Processes

Lists the processes relevant to Operators referred to in the Code of Practice. These have been issued to all Operators. Copies can be requested from the Process Manager, Delivery & Compliance, Surface Transport.

Complaints Handling Procedure:

Our commitment to putting things right



At Transport for London we are committed to providing a high-quality service to everyone we come into contact with. We appreciate that sometimes we may not meet your expectations, either through the planning or delivery of our activities. If so, we welcome your feedback and want you to tell us when things go wrong.

For us, a complaint is any expression of dissatisfaction with our service or policy. We will listen to all complaints, treat them seriously, resolve them as quickly as possible and learn from them so that we can continue improving our service.

This procedure has been updated in accordance with guidelines published by the industry regulator, the Office of Rail and Road (ORR), in 2015, as a condition of the operating licences for London Underground, London Overground and TfL Rail services.

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Core Standard 1: Feedback mechanisms and response

Promoting awareness

Understanding how we are performing is a key element in our process of continuous improvement. We will make it easy for customers to provide feedback on our services and encourage them to do so.

Details on how to contact our Customer Services team are displayed on:

- major customer publications;
- our website;
- posters displayed in passenger vehicles; and
- posters displayed at stations

Making it easy to contact us

There are several channels available for customers to contact us. We have given consideration to each of these options to ensure that concerns raised can be captured and handled in an effective and efficient manner.

Phone	0343 222 1234
Online	www.tfl.gov.uk/contact
TextPhone	0800 112 3456
Post	TfL Customer Services, 4th Floor, 14 Pier Walk, London, SE10 0ES

In person

Frontline staff are the first point of contact for immediate feedback on service performance. Staff members undertake customer service training and are provided with the tools and information to allow them to resolve issues on the spot whenever it is possible to do so.

Where a complaint requires investigation or a formal response, staff will encourage customers to contact the Customer Services team and provide them with the most appropriate channel for their needs.

Online

Our website includes clear and guided forms that allow customers to raise a complaint or enquiry, as well as a range of FAQs. Information on how to raise a complaint is available within two clicks from any part of our web site. We follow the guidelines for UK government websites by supporting W3C's Web Content Accessibility Guidelines 2.0 Level AA, and make the website adaptive for use on a range of devices and browsers.

We include a list of all available contact channels, including phone, TextPhone and postal options, for customers who wish to contact us by a different method. To improve the overall experience, we include the option number that needs to be selected when calling, allowing for a faster connection to our Customer Services team.

The web page also contains links to our Customer Promise, which details the service levels we adhere to, the process of how to complain and to whom, the information required when making a complaint, as well as the routes for escalation and appeal, including London TravelWatch and the Local Government Ombudsman.

Phone

We offer a local rate and easy to remember phone number that is included in a majority of call packages for landline and mobile providers. The Customer Services team is available 24 hours a day.

If for any reason the phone lines are not open, a recorded message is played giving details of opening hours and alternate contact options, such as the website. A TextPhone service is available on a Freephone number for customers with a hearing disability.

Post

A standard postal address is available for customers who prefer to write to us with their complaint, or for instances where they may need to send in supporting materials.

Social media

Our Facebook and Twitter accounts are increasingly used by customers to express real-time and informal feedback on our services. We actively monitor comments and aim to resolve and directly respond to issues when appropriate and practical.

Facebook: Transport for London

Twitter: @tfl

Where customer feedback through social media is determined to be an issue that needs a more formal response, customers will be directed to our Customer Services team in order to make their complaint.

We proactively publish links on social media advising customers of the complaints process. Where there is an occurrence that is likely to create service delays, we also publish links for our refunds process.

Respecting the customer

We strive to provide a transport service that caters for all users, regardless of their circumstance. Our customer service proposition follows the same ethos and we will ensure that all customers have an equal opportunity to put forward their concerns.

Whenever possible, we will respond to a customer using their preferred contact method. The use of large print, audio and other forms of accessible communication methods will be made available where practical. The use of PDF files allows us to provide text search, screen enlargement and 'read to me' services for customers.

We maintain a register of different languages spoken by Customer Service staff and, where possible, will use this to assist in responding to customers for whom English is not their first language.

We appreciate that not all customers are able to act on their own behalf. In line with our data protection policy, we allow carers or guardians to act or advocate for customers with their permission.

Accessibility

Customer Services staff are trained and enabled to assist those with a diverse range of needs. To support and encourage this, we have a network of Accessibility Champions who take a proactive stance in promoting good practice amongst their peers and collaborate with other departments to ensure the customer voice is heard.

We provide a separate email address (tflaccessibility@tfl.gov.uk) that allows us to quickly identify and respond to enquiries and complaints from disabled customers.

Respecting customer privacy

Data protection

All information we collect and store during the process of handling a complaint is done in adherence with the Data Protection Act 1998.

Our Privacy and Data Protection Policy covers our commitment and adherence to:

- The Information Commissioner's guidance documents and Codes of Practice;
- the Payment Card Industry Data Security Standard (PCI DSS);
- TfL's Information and Records Management Policy;
- TfL's Information Security Policy; and
- TfL's Code of Conduct

In respecting a customer's right to privacy, we will:

- ensure that personal data is processed fairly and lawfully;
- collect only relevant and adequate personal data to allow us to investigate a complaint;
- take measures to ensure the integrity and security of the data we process;
- inform them of any requirement to share their data and seek their permission to do so;
- ensure that all Customer Services staff undertake annual refresher training on data protection and privacy.

Response times

We value customer feedback and appreciate the efforts made by customers who have taken the time to contact us. We will respond to complaints in a timely manner.

All complaints will be acknowledged within 48 hours and a full response will be provided within 10 working days. In the event that more time is required, the customer will be informed of:

- what is happening with their complaint;
- how long it will likely take for the response; and
- the name and contact details of the person dealing with the complaint.

Customers will be given an outline of the complaints procedure when they first contact us, including the standard for response times. This may be in person when contacting us by phone, or by an automated acknowledgement for online and email enquiries to publicised addresses.

Customers will be provided with a reference number for each case.

Exceptional demand

We forecast and monitor demand for our Customer Services team on an intra-day basis. In exceptional circumstances, we may not be able to achieve ORR's required level of responding to 95% of complaints within 20 working days.

Should this occur over a period of more than one month, we will implement a process of reasonable endeavours to maintain service standards, as well as:

- notifying the ORR and London TravelWatch within two weeks of such action as to the nature of the event, our mitigating actions and expected timeframes for returning to normal service standards; and
- notifying customers through our web page as to the nature of the event and our amended response standards.

Providing a resolution

We aim to provide a full and fair investigation of all complaints.

In order to do so, we will:

- identify the key issues that have been raised by the customer and address each one in turn;
- look at the context and intent of the complaint to confirm whether there are any unstated issues that need to be addressed;
- gather, check and review evidence to allow us to establish and corroborate the facts of the complaint;
- investigate the reasons why the issue has occurred;
- identify any recurring or root causes; and
- consider the most appropriate form of resolution and response.

We will respond to customers using their preferred channel where possible and will provide a full written response in plain English. All Customer Services staff are trained and have guidelines in the use of tone and voice when crafting a response. To maintain and improve the standard of our responses, regular quality assessments are undertaken by team managers.

Getting it right first time

Our Customer Services team are focused on the importance of responding individually and empathetically to each customer's circumstances. We have empowered our staff to use their initiative and explore all avenues, including the use of gestures of goodwill, in order to provide a quick and acceptable response to customer complaints.

Further investigation

In certain cases, we may need to investigate issues that require more than one response from us. Where we have provided a second full and substantive response to a customer, we will include the details for London TravelWatch, even where we are still actively working towards a resolution of the complaint.

Complaints involving multiple licence holders

Where a complaint involves services not directly under our licence, we will liaise with relevant Operators to obtain the information we need in order to resolve the issue. In situations where the interest of the customer would be better served by having the complaint resolved directly by the third party, we will inform them of our decision and seek permission to share the relevant details of their complaint in line with our Privacy and Data Protection Policy.

Staff privacy

Where a complaint relates to an individual member of staff, the details of any action taken against them remains confidential within the bounds of the Data Protection Act 1998 and will not ordinarily be disclosed.

Compensation

Where the complaint involves a refund for service delay, we will provide compensation in line with the Transport for London or National Rail Conditions of Carriage, whichever is greater. Claims for payment due to delayed or cancelled services are not considered as a complaint and will be recorded and monitored separately to this procedure.

Unreasonable and unreasonably persistent complaints

We will actively seek to find a full and fair resolution to all complaints received. However, where a customer's complaint is unreasonable, or they are unreasonably persistent in pursuing either an open or resolved complaint, we reserve the right to restrict or cease their communication with us.

Such action will be taken as a last resort and is covered in full by our Unreasonable and Unreasonably Persistent Complaints policy.

Any actions taken under this policy will include:

- full communication with the customer as to why the action is being proposed or implemented;
- authorisation and review by a business-level manager;
- documentation of the situation and actions taken; and
- notification to the customer of paths to appeal, including London TravelWatch and the Local Government Ombudsman.

Except in extreme cases of deliberate and vexatious communication, each new and unrelated complaint from a customer who is being managed under this policy will be treated on its merits.

Escalations and Appeals

Whilst the majority of customer complaints can be resolved by Customer Services staff, there are instances where the process may need to be reviewed by a team manager or independent adviser to ensure the thoroughness and suitability of our investigation.

Escalations

Escalation of a complaint may occur where:

- it is requested by the customer;
- the customer is aggrieved with the process or response;
- it involves a serious or exceptional incident involving injury, or a vulnerable member of the public;
- it involves a serious reputational risk to the organisation;
- it has underlying health and safety implications;
- it is politically sensitive or newsworthy;
- it is from a customer being managed under the Unreasonable and Unreasonably Persistent Complaints policy; or
- it relates to an exceptional matter involving the Mayor, Transport Commissioner or company Director.

Where a complaint has been escalated, we will:

- pass the complaint to a Customer Services team manager who will review the complaint in its entirety and respond within 10 working days. Should further time be required, the manager will contact the customer advising them of the reason and likely timeframe for response.

Complaints may be directly escalated to any stage of the process dependent on the context. The escalation of a complaint is part of our internal process and does not impact the customer's rights to engage with London TravelWatch or the Local Government Ombudsman in pursuit of resolution.

Appeals

Customers who are not satisfied with our resolution or response to their complaint may refer the issue to London TravelWatch or the Local Government Ombudsman. We provide the contact details for these organisations within the second substantive response to a complaint, as well as on our web site.

We have a protocol in place with London TravelWatch that covers our response times and appeals case management process.

Alternative Dispute Resolution

In line with our obligations under the Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulation 2015, where we are unable to resolve a complaint, we will provide customers with the details for the relevant ADR body, the Consumer Ombudsman (www.consumer-ombudsman.org). We will also advise that we are not obliged to use the ADR process and direct them instead to London TravelWatch.

Freedom of information

Requests for data we hold can be made via email: foi@tfl.gov.uk
Full details are available on our Transparency page:
www.tfl.gov.uk/corporate/transparency/

London TravelWatch is the official watchdog organisation representing the interests of transport users in and around the capital. It is sponsored and funded by the London Assembly, which is part of the Greater London Authority, and is independent from the transport operators. They can assist with complaints about transport in London when the service provider has not satisfactorily resolved them.

Phone 020 3176 2999 (09:00 – 17:00, Monday to Friday)

Online www.londontravelwatch.org.uk/complaints/online

Email enquiries@londontravelwatch.org.uk

Post London TravelWatch,
169 Union Street,
London, SE1 0LL

The Local Government Ombudsman provides a free, independent and impartial service regarding complaints about the administrative actions of councils and some other authorities, including Transport for London.

Phone 0300 061 0614 (08:30 – 17:00, Monday – Friday)

Online www.lgo.org.uk/making-a-complaint

Post The Local Government Ombudsman,
PO Box 4771,
Coventry, CV4 0EH

Core Standard 2: Structures, people and processes

Organisational structure and people

As an organisation, we place customers at the heart of everything we do. Our commitment is evidenced through the deployment of a professional, well-trained and supported network of staff, empowered and enabled to deliver excellence as a standard.

Frontline operational staff

Frontline staff have regular and on-going interaction with managers, both in terms of personal performance and development, as well as operational reviews and quality assurance. All staff are trained and have access to the information and processes to enable them to assist customer enquiries at point of origin, as well as the details of alternate support options including the formalisation of complaints.

Customer Services team

Complaints and investigations are handled by our in-house team. We maintain a high standard of service through a combination of recruitment, induction, training, engagement, motivation and quality assurance activities.

There is daily interaction with team managers and business-level performance managers, ensuring that feedback and awareness of customer issues is captured and reviewed without delay. Senior managers, including the Head of Contact Centre Operations, Customer Experience Director and Managing Director hold regular open forums with the team.

Training and development

Supporting the Customer Services staff are teams focusing on:

- learning and development;
- knowledge and engagement;
- quality; and
- resourcing and scheduling

These teams provide a centralised and calibrated approach that ensures a consistency in standards and the ability to identify and act upon elements of performance improvement. Key activities delivered by these teams include:

- bespoke training programs for induction, development and operational awareness;
- central knowledgebase for procedures, news and information that ensures a consistency in approach and a timely distribution of updates regarding situations that may impact operational performance and customer satisfaction;
- publication of quality standards, frameworks and best practice guides; and
- effective distribution of staff resource to ensure response times are met whilst allowing for support, training and development activities.

All complaint-handling staff are trained and monitored on their customer service, complaint investigation and resolution skills. Regular performance reviews allow for the identification of coaching and training opportunities to improve skills and knowledge.

Processes and protocols

Record keeping

Complaints are collated centrally on our Customer Relationship Management (CRM) system. Data is retained in line with our corporate information and records disposal schedule, which conforms to the requirements of the Data Protection Act 1998.

We retain complaint data in electronic format. Records logged on the CRM are held for a minimum period of three years. This includes full details of the customer, nature of the complaint, and a record of all contacts received and responses sent.

Aggregated data that contains no personally identifiable information may be held for a minimum of five years in order to identify trends in complaint volumes and categories.

Complaint data will be maintained in a format that allows for analysis of service improvement opportunities and fulfilment of regulatory reporting requirements.

Quality control

We implement a range of measures to ensure the quality of our communication with customers is of a high standard, including:

- the use of style guides and adviser self-assessment checks;
- scheduled call recording, monitoring and quality audits;
- scheduled correspondence reviews for structure, tone and suitability of proposed resolution;
- intra-day monitoring and coaching; and
- external audit programs.

We undertake over 500 phone, correspondence and 'mystery shopper' quality checks each four week period and use a system of reward and recognition to encourage consistent good performance.

Identification of systemic weaknesses

We monitor and analyse the volume and type of complaints on a periodic basis to identify any underlying issues that have emerged. Where these pertain to the complaints handling procedure, we will look to implement changes in line with ORR guidelines.

We provide feedback to internal stakeholder groups allowing them to incorporate intelligence gained from customer complaints as part of their service improvement processes.

We distinguish complaints as being a notice of customer dissatisfaction that specifically asks for or requires a direct response from us. Feedback from customers that does not require such action is still collated and used alongside complaints data to review and improve performance.

Where a complaint pertains to an individual member of staff, we will consider the context and contributing factors to examine if there are broader issues that need to be addressed to improve performance.

Complaints pertaining to health and safety issues will be reviewed in line with our Health, Safety and Environment policies. Where an allegation of injury is received from a customer, consideration will be given for the reporting of the incident under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.

Complaint service standards

We adhere to a set of standards that customers can be assured of when they make a complaint:

- the complaint handling process is embedded in our culture and subject to high level governance;
- the complaints process is accessible and easy to use;
- complaints will be fully and fairly investigated by trained staff;
- we will aim to respond in full to complaints within 10 working days wherever possible;
- we will keep customers informed of the progress and outcome of their complaint;
- we will respond to all points raised and seek to resolve the issue to the customer's satisfaction;
- we will inform customers of their right of appeal with London TravelWatch or the Local Government Ombudsman
- we will monitor trends to identify and address any systemic issues; and
- we will learn from the issues raised in complaints and use these to drive performance improvement.

These standards are reflected in our Customer Promise document, which is available on our website.

Core Standard 3: Organisational culture

High-level visibility and governance

We are a customer-focused organisation that utilises feedback to help drive improvements in our performance. This commitment springs from two of our core strategic pillars:

- Customers - the heart of our business: putting customers and users at the centre of everything we do;
- Our People - dedicated to customer service: valuing our people, being accountable, actively seeking solutions and working with others directly, fairly and consistently.

In particular, the values of being accountable, active, fair and consistent are direct drivers in our commitment to providing a robust complaint handling procedure.

Customer satisfaction and complaints data are published as key business metrics in our Quarterly finance, investments and operational performance report. These are reviewed at board level and available on our website.

In addition, the senior leadership team have a full overview of the complaints process, volumes, trends and underlying causes of complaints across the organisation.

Learning and improving

To ensure we remain competent and focused in handling and resolving customer complaints, we conduct a range of activities including:

- engaging with industry peers to collaborate on elements of best practice, including participation in the annual Top 50 Contact Centre benchmarking programme;
- participating in mystery shopper programmes; and
- major internal campaigns to enhance writing and first-time resolution skills with complaint handling staff.

As an organisation, we strive to deliver a safe, reliable, efficient and inclusive transport network. Learning from complaints is a key factor in achieving this and we are committed to doing so.

For more information on what we do and our commitment to customers, visit: www.tfl.gov.uk/corporate/about-tfl/

Document control

This document will be reviewed annually in March and authorised by the CCO Customer Support Manager. Updated: November 2016

Links

Help and contacts (including Customer Promise):

www.tfl.gov.uk/help-and-contact/

Freedom of Information requests:

www.tfl.gov.uk/corporate/transparency/

National Rail Conditions of Carriage:

www.nationalrail.co.uk/times_fares/46427.aspx

Privacy and data protection policy:

www.tfl.gov.uk/corporate/privacy-and-cookies/

Quarterly finance, investment and operational performance reports:

www.tfl.gov.uk/corporate/publications-and-reports/quarterly-progress-reports

Social media policy and house rules:

www.tfl.gov.uk/corporate/terms-and-conditions/social-media

Transport for London Conditions of Carriage:

www.tfl.gov.uk/corporate/terms-and-conditions/ticketing-and-travel-conditions-of-carriage

Unreasonable complaints policy:

www.tfl.gov.uk/corporate/publications-and-reports/complaints-policy



APPENDIX 6: LICENCE FOR LONDON

The Licence for London was launched in January 2018, as part of the Mayor's manifesto pledge to provide a new fairer deal for London's 25,000 bus drivers'. It enables bus drivers that move between London bus companies (and who normally drive on TfL contracted services) to start at the rate of pay equivalent to their service and experience. Drivers take with them their qualifications and driving record in the form of an enhanced reference for their new employers.

All of London's bus operators have signed up to the Licence for London and have committed to apply it. It is not the same as Transfer of Undertakings (Protection of Employment) Regulations (TUPE) and there is no continuity of employment or service-based additional staff benefits, nor is the pay the same. However, for example, a driver with 4 years' experience at their current operator would start at the hourly rate available to drivers with four years' experience at the new company. It means that drivers who want or need to move between employers are recognised for their experience, rather than potentially having to go back to a 'starter' rate.

TfL's press release can be accessed here: <https://tfl.gov.uk/info-for/media/press-releases/2018/january/gla---mayor-hails-fair-pay-deal-for-london-s-bus-drivers>

APPENDIX 7 - Lost Property Arrangements

- A. Address and Hours of Opening
- B. Forms and Equipment
- C. Claims and Correspondence
- D. Claims at Garages for Lost Property with Fees to be Charged
- E. Property Found on Vehicles
- F. Lost Property Found Within Bus Garages
- G. Animals
- H. Examination of Lost Property
- I. Recording and Labelling of Lost Property
- J. Safe Custody of Lost Property
- K. Despatch of Lost Property to the Lost Property Office
- L. Public Enquiries About and Claims for Lost Property
- M. Perishable Articles
- N. Property of an Exceptional or Dangerous Nature
- O. Period Tickets, Passes (other than staff free passes), Scholars Term Tickets, Scholars Identity Cards and Concessionary Fare Bus Permits.
- P. Staff, Dependent, Retired and Other Privilege Passes and Identity Cards

2. The Operator shall be issued with the following forms and equipment (which list may be amended from time to time by the Corporation) free of charge:
 - 2.1 Form 705/21 (2) - Particulars of lost property found;
 - 2.2 Form 705/36 - Summary form;
 - 2.3 Form 705/23(3) - Enquiry form for lost property;
 - 2.4 Form 602/12 - Lost property label;
 - 2.5 Form 27241/043 - Lost property envelope (small); and
 - 2.6 Form 27241/046 - Lost property envelope (medium).
3. The Operator shall ensure that all forms shall be completed legibly in ink.
4. Certain members of the public are entitled to claim a VAT refund in respect of the charges made for lost property. In cases where a "tax invoice" for this purpose is requested, the following information must be sent by the Operator by way of a memorandum to the *Chief Accountant, Transport for London, Windsor House, 42 - 50 Victoria Street, London SW1H 0TL* and the claimant advised that the "tax invoice" will be sent by post from that office in due course:
 - 4.1 name and address;
 - 4.2 date claimed;
 - 4.3 amount charged;
 - 4.4 description of article; and
 - 4.5 serial number of Form 705/21(2)

C. CLAIMS AND CORRESPONDENCE

1. Claimants should be advised that property is not available at the Lost Property Office until 1200 hours on the day after collection from the garage.
2. All correspondence received at the garages regarding lost property shall be sent to the Lost Property Office, endorsed with any available information that may assist in tracing the property.

D. CLAIMS AT GARAGES FOR LOST PROPERTY WITH FEES TO BE CHARGED

1. All claimants for lost property which is still on hand at the garage shall be required to pay a fee of £2.00 per article or such other fee as the Corporation may from time to time determine. This set fee applies to all articles of lost property. Staff of the Operator who lose articles are in precisely the same

position as the general public. Except in cases where an article has been inadvertently left on the bus or in the garage in the normal course of duty, the appropriate lost property fee is payable.

2. In cases where property is claimed at the garage and payment of the fee will cause hardship to the claimant (e.g. an old age pensioner) the Lost Property Office should be contacted for advice. It must be clearly understood that each case will be dealt with on its merits.
3. In no circumstances shall the Operator advise a claimant that any fees paid will be refunded.
4. The amount charged should be entered by the garage official on duty on the bottom right hand side of Form 705/21(2) and then the claimant should sign and give his name and address in the space provided. The charge must be entered before the form is signed. A separate form must be completed and signed for each article. For the avoidance of doubt all military kit, equipment and the like if claimed at the garage is subject to the above fee.
5. Claimants of locked bags and cases should be requested to open the article so that the value of the contents may be assessed.
6. Wherever lost property is claimed at garages, the appropriate section on the right hand side of Form 705/21(2) should be completed, care being taken to ensure that, where an article is claimed on behalf of the owner, the owner's name is inserted in the second line of the alternative indemnity. In order that the garage concerned may have a record of such cases, the name and address of the claimant, together with the fee paid, should be shown on the reverse of the garage copy of Form 705/21(2).
7. All fees shall be forwarded to the Lost Property Office in the manner set out in Section K paragraph 8.

E. PROPERTY FOUND ON VEHICLES

1. drivers and shall retain in their possession all property found on their vehicle, whether found by themselves or by other persons, and shall on completion of their duty hand such property to the garage official on duty who shall arrange for particulars thereof to be recorded on Form 705/21(2) (In the section for "Particulars of Lost Property Found"). The name and address of the finder must be stated and the time at which the property is handed in at the garage. If it is handed in or over by a passenger, this fact must be recorded. The appropriate counterfoil of the Form shall be handed to the conductor, driver or driver/operator as a receipt for the property.

2. When a driver or deposits two or more articles found during the course of his or her duty, a separate Form 705/21(2) should be completed for each article otherwise considerable confusion is caused when the Lost Property Office endeavours to trace lost articles.
3. Any alteration to the entries on Form 705/21(2) must be initialled by the garage official concerned in the presence of the conductor, driver or driver/operator.
4. It should be particularly noted that if the property is claimed before it is handed in at the garage, and the driver is satisfied as to ownership, he or she shall hand the property to the claimant without fee or reward but must obtain a receipt for the property with the claimant's name and address and must give a full description of the property on his or her "Cash Total Sheet". It shall be the driver's or responsibility to draw the attention of the garage official on duty to such a receipt and to furnish the necessary details to enable form 705/21(2) to be completed. The form should be clearly endorsed "Claimed on Vehicle".
5. Drivers must sign that portion of Form 705/21(2) dealing with lost property which is retained by the Operator. This must be done in ink and, in order to avoid disputes, any alterations made on the form must be initialled.

F. LOST PROPERTY FOUND WITHIN BUS GARAGES

Property from passengers using the Services which is found by an employee of the Operator within the confines of the Operator's garage or other premises shall be handed in to a garage official who shall complete Form 705/21(2) in respect of each item of property handed in.

G. ANIMALS

When animals and/or pets are handed in as lost property, the local RSPCA should be notified and requested to collect them. The telephone number of the local RSPCA should be available for the garage staff. Form 705/21(2) must be completed in respect of each animal.

H. EXAMINATION OF LOST PROPERTY

1. Unlocked bags, purses, wallets and the like must be opened by a garage official on duty and a full description of the contents entered upon Form 705/21(2) which should be signed by the driver or other person handing in the property as certifying the correctness of the entry.
2. Wage packets etc. allegedly containing cash, (whether or not they are contained in other property) shall be examined and the actual contents determined and noted.

3. Period tickets and other travel permits issued by any member of the TfL Group or London Underground Limited shall be dealt within the manner set out in Section O and P.
4. The London Transport Act 1982 provides that where the name and address of the owner of any lost property is readily ascertainable and the address is within the United Kingdom the Lost Property Office shall notify the owner that the lost property is in the possession of the Lost Property Office. Accordingly all items of lost property shall be examined by a garage official and where the name and address of the probable owner can be ascertained these details shall be entered on Form 705/21(2) in the section headed "name and address of probable owner." There shall also be endorsed on the Form information as to where these details were obtained. For this purpose it will be sufficient for the Operator to endorse the form with for example "Name on" or "Name inside".
5. The responsibility for advising the owner of the lost property that the item is in hand rests with the Lost Property Office and not with the Operator or the garage where the property was handed in and in no circumstances shall the Operator contact the owner directly.

I. RECORDING AND LABELLING OF LOST PROPERTY

1. Form 602/12 (Lost Property Label) shall be attached to all lost property with the exception of small articles such as rings, keys, necklaces, spectacles etc. which must be enclosed in a Lost Property Envelope of the appropriate size. When articles are described, umbrellas should be shown as either lady's or gentleman's, straight or crook handle. The colour of cover should also be stated. Gloves should be described as lady's or gentleman's, single or pair, leather or cotton etc. Handbags, purses, wallets should be described as lady's or gentleman's, with the material and colour clearly stated.
2. Envelopes should not be used for gloves and books, which should be tied with string and labelled. Gloves should not be tied round the fingers. Single gloves must be entered on separate Forms 705/21(2) and labelled separately. They must on no account be batched and entered on one form.
3. Locked bags and cases must not be opened (unless they are treated as a suspect package) but detailed on Form 705/21(2) as "Locked".
4. To avoid damage, umbrellas and walking sticks must be tied together at the top and bottom before being despatched to the Lost Property Office.
5. When loose money is handed in the Operator shall indicate on Form 705/21(2) the exact position on the vehicle or in the garage where it was found (e.g. nearside, front seat, upper deck).

6. Immediately after recording, the lost property must be securely parcelled, tied with string and sealed.

J. SAFE CUSTODY OF LOST PROPERTY

The safeguarding of all lost property shall be the responsibility of the Operator until it is collected by the Lost Property Office (or its representative) and the garage official on duty shall place the same in the safe immediately after receipt. Without prejudice to the Operator's general duty to safeguard lost property, the Operator shall pay particular regard to the safekeeping of valuable items of lost property for example, jewellery and money. Bulky parcels, tins of paint etc. should be put in a cupboard which must be kept locked.

K. DESPATCH OF LOST PROPERTY TO THE LOST PROPERTY OFFICE

1. Arrangements for the collection of lost property from the Operator's garages for transmission to the Lost Property Office shall be as notified to the Operator by the Corporation and/or the Lost Property Office from time to time.
2. The Operator and its garage officials shall ensure that property received by them, with the exception of items specified below, is packed in the transit bags provided for this purpose.
3. Each item of lost property must be accompanied by a completed Form 705/21(2). A full description of the item of lost property must be given on the main body of the form. The counterfoil should contain only a bare reference to the item being despatched (e.g attaché case handbag containing £1.50).
4. Forms 705/21(2) are numbered and the forms must be completed in numerical order.
5. Any Form 705/21(2) which has been incorrectly completed, damaged or which is not required for use must be returned to the Lost Property Office endorsed accordingly.
6. In the case of damaged articles Form 705/21(2) should be endorsed to the effect that the article was found damaged.
7. The Operator shall complete a Summary Form (705/36) in respect of each batch of lost property to be despatched to the Lost Property Office.
8. The Summary Form (705/36), the originals of all Forms 705/21(2) referred to thereon placed in numerical order and any cash in respect of fees (which shall be placed in a plastic cash bag) shall be placed together in one sealed envelope and shall then be put into the transit bag with the lost property referred to on the forms.

9. If lost property is not collected on the date arranged by the Corporation and/or the Lost Property Office in accordance with paragraph 1 above but is retained by the Operator for the benefit of the loser, the reference number of Form 705/21(2) in respect of property retained must be shown on the first Summary Form completed after the property has been handed in and on any subsequent summaries until the particular Form 705/21(2) is sent to the Lost Property Office.
10. A copy of Forms 705/36 and Forms 705/21(2) should be retained for garage records. It should be particularly noted that, in the event of no lost property having been dealt with at the garage on any particular day, a "NIL" return must be entered on Form 705/36, together with the next consecutive garage number, and the form forwarded to the Lost Property Office via the Lost Property Offices representative. It is essential that "NIL" returns are forwarded to the Lost Property Office in these cases.
11. The transit bags shall be sealed using the equipment provided by the Lost Property Office and shall be prepared ready for handing over to the Lost Property Offices representative immediately on their arrival at the garage. As the bags from the garage will be sealed, no receipt for the property will be given by the Lost Property representative. The Lost Property representative will, however, if requested, initial the garage copy of Form 705/21(2) when articles are handed to him or her separately.
12. Exceptionally bulky articles or articles such as tins of paint or bottles containing liquid etc. which would be likely to cause damage to other articles in the event of breakage, must not be placed in the transit bag but must be handed to the Lost Property Offices representative separately. Form 705/21(2) in respect of such articles should, however, be placed in the bag.
13. Should there be any doubt as to the advisability of despatching by transit bag any article, document or the like, one of the Operator's garage officials should telephone the Lost Property Office for guidance.
14. For the avoidance of doubt, loose insurance, health or unemployment cards, Government passes and permits, family allowance books, pension books and insurance papers must be sent to the Lost Property Office.

L. PUBLIC ENQUIRIES ABOUT AND CLAIMS FOR LOST PROPERTY

1. People enquiring about lost property should be given a copy of Form 705/23(3) "Enquiry for Lost Property", which the enquirer should be advised to complete and forward by post to the Lost Property Office. (Garage staff are not required to complete these forms or accept them for onward transmission).
2. If the lost property has already been forwarded to the Lost Property Office the Operator must be satisfied that the claimant's description of the lost property

matches that on Form 705/21(2) before he gives the claimant the serial number of that form to assist him in claiming the lost property from the Lost Property Office.

M. PERISHABLE ARTICLES

1. Perishable articles, i.e. those likely to become objectionable or to deteriorate within a short period, must not be sent to the Lost Property Office but must be retained at the garage and, after a period of 48 hours, should be destroyed or disposed of. The relevant Form 705/21(2) must be endorsed accordingly and sent to the Lost Property Office.
2. Where perishable goods are contained in or are with other property, the whole of the property should be sent to the Lost Property Office i.e. the perishable goods should not be extracted and retained at the garage unless they have deteriorated or are deteriorating to an extent likely to damage the article or property in which they are contained. In this event only the perishable goods may be extracted and dealt with as above.
3. The attention of the Operator's Garage Manager must always be drawn to instances concerning perishable goods and it will be his duty to exercise his discretion subject to the procedures set out in this Schedule in the matter of destroying or disposing of any lost property which is or becomes objectionable at any time. Wines, spirits, etc., dry and tinned goods do not come within this category and must be sent to the Lost Property Office.
4. Where doubt exists as to the action to be taken, the Lost Property Office should be consulted by telephone.

N. PROPERTY OF AN EXCEPTIONAL OR DANGEROUS NATURE

1. The Lost Property Office must be immediately notified by telephone in the event of: -
 - 1.1 mail bags (whether empty or containing postal packets) and;
 - 1.2 batches of letters (opened or unopened) being found on any of the Operator's vehicles or premises. Such articles must be held at the garage pending further instructions. Single letters should be treated as ordinary lost property and forwarded in the usual manner.
2. Save in cases of emergency, property of a dangerous nature must be retained and instructions as to disposal obtained by telephone from the Lost Property Office.

3. The Lost Property Office should be notified by telephone in the event of any property of a specially valuable nature or documents and papers of apparent importance being handed in.
4. Any documents of the Government, Crown, Armed Forces and the like containing information of a secret or confidential nature must be forwarded to the Lost Property Office in the usual manner.
5. All computers, computer software and the like which contain information of the type referred to in paragraph 4 above shall be forwarded to the Lost Property Office in the usual manner.

O. PERIOD TICKETS, PASSES (OTHER THAN STAFF FREE PASSES), SCHOLARS TERM TICKETS, SCHOLARS IDENTITY CARDS AND FREEDOM PASSES AND TRAVEL PERMITS

1. Subject to paragraph 2 below and section P below, period tickets which are valid for travel on any member or the TfL Group and/or London Underground services (including Travelcards, Bus Passes and LT Cards Scholars Term Tickets, Identity Cards, London Boroughs' Freedom Passes and Travel Permits) which are found or handed in to the garage and are not contained in other property, shall be forwarded with a covering memorandum explaining the circumstances in which they were found or handed in to the Ticketing Administration Office, Transport of London, Windsor House, 42 – 50 Victoria Street, London SW1H 0NL or such other address as may be notified from time to time.
2. If the tickets and passes referred to in paragraph 1 above are contained in other property (e.g. a wallet or in a holder which also contains other property, such as a bank card) the ticket or pass together with the other property shall be forwarded to the Lost Property Office in accordance with the procedures set out in this Schedule.

P. STAFF, DEPENDENT, RETIRED AND OTHER PRIVILEGE PASSES AND IDENTITY CARDS

1. Staff, dependent, retired and other privilege passes and identity cards issued by the TfL Group and passes issued by British Rail (and its successors) or any other Operator should, if found loose, (or in a case or holder only) be forwarded without delay to the office of the Personnel Services Manager (Passes and Permits Section), Transport of London, Windsor House, 42 – 50 Victoria Street, London, SW1H 0NL.
2. A form 705/21(2) must be completed in respect of each pass or identity card which should be endorsed (forwarded to Passes and Permits) and sent to the Lost Property Office. The pass number and description must be quoted on the Form, together with the name, location and badge number of the finder or name and address if found by a passenger.

3. Any such passes enclosed in property other than holders e.g. handbags, wallets, shopping baskets etc., should be extracted and forwarded to the Passes and Permits Section as above, Form 705/21(2) being endorsed accordingly. The remainder of the property will be forwarded to the Lost Property Office under the normal lost property procedure.
4. Staff passes and identity cards cannot be claimed locally at garages. Instead the claimant must be referred to the local official or supervisor to whom they normally report or in the case of retired staff passes to the office of issue of the pass.

APPENDIX 8: LONDON BUSES' OFFICIALS ATTENDING & DEALING WITH ON-THE-ROAD ACCIDENTS/INCIDENTS INVOLVING CONTRACTED SERVICE BUSES, PASSENGERS &/OR STAFF

INTRODUCTION

1. This Code of Practice sets out the respective responsibilities of the Operator and the Corporation in responding to and dealing with on-the-road accidents and other incidents actually involving buses, passengers and staff, and the effects of such accidents/incidents.

CONTRACTED BUS OPERATORS

2. It is the primary responsibility of the Operator, their staff and officials, to deal with the actual incidents.

The Operator must ensure that there are adequate resources and/or training of their own staff, in order that they can deal with these incidents including obtaining and reporting information to meet both the Operator's and the Corporation's requirements.

3. If no Official is in attendance it is also the Operator's responsibility to ensure that appropriate action is taken to minimise the effects on passengers, the Services and any other services operated under contract with or by agreement of the Corporation. This includes arranging the transfer of passengers to any other suitable alternative London Buses' service.

Where, additionally, there is a need to implement a diversion or temporary changes to stopping arrangements this should only be done following consultation and with authority from London Buses Bus Operations via CentreComm.

LONDON BUSES BUS OPERATIONS

4. It is the primary responsibility of London Buses Bus Operations its Officials and those delegated to act on its behalf, to manage any effects these incidents may have on passengers and contracted bus services. They will also ensure, immediately on arrival at any incident, that the appropriate emergency services have been summoned. If not they will do so.
5. **Whilst the Corporation will use its reasonable endeavours to respond to such incidents, no assurance of attendance or timescales can be given.** (However, where resources are available Officials may also attend other "more minor" incidents and, if required, assist and support the Operator's staff).
6. When an Official is in attendance his/her primary responsibilities are to minimise the effects of the incident on passengers and all contracted bus

services. This may involve determining and implementing temporary diversions and stopping arrangements, providing general supervision and dealing with any infrastructure matters, as appropriate.

7. Officials will, at the earliest opportunity, report details of the incident and its effects to CentreComm (Incident Report Form – Appendix B - attached).
8. Where resources permit and, in the absence of an Operator's official, the London Buses Bus Operations Official will seek to obtain more comprehensive details relating to the incident and record this information (Incident Report Form - Section A & B of Appendix B attached). A copy of the incident report will be sent to the Operator.
9. In attending and dealing with incidents and their effects Officials will be guided by the procedure set out in Appendix A.
10. Notwithstanding the above primary responsibilities and procedures, in attending any incident the Corporation expects and trains its Officials to exercise judgement and initiative to help ensure the welfare, safety and security of all persons involved and/or at the scene and to protect the interests of the Corporation and its operators and the Operator shall ensure that its officials behave in a similar manner.

Appendix A

PROCEDURE FOR LONDON BUSES OFFICIALS ATTENDING & DEALING WITH ON-THE-ROAD ACCIDENTS/INCIDENTS INVOLVING CONTRACTED SERVICE BUSES, PASSENGERS &/OR STAFF

1. Either:
 - (i) On receipt of information from CentreComm concerning an incident, confirm that the emergency services have been called; or:
 - (ii) If you are at the scene of an incident when it occurs, immediately summon the appropriate emergency services by telephoning 999 or via CentreComm. Do not delegate this responsibility, as prompt attendance of skilled personnel may be vital to sustaining life. Immediately inform CentreComm, if not already contacted for emergency services, by radio or telephone, they will arrange notification to all other interested parties.
2. Maintain a log of key events and times.
3. Make yourself known to the senior officer of the emergency services and the Operator's staff/officials in attendance- briefly explain your responsibilities and priorities.
4. Determine and implement any temporary diversions and/or stopping arrangements and provide general supervision of buses as necessary.
5. Provide an initial report (by radio or telephone) to CentreComm and updates as and when necessary or required. As soon as possible telephone or fax CentreComm with full details (as per Appendix B Incident Report Form).

6. If there is no Operator's official at the scene and if resources and priorities allow, gather further information about the incident to enable the Incident Report Form - Sections A & B of Appendix B to be completed as far as practical.
7. If an Operator's official arrives on the scene after you have arrived, endeavour to liaise with and appraise him/her of the information you have obtained and actions you have/will be taking.
8. Continue to consult and liaise with the emergency services, as appropriate.
9. The Incident Report Form must be completed and submitted to your London Buses Bus Operations Regional Office at the earliest opportunity or immediately if required.
10. Do NOT give interviews or comments to the media. Unless a director/senior manager of the Operator is at the scene, refer any enquiries to the appropriate Operator's office. If specifically asked for the Corporation's comments on the incident, refer the enquiry to the CentreComm press telephone number 020-7487 3794

NOTE

Notwithstanding the above primary responsibilities and procedures, in attending any incident you are expected to exercise judgement and initiative to help ensure the welfare, safety and security of all persons involved and/or at the scene and to protect the interests of the Corporation and its operators.

LONDON BUSES

Appendix B
Bus Operations
INCIDENT REPORT FORM

SECTION A (USE SEPARATE SHEET FOR ADDITIONAL INFORMATION OR CONTINUE OVERLEAF)

COMPANY: _____	GARAGE/DEPOT: _____
ROUTE: _____	BUS REGISTRATION NO: _____
NATURE OF INCIDENT: _____	BUS TYPE: _____
DATE OF INCIDENT: _____	TIME OF INCIDENT: _____
LOCATION (INC. ROAD/JUNCTION/POSTCODE): _____	
DETAILS OF PERSONS INJURED: INCLUDE NAME AND ADDRESS/AGE SEX/INJURY _____	
BRIEF DETAILS OF INCIDENT: DRAW A SKETCH ON REVERSE IF POSSIBLE _____ _____	
DAMAGE DESCRIPTION: INCLUDE ALL VEHICLES/INFRASTRUCTURE INVOLVED _____	
SIGNATURE: _____	NO: _____ DATE: _____ TIME: _____

SECTION B (USE SEPARATE SHEET FOR ADDITIONAL INFORMATION OR CONTINUE OVERLEAF)

TIME ARRIVED AT SCENE: DEST OF BUS: _____ TRAVELLING FROM: _____ TO: _____ EST SPEED: _____ FLEET NUMBER: _____ HOSPITAL USED: _____ DVS NAME: _____ BADGE No: _____ CDR NAME: _____ BADGE No: _____ IN THE VICINITY OF: pedestrian crossing/traffic lights/passenger queue/stopping place/mini roundabout/other road junction/bus lane POLICE No: _____ DID POLICE WITNESS INCIDENT?: _____ DETAILS OF OTHER WITNESSES: _____ INCLUDE N&A's LOCATION AT TIME OF INCIDENT IF KNOWN _____ _____
DETAILS FROM SECTION (A) MUST BE REPORTED TO CENTRECOMM IMMEDIATELY TEL: 020 7730 5287 FAX: 020 7730 1785

APPENDIX 9: INCIDENT REPORTING

1. INCIDENT REPORTING BY THE CORPORATION

- 1.1 The Corporation is required to report incident statistics for the Services to Government and other agencies on a regular basis.
- 1.2 The Corporation also uses incident data for monitoring and investigation purposes.
- 1.3 The Corporation is required to provide incident data requested under the Freedom of Information Act of 2000.

2. WHAT IS AN INCIDENT?

- 2.1 For the purposes of incident reporting, an incident is any event:
 - 2.1.1 resulting in damage to the bus, third party vehicles or inanimate objects;
 - 2.1.2 causing injury to bus passengers, bus staff or members of the public (including assaults) or animate objects; or
 - 2.1.3 which results in actual damage to the environment or has the potential to damage the environment
 - 2.1.4 which could be considered to have safety implications (such as mechanical failure, fire or wheel loss); and including road traffic accidents and vandalism.
 - 2.1.5 any reportable incident that has impacted on service provision resulting in the recording and reporting of lost mileage, with the exception of road closures, road blocks or diversions shall include;

Slip/Trip/Fall: All fall related events whether on bus or other transport systems. This also covers falls on same level and from height.

Activity Incident Event: An event which has caused damage to asset or has the potential to do so but has not been classified elsewhere.

Assault: This relates to acts of violence and aggression towards a transport worker or another person.

Collision: This relates to all instances where a vehicle is involved in collision with a third party vehicle, person, tree, building, street furniture, bridges or other objects.

Environmental Incident: These are events not safety related but have resulted in harmful substances being released to the environment in an uncontrolled manner.

Fire: All fire events including those started intentionally.

Medical Incident: Health related incident not as a direct result of transport activities or the actions of others.

Personal Injury Event: Any other event which has caused an injury but has not been classified elsewhere.

Near Miss Incident: An event that did not result in injury, illness, or damage – but had the potential to do so giving a different circumstance.

Robbery: This involves robbery from a member of staff or a passenger or theft of an asset

Safety Critical Failure: These are mechanical and electrical failures which resulted in an injury or have the potential to do so.

Vandalism / Hooliganism: Malicious act leading to damage of an asset or act of hooliganism which impacts on service.

- 2.2 A comprehensive list of reportable incidents shall be set out in guidance provided by the Corporation from time to time. The Operator shall make every endeavour to put internal systems in place to support full compliance with such guidance.

3. OPERATOR INCIDENT REPORTING PROCEDURE

- 3.1 The incident reporting procedure supports the Corporation's reporting requirements and provides further safety-related information to assist the Corporation in monitoring the Services.
- 3.2 The procedure is designed to ensure that a record of all incidents occurring in relation to the Services is provided to the Corporation.
- 3.3 The Corporation will maintain a system to gather real-time incident information from Operator incident reports in a central spatial database to identify incident trends (see section 4 below). The system allows for timely and effective analysis and response to assist the Corporation in reducing risks and operational problems, and to improve safety performance.
- 3.4 The Corporation requires details of all incidents (including alleged incidents) that involve any bus:
- 3.4.1 operating on a London Buses contracted route;

- 3.4.2 operating on a Rail Replacement Service;
- 3.4.3 operating on a London Local Service Agreement route (LLSA);
- 3.4.4 running out of service including a journey to / from the garage, depot or other location and undertaking driver training;
- 3.4.5 otherwise in use whilst displaying identification as a London Buses route, for example, when on a road test for engineering purposes or on a route test; or
- 3.4.6 in the garage or depot where the incident involves:
 - 3.4.6.1. acts of vandalism affecting service delivery;
 - 3.4.6.2. any person requiring treatment in hospital due to accidental injury; or
 - 3.4.6.3. fatality to employee, contractor, transport user or member of the public (excluding suicide or suspected suicide, non-work related medical fatality or crime-related); or
 - 3.4.6.4. incidents (including environmental incidents) where prosecution is likely, there is HSE, Environmental Agency or Local Authority interest or there is (or there is likely to be) significant media attention.
- 3.5 Such incidents referred to in paragraph 3.4 must be reported, regardless of extent or severity, or whether they result in an insurance claim for or against the Operator. This includes alleged incidents that the driver is not aware of.

4. REAL-TIME DATA COLLECTION SYSTEM

- 4.1 Incident data is collected by the Corporation using the incident reporting information system (IRIS), or such other system specified by the Corporation from time to time, using a method of online electronic transmission acceptable to the Corporation.
- 4.2 IRIS can be used as a round-the-clock reporting tool to enter, search and update incident records. All reportable incidents must be promptly entered onto IRIS for submission to the Corporation. The time-scale for entry onto IRIS is dependent on the severity of the incident.
 - 4.2.1 The process for “serious” incidents is described in section 5 below.
 - 4.2.2 The process for “other” incidents is described in section 7 below.
- 4.3 Incident data will be transferred automatically to the Corporation on a daily basis so the Operator must ensure that IRIS is accessible at all times to enable system updates.
- 4.4 The Corporation shall oversee the administration of the IRIS system including providing user accounts to employees suggested by the Operator.
- 4.5 The Operator shall comply with security and connectivity protocol stipulated from time to time by the Corporation.

- 4.6 Such user accounts shall be solely for the purpose of recording incidents defined in 2.1 and for retrieving incident information.
- 4.7 The IRIS system shall be web based and the Operator shall make necessary arrangements to ensure it is able to connect to the IRIS system through the internet.
- 4.8 Instructions for proper completion of incident data, guidance on the application of IRIS and the classification of major injuries shall be provided by the Corporation and may be amended from time to time. These may also be obtained on request from the Corporation's Surface Health & Safety Team, Palestra Building, 197 Blackfriars Road, London SE1 8NJ.

5. IMMEDIATE REPORTING OF SERIOUS INCIDENTS

- 5.1 The Operator shall inform the Corporation's CentreComm and/or such other department as the Corporation may nominate from time to time immediately by code red or code blue or telephone of any of the following in so far as they relate to the provision of the Services:

Serious Incident Event	Details
Fatalities	<ul style="list-style-type: none"> • All fatalities including suspected medical related cases
Major Road Traffic Collisions	<ul style="list-style-type: none"> • Life changing injuries or injuries requiring being held overnight in hospital for treatment to a: <ul style="list-style-type: none"> ○ Transport worker ○ Passenger ○ Vulnerable Road Users (VRU) - pedestrian, cyclist or motorcyclist • Where three or more people were injured and taken from scene of incident to hospital for treatment • Where three or more vehicles were involved and leading to an injury. • Involving a tree with a branch overhanging the roadway • Involving a bridge or other signposted overhead structures • Serious Road Traffic Collison (RTC) involving a building, a tree, street furniture, TfL bus infrastructure and scaffolding • Involving two or more buses within a bus station/stand environment • An RTC arising from a run-away bus situation (unattended bus) • Where the bus driver was medically incapacitated • Involving a tram or railway infrastructure

Serious Incident Event	Details
Safety Critical Failures	<ul style="list-style-type: none"> • Bus fires due to mechanical or electrical failure • Brake failure whether or not an accident resulted • Steering failure whether or not an accident resulted • Wheel loss
Security, crime and disorder	<ul style="list-style-type: none"> • Accidental fire to a bus or property involved in bus operation • Arson on a bus or to a property involved in bus operation • Where the driver is arrested for failing a drug/alcohol test
Other serious incidents	<ul style="list-style-type: none"> • Serious injury to a wheelchair user or a child in a pushchair • Serious injury after a fall from the rear platform of vehicles with open rear platform and operating on two crew mode • Noteworthy incident involving new technologies (not limited to buses) • Any incident not listed above with significant cost implications to the operator and/or TfL • Any serious incident not listed above with significant operational impact on bus operations or on third parties. • Any incident investigated by the HSE or where prosecution is likely by an enforcement authority. • Any incident not listed above where there is significant media interest. • Any other incident where there are substantial learning opportunities for industry

5.2 The Operator shall supply CentreComm immediately after such an event referred to in paragraph 5.1 has taken place, with the following information:

5.2.1 route number;

5.2.2 date, time and location of incident;

5.2.3 vehicle details;

5.2.4 a meaningful description of the incident;

5.2.5 details of any injuries sustained; and

5.2.6 any other information that may be requested from time to time.

- 5.3 The Operator shall then complete a full report in IRIS as soon as is practically possible, and no later than 48 hours from the time of the incident, to allow the Corporation to follow up investigate and respond.

6. INVESTIGATION OF SERIOUS INCIDENTS

- 6.1 The Operator shall investigate serious incidents as defined by the Corporation from time to time. Such investigations shall be in line with the **Notification and Investigation of Major Incidents (NIMI) Operator Guidance 2015** and as detailed in the attached Appendix A and as amended by the Corporation from time to time.
- 6.2 The Operator shall liaise with relevant authorities to ensure a robust and comprehensive investigation is undertaken in order that it is able to identify the cause of the incident.
- 6.3 In certain circumstances, the Corporation shall jointly investigate the incident with the Operator. The Operator will be notified of this and advised of the role of the Corporation.
- 6.4 The Operator shall notify the Corporation of the findings of the investigations incidents classed as serious by the Corporation.
- 6.5 The Corporation shall advise the Operator of the process for the notification of serious incident investigation from time to time. Such process shall seek to;
- 6.5.1 Confirm the extent of the serious incident including parties injured
 - 6.5.2 Establish the cause of the incident
 - 6.5.3 Establish actions taken to reduce the likelihood of a similar incident reoccurring
 - 6.5.4 Establish lessons learned to ensure the safety of buses.
- 6.6 The Operator shall provide such information within such timeframe stipulated by the Corporation.
- 6.7 The Corporation shall provide a template which the Operator shall use when supplying such information.
- 6.8 The Corporation shall provide guidance on incident investigation reporting to the Operator from time to time.
- 6.9 The Corporation shall use such information to improve the safety performance of buses.

6.10 The Corporation shall disseminate relevant lessons learned from serious incident investigations to all Operators as it considers appropriate.

7. WEEKLY REPORTING OF OTHER INCIDENTS

- 7.1 A full report for “other” incidents; i.e. those that do not fall under the definition of “serious” incidents in section 5 above, shall be completed in IRIS within seven days from the incident date.
- 7.2 The Operator shall ensure all incident reporting on the IRIS system include all mandatory information.

8. WITHDRAWAL OF SERVICES

- 8.1 All exceptional occurrences that result in a service withdrawal being considered necessary for security reasons or any other reason must be brought to the attention of CentreComm immediately, in accordance with the network operation’s procedure for dealing with service withdrawals.

For "out-of-hours" assistance and reporting please contact:

**LONDON BUSES 24-HOUR EMERGENCY
COMMUNICATIONS CENTRE**

"CENTRECOMM"

TEL NO: [REDACTED]

E-MAIL: [REDACTED]

**Notification and Investigation of Major
Incidents on the London Bus Network**

Bus Operator Guidance

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Introduction

The Notification and Investigation of Major Incidents (NIMI) process requires bus operators to report their investigation findings to TfL when an incident defined under the framework occurs. This process is a major part of efforts to ensure London buses are as safe as possible.

Across the London bus network where around 25, 000 collisions and 3,000 passenger falls are recorded annually, the NIMI process will primarily be used to examine low frequency/high impact incidents with a view to learning lessons which will help to drive down accidents generally. The overarching purpose of NIMI is to systematically capture and share lessons learned across the London bus network.

The NIMI is intended to complement bus operators' individual policies on management of major accidents and incidents arising from their undertakings. It is likely that bus operators have a broader definition of what constitute a major incident so the criteria provided within the NIMI process is designed specifically for the purpose of sharing lessons learned and best practice.

The NIMI process is not concerned with attributing blame rather it is designed to establish the root causes of incidents from investigations conducted by bus operators and other bodies such as the Police, HSE and TfL to facilitate learning and better targeting of preventative strategies.

Definitions

TfL defines an incident as an undesired event that resulted in, or under slightly different circumstances, could have resulted in, harm to people, damage to property, damage to the environment or loss of service.

Major incidents are those set out on page 75 of this document and further clarified in the sections that follow.

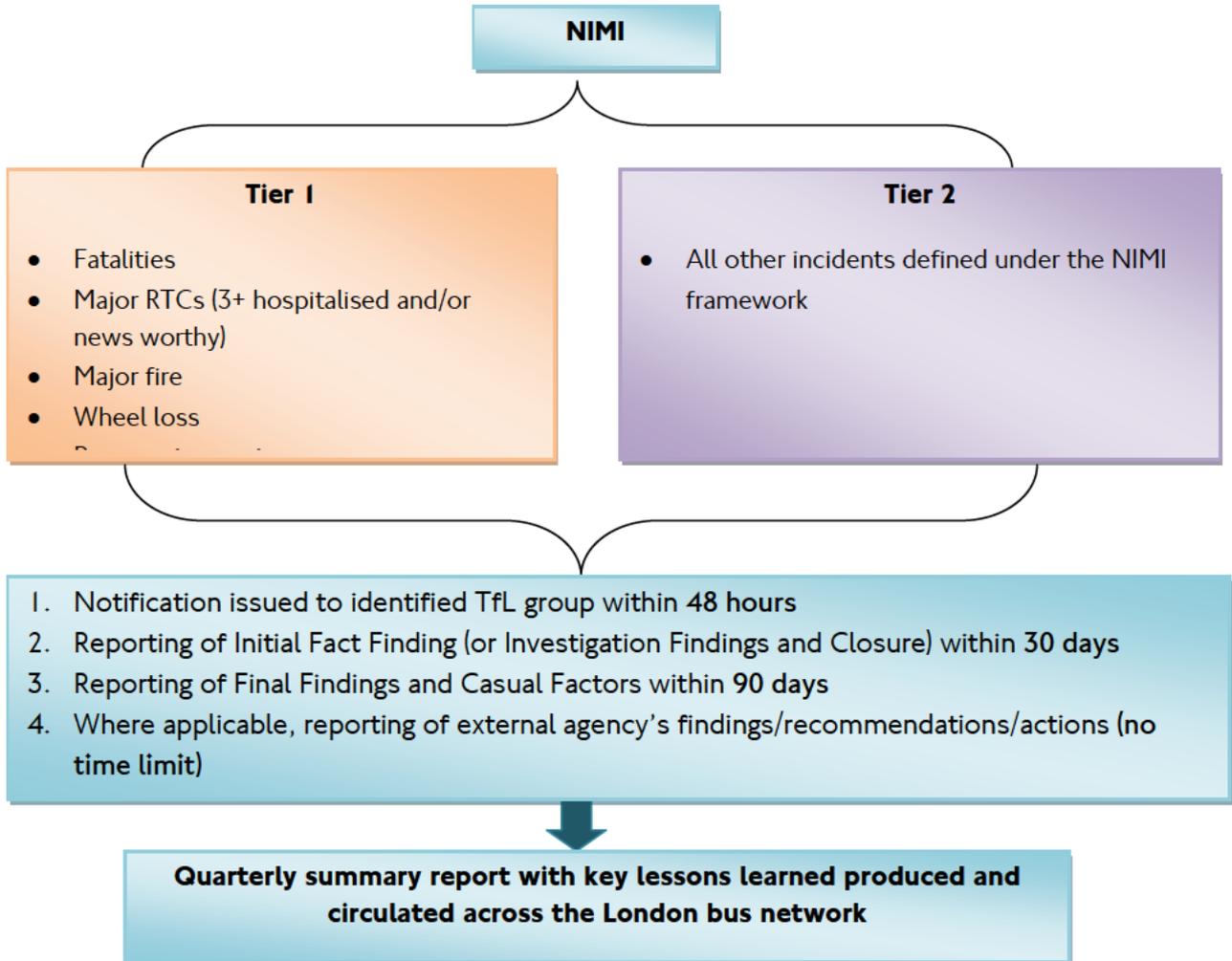
NIMI Criteria

NIMI is intended to complement bus operators' investigation policies in establishing the criteria set out in the box below as triggers for the process. The procedure requires bus operators experiencing any of the incidents below to commence the NIMI process immediately.

Events	Criteria Overview
Fatalities	<ul style="list-style-type: none"> ● All fatalities including suspected medical related cases
Major Road Traffic Collisions	<ul style="list-style-type: none"> ● Life changing injuries or injuries requiring being held overnight in hospital for treatment to a: <ul style="list-style-type: none"> ○ Transport worker ○ Passenger ○ Vulnerable Road Users (VRU) - pedestrian, cyclist or motorcyclist ● Where three or more people were injured and taken from scene of incident to hospital for treatment ● Where three or more vehicles were involved and leading to an injury. ● Involving a tree with a branch overhanging the roadway ● Involving a bridge or other signposted overhead structures ● Serious RTC involving a building, a tree, street furniture, TfL bus infrastructure and scaffolding ● Involving two or more buses within a bus station/stand environment ● An RTC arising from a run-away bus situation (unattended bus) ● Where the bus driver was medically incapacitated ● Involving a tram or railway infrastructure
Safety Critical Failures	<ul style="list-style-type: none"> ● Bus fires due to mechanical or electrical failure ● Brake failure whether or not an accident resulted ● Steering failure whether or not an accident resulted ● Wheel loss
Security, crime and disorder	<ul style="list-style-type: none"> ● Accidental fire to a bus or property involved in bus operation ● Arson on a bus or to a property involved in bus operation ● Where the driver is arrested for failing a drug/alcohol test
Other serious incidents	<ul style="list-style-type: none"> ● Serious injury to a wheelchair user or a child in a pushchair ● Serious injury after a fall from an open rear platform of an NRM on two crew mode ● Noteworthy incident involving new technologies (not limited to buses) ● Any incident not listed above with significant cost implications to the operator and/or TfL ● Any serious incident not listed above with significant operational impact on bus operations or on third parties. ● Any incident investigated by the HSE or where prosecution is likely by an enforcement authority. ● Any incident not listed above where there is significant media interest. ● Any other incident where there are substantial learning opportunities for industry

Overview of the NIMI Process ¹

The diagrammatic presentation below provides an overview of the NIMI process with an expectation that all events are fully investigated within 90 days by the operator involved.



¹ Tier 1 incidents are classified as formal incidents by TfL therefore require additional internal reporting

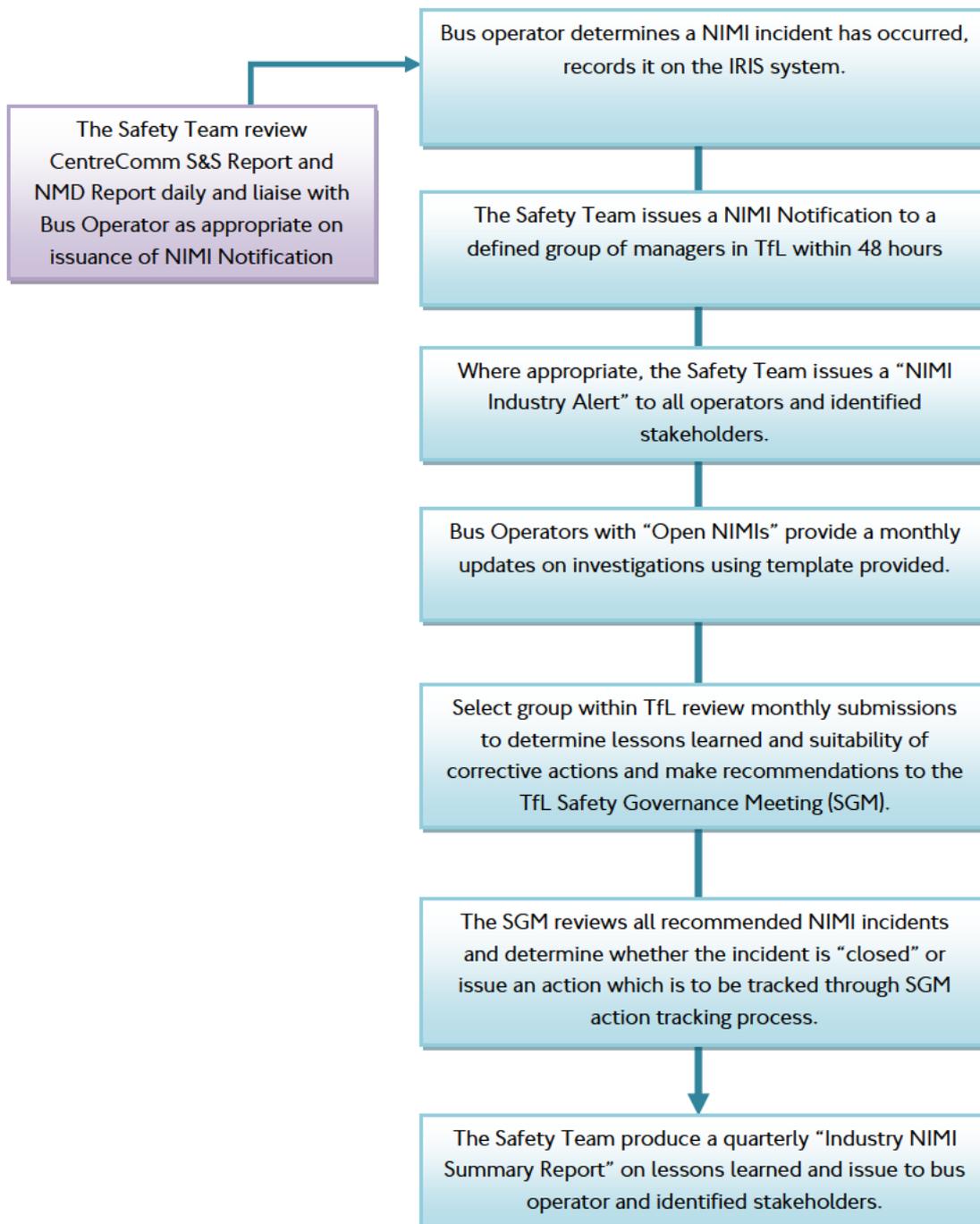
Outline of NIMI Process

The table below and the flowchart that follows provide detailed overview of the NIMI process.

Stage	Description	Time frame	Outline of stage
1	Notification and reporting	48 hours	<ul style="list-style-type: none"> Bus operators will be responsible for determining when a NIMI incident has occurred then commence the process without being prompted. TfL will monitor daily CentreComm reports for incidents notified to the organisation through that process. The Safety team issues a NIMI Alert to an identified distribution list within TfL within 48 hours. For high profile incidents, the Safety Team may request factual information and/or CCTV if available. The operator advises TfL where the incident has immediate safety implications for bus operations generally. TfL decides whether to issue a network-wide alert (and/or guidance)
2	Preliminary findings (factual) and/or Closure	1 Month ²	<ul style="list-style-type: none"> As appropriate, TfL commissions an investigation (including independent investigations) Factual information for the incident and preliminary findings submitted to the Safety Team proactively by the bus operator involved as part of a standard monthly submission process. Where applicable, the incident is closed by the operator and submit a NIMI Form. All relevant information summarised and reviewed by the TfL "NIMI Review Group" The "NIMI Review Group" makes further recommendations including whether or not to close the incident to the TfL Safety Governance Meeting (SGM) On a monthly basis, the SGM reviews the incidents and decide whether to close the incident or make recommendations for further actions. Any identified actions tracked through the SGM Action tracking process, where appropriate, included in the annual H&S objective setting process.
3	Final findings and suspected casual factors	3 months	<ul style="list-style-type: none"> Bus operator concludes its internal investigation if not previously concluded at stage two. Investigation form submitted to the TfL Safety Team.
4	NIMI Summary Report for Industry	Quarterly	<ul style="list-style-type: none"> The Safety Team produces a quarterly report outlining details of concluded NIMI events, their findings, lessons learned and corrective actions taken where applicable. The quarterly report will be distributed to interested stakeholders except where it has been determined that immediate circulation of lessons learned is essential.
5	Final closure of incidents (complex incidents)	No time limit	<ul style="list-style-type: none"> Final closure of "complex incidents" Progress through Stages 3 and 4

² Some incident investigations may be closed at this stage.

NIMI Process Flowchart



Further Guidance on NIMI Incident Triggers

#	Incident	Guidance
1	Fatal - All fatalities including suspected medical related cases	<p>These include fatalities arising from any incident connected with the bus company. This is not limited to bus related incidents.</p> <p>Deaths from suspected natural causes or suicide are also included. There is no time limit between the initial incident and the subsequent fatality provided it is conceivable that the death was as a direct result of the injury suffered from the incident.</p>
2	<p>VRU Collision – All collisions leading to a life changing injuries or injuries requiring being held overnight in hospital for treatment to a:</p> <ul style="list-style-type: none"> • Transport worker • Passenger • Vulnerable Road Users (VRU) - pedestrian, cyclist or motorcyclist 	<p>Any incident which leads to a bus driver or other transport workers or a bus passenger or a vulnerable road user suffering a life changing injury such as loss of sight, amputation or brain injuries.</p> <p>This also includes incidents which caused any other serious injuries to any of the people listed which required them being held overnight for medical treatment (not as precaution).</p>
3	Multi Casualty Collision – All collisions where three or more people were injured and taken from scene of incident to hospital for treatment	A single incident where three or more people were taken from the scene of the incident to hospital for treatment. This is not limited to buses.
4	Multi Vehicle Collision - All collisions where three or more vehicles were involved and leading to an injury.	A major road traffic collision involving three or more vehicle (excluding bikes) where there was an injury.
5	Tree Collision – A collision involving a tree with a branch overhanging the roadway	Bus involved in a collision with a tree which is overhanging the roadway. This also includes trees which are signposted.
6	Bridge Collision – A collision involving a bridge or other signposted overhead structures	Any bus collisions with a low bridge or other limited headroom obstructions whether or not damage was caused.
7	Other Serious Collision – A road traffic collision involving a building, a tree, street furniture and TfL bus infrastructure	Major road traffic collision leading to significant damage to the bus or the object struck and potential leading to injuries or significant service disruption.
8	Bus Station Collision – A collision	A noteworthy collision involving two buses

#	Incident	Guidance
	involving two or more buses within a bus station/stand environment	within the bus station or stand environment.
9	Unattended Bus Collision - An RTC arising from a run-away bus situation.	A collision as result of an untended bus rolling away and striking an object.
10	Medical Collision - A collision due to the bus driver being medically incapacitated	A road traffic collision directly attributed to the bus driver being medically incapacitated.
11	Tram/Rail Infrastructure Collision - A collision involving a tram or railway infrastructure	Any bus collisions with a tram or railway infrastructure whether or not damage was caused.
12	Bus Fire – a fire due to mechanical or electrical failure	All electrical/mechanical fire incidents involving buses where flames were seen or fire suppression system prevented the fire but damage was caused to the bus.
13	Brake Failure - a brake failure whether or not an accident resulted	Where the bus in use suffered brake failure and as a result had to be taken out of service.
14	Steering Failure – a steering failure incident whether or not an accident resulted.	Where the bus in use suffered steering loss and as a result had to be taken out of service.
15	Wheel loss – a wheel detachment	Where the bus in use suffered a wheel loss and as a result had to be taken out of service.
16	Fire – an accidental fire to a bus or property involved in bus operation	Accidental fires on buses or other properties causing service disruption.
17	Arson – an arson on a bus or to a property involved in bus operation	An act of arson resulting in major damage to bus or property causing service disruption.
18	Drug/Alcohol Failure - where the bus driver was arrested for failing a drug/alcohol test	Where a bus driver was arrested for failing a drug or alcohol test. This is not limited to for cause.
19	Wheelchair User Injury – incidents leading to serious injury to a wheelchair user	Any incident which caused a wheelchair user to suffer serious injuries and was taken to hospital for medical treatment.
20	Pushchair User Injury – incidents leading to serious injury to a child in a pushchair	Any incident which caused a child in a pushchair/buggy to suffer serious injuries and was taken to hospital for medical treatment.
21	Open Platform Injuries – a fall from an open platform of an NRM leading to a serious injury (NRM on two crew mode)	Where a passenger falls while hopping on or off a moving New Routemaster and suffering serious injuries which require hospitalisation.
22	Tech Related Incidents – any noteworthy incident involving new technologies (not limited to buses)	Noteworthy safety critical incident involving new technologies (not limited to buses) such as while being trialed.
23	High Cost Incidents - any incident not listed above with significant cost implications to the operator and/or TfL	Any noteworthy safety critical incident involving a bus not listed above but has the potential to result in a significant cost to the operator and/or TfL

#	Incident	Guidance
24	High Impact Incidents - any serious incident not listed above with significant operational impact on bus operations or on third parties.	Any noteworthy safety critical incident involving a bus not listed above which had a significant impact on bus operations or the activities of a third party.
25	Prosecution Likely -any incident investigated by the HSE or where prosecution is likely by an enforcement authority.	Any incident investigated by the Health and Safety Executive (HSE) or where prosecution is likely by an enforcement authority.
26	High Media Interest - any incident not listed above where there is significant media interest.	Any noteworthy safety critical incident involving a bus not listed above which attracted significant media interest.
27	High Learning Opportunity - any other incident where there are substantial learning opportunities for industry	Any other safety critical incident where there are substantial learning opportunities for the bus industry.

NIMI Steps for Bus Operators

The five steps of the NIMI Process

Step	Details
1	Enter incident on IRIS within 48 Hours
2	TfL Safety Team issues a NIMI Alert within 48 Hours.
3	Commence investigation
4	<p>If the investigation is not closed within 30 days, provide details of an initial fact finding in the form of an email to [REDACTED] or in a report (whichever is easiest). This must include:</p> <ol style="list-style-type: none">1. Full details of what happened2. Vital information about the driver and vehicle3. Any other vital information including photos where appropriate4. The primary focus of the ongoing investigation
5	If the investigation is otherwise concluded, submit a completed Major Incident Investigation Form. Wherever possible, operators are expected to conclude their internal investigations within 90 days.

Recording the Incident on IRIS

All NIMI incidents should be entered on the IRIS system within 48 hours. The recording of the incident on IRIS is not any different to reporting incidents generally to TfL (see the Framework Agreement for details). However, it is important that the IRIS field which is highlighted in the system screenshot below is checked to denote the incident as NIMI. Information supplied should be robust with all relevant sections completed.

The screenshot shows the 'IRIS Incident Reporting Application' interface for Transport for London. The top navigation bar includes links for Home, Event type / Location, Employee details, Vehicle details, Assault, Robbery / Vandalism, Location, Injury, Third Party, Investigation management, Police information, and Attachments. The main form is divided into three sections: Incident Ticket Details, Operations Details, and Other Details. In the 'Operations Details' section, the 'NOSI Incident' checkbox is highlighted with a red circle. Other visible fields include 'Journey Purpose Description', 'Date of Incident', 'Time of Incident', 'Day of Incident', 'Reportable to TfL?', 'RIDDOR Reportable', 'Potential Claim', and 'Enter Employee Details'.

NOTE! Access to IRIS is restricted to approved users only, to request an account please contact your companies Principal IRIS Administrator.

Early Alerts

Where it is deemed necessary, TfL will issue network wide alerts to notify of specific issues with a view to preventing a recurrence. This action will be based on the initial report submitted by the bus operator. In order that this is done in a timely manner and to safeguard the safety of transport users and the public, all NIMI events must be notified to TfL within 48 hours.

Single Point of Contact for NIMI

TfL's intention is to liaise with a designated individual within the bus company for purpose of administering the NIMI process. This "go to" person will be responsible for ensuring there is adequate arrangements internally to support the requirements of the process. To this end, they should:

- Ensure they familiarise themselves with the NIMI criteria
- Be aware of the requirements of the process
- Advise of a substitute in their absence or when the decision is taken to transfer the responsibility to someone else within the company.

Sharing Lessons Learned

The sharing of lessons learned from major incident investigations is a critical aspect of the NIMI process. Information shared will take into account the need to maintain confidentiality and relevance. For instance, the route and operator involved in a NIMI event are not particularly relevant so will not be systematically included in the information shared unless there are compelling reasons to do so.

So that the information shared is useful for stakeholders seeking to reduce incidents on the bus network, it is imperative that the process for gathering investigation findings is consistent and focused. Effectively, a specific form has been devised which bus operators' will be required to complete when closing out a major incident. The primary purpose of the London Buses Major Incident Investigation Form will be to:

- Provide verified details of the incident
- Identify tools used to facilitate a thorough investigation
- Confirm the causal factors and root cause
- Identify steps taken to prevent a recurrence

Completing the NIMI Form

A template has been provided which all operators will be required to complete when closing out a NIMI event. The form may be completed within 30 days of the incident but no later than 90 days. If after 30 days the incident continues under investigation, the operator will be required to provide a general update on their investigation which could be in the form of an email or a report.

TfL is not seeking to teach bus operators how to conduct an investigation, but it is important that seven sections of the form are completed robustly. The NIMI form is only required when the investigation is concluded with as much information as possible.

The NIMI form is a simple Word document so will expand easily to accommodate information being provided within it. A sample of the form is shown below. It is anticipated that the information required to complete the form will be readily available from the operator's internal investigation report.

Still photographs may also be attached when submitting the form

London Buses Major Incident Investigation Form

Version 1

Section 1: About the Incident

IRIS Ref	
Your Ref	
Date of incident	
Operator	
Route	
Road Name and Borough	
Route Risk Assessment last review date	

Details of Major Incident	
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Section 2: The Investigator

Person Conducting Investigation	
Telephone	
Email	

Section 3: Other Investigators

Police	DVSA	HSE	TfL	Coroner	Other

Section 4: Investigation Tools

CCTV	Telematics	Locus Report / Re-enactment	Other

London Buses Major Incident Investigation Form

Version 1

Section 5: Contributory Factors (bus operation)

Factors	Investigation Findings
People Factors <ul style="list-style-type: none"> • Actions of third party including <ul style="list-style-type: none"> ✓ 3rd party driver/rider/cyclist ✓ Pedestrian ✓ Passenger ✓ Other persons 	
Driver Factors <ul style="list-style-type: none"> • Actions of bus driver • Driver's age • Driver's experience • Driver's training • Driver's working hours • Driver's attentiveness (distractions) • Driver's fitness (fatigue/tiredness) • Driver's health 	
Vehicle Factors <ul style="list-style-type: none"> • Vehicle type • Vehicle fitness • Vehicle maintenance • Defect • Vehicle design 	
Route Factors <ul style="list-style-type: none"> • Route risk/hazards • Traffic density • Road design /type • Bus station/stand • Obstructions (on highway) • Road signage/warning 	
Environment Factors <ul style="list-style-type: none"> • Weather • Light • Road surface 	
Instrument Factors <ul style="list-style-type: none"> • Safety equipment (failure) • Alert systems • Fire Suppression System 	
Legal Factors (bus driver) <ul style="list-style-type: none"> • Drug and alcohol use • Speeding • Disobeying traffic laws 	
Organisational Factors <ul style="list-style-type: none"> • TfL procedures/policies • Internal procedures/policies 	

Once completed, forwarded to STIncidents@tfl.gov.uk.

London Buses Major Incident Investigation Form

Version 1

Section 6: Investigation Conclusion

Investigation conclusion and Root Cause	
Steps taken to reduce likelihood of recurrence	

Section 7: Closure

Date Investigation Closed	
Driver Disciplinary	
Was Driver Prosecuted?	
Was the incident reported to the HSE under RIDDOR?	
Coroner's Verdict and Recommendations (if applicable)	

Once completed, forwarded to STIncidents@tfl.gov.uk.

Information Required on the NIMI Form

The operator should ensure NIMI event investigations are:

- Thorough
- Timely
- Beyond blame
- Seeks to identify casual factors
- Seeks to identify root cause

When completing the NIMI form, please consider the following

Section	General nature of information required
Section 1	<p>“About the incident”</p> <ul style="list-style-type: none"> • General and factual information including details of route risk assessment. • Brief summary of what happened, people affected and general impact of incidents.
Section 2	<p>“The Investigator”</p> <ul style="list-style-type: none"> • Please provide the details of the lead investigator. This may not be the main NIMI contact but the person who actually undertook the investigation for the operator
Section 3	<p>“Other Investigators”</p> <ul style="list-style-type: none"> • The details of external agencies that may also be conducting an investigation into the incident should be provided. It is important to note that they may not necessarily be investigating the incident to determine the root cause, for instance, a Coroner’s interest will be seeking to determine the cause of death. • Bus operators are required to include the findings of these investigations or inquest in their own investigation conclusions. • Where recommendations are made or action is being taken by an enforcement authority, this should be recorded in section six of the form.
Section 4	<p>“Investigation Tools”</p> <ul style="list-style-type: none"> • This section is for indicating the tools used in the investigation. Information obtained from their use should be reflected in the body of the report.
Section 5	<p>“Contributory Factors”</p> <ul style="list-style-type: none"> • This sections is mainly concerned with bus operations and other road traffic related events • The section requires information obtained from bus operator’s investigation to be supplied to TfL in a consistent and structured way. This will help ensure the usefulness of the information sharing aspects of the NIMI process. • The principal purpose of the section is to provide details of the level of information required for each of the causal factors. • Only relevant sections should be completed.
Section 6	<p>“Investigation Conclusion”</p> <ul style="list-style-type: none"> • This section requires details of the investigation conclusions. This could include what is thought to be the root cause of the incident. • Details of any steps taken or proposed to reduce the likelihood of the incident happening again should be noted in this section. • Note! The section expands so don’t be constrained by the size of the box.
Section 7	<p>“Closure”</p> <ul style="list-style-type: none"> • The basis on which the incident is being closed should be noted in this section including the date the investigation was concluded.

Key Focus for Major Incident Investigations

In support of a thorough investigation, the Major Incident Investigation Form includes a section which requires the investigator to provide information on factors which may have played a part in the incident. This may not always mean they were contributory, for instance, the age of the driver maybe useful information but not necessary a causal factor. The section below lists typical causal factors in bus related incidents for which information will be required in order to achieve consistency across the network.

It is worth noting that the information provided in this section will also be analysed to help form a view on the cause and effect these factors are having on major incidents.

Investigation Scope	Factors	Description
People Factors	<ul style="list-style-type: none"> • Actions of third party driver/rider/cyclist • Actions of pedestrian • Actions of passenger • Actions of other persons 	This section should be used for information relating to the actions of other road users in the event of road traffic incident and extent to which they were factors in the incident.
Driver Factors	<ul style="list-style-type: none"> • Actions of bus driver • Driver's training • Driver's experience • Driver's age • Driver's working hours • Driver's attentiveness (distractions) • Driver's fitness (fatigue/tiredness) • Driver's health 	<p>This section should be used for information relating to the actions of the bus driver and also his or her experience. This will include training they have had such as type and route training.</p> <p>This section should also cover issues such as the state the driver was in at the time of the incident and any likely impact they may have had on the event.</p>
Vehicle Factors	<ul style="list-style-type: none"> • Vehicle type • Vehicle fitness • Defect • Vehicle design • Vehicle maintenance 	This section should be used for information relating to the state of the bus involved in the incident. This may include any contributory defects, Driving and Vehicle Standard Agency (DVSA) test result, maintenance and other vehicle factors likely to have played a part in the incident.
Route Factors	<ul style="list-style-type: none"> • Route risk/hazards • Traffic density • Road design /type • Bus station/stand • Obstructions (on highway) • Road signage/warning 	This section should cover the specific of the authorised route including known hazards, the physical environment and road signs.
Environment Factors	<ul style="list-style-type: none"> • Weather • Light • Road surface 	This section should be used for the environmental conditions at the time of the incident and any role they might have played in the event.

Investigation Scope	Factors	Description
Instrument Factors	<ul style="list-style-type: none"> • Safety equipment (failure) • Alert systems • Fire Suppression System 	This section should cover operation of alert and safety control systems such as the extent to which they minimise the impact of the incident or whether a failed activation was a factor in the incident.
Legal Factors (bus driver)	<ul style="list-style-type: none"> • Drug and alcohol use • Speeding • Disobeying traffic laws 	This section should be used for information relating to whether a legal contravention by the bus driver was a factor in the incident.
Organisational Factors	<ul style="list-style-type: none"> • TfL procedures/policies • Internal procedures/policies 	This section should be used for information relating to the role organisational polices might have played in the incident. This include TfL's polices.

Where TfL is implicated

In some cases, TfL assets or employees will be implicated in a NIMI event, in these situations the incidents will be formally investigated internally in accordance with specific policies on incident investigations. The conclusion of this additional investigation by TfL will form part of overall information gathering process. Lessons learned from these TfL investigations will also be shared in line with the framework for sharing information.

TfL Commissioned Investigations

There are instances where it would be appropriate for TfL to commission an independent investigation of a major incident with a view to complementing operator's internal investigation. In most cases, these will involve the use of subject matter or technical experts to examine the incident and establish the causal factors and make recommendations where appropriate. The details of such investigation will be shared with the operator involved where it is appropriate to do so. It would be advisable that the findings of these investigations are considered when concluding any internal investigation by the bus operator involved.

Accident Statistics

The investigations of major events should consider as much information as possible including accident history for the location of the incident. This information can be obtained from the IRIS system on request. The investigator should send their request to [REDACTED] stating the period they require the data for and the road name involved. The information released will not include details which identifies the operator involved, so for instance, it will not show bus route or operator information unless that information is vital for the determination of the root cause of the incident.

TfL Official on Scene

In the event of a major incident which has been reported to CentreComm in the usual way, a decision may be taken by TfL to dispatch an Incident Response to assist with dealing with the immediate aftermath of the incident. This role is undertaken by Network Traffic Controllers (NTC) whose primary purpose is to return bus service to normality as quickly as possible. Whilst the NTC is on the scene of the incident they will undertake key functions which may include:

- Making the area safe
- Liaising with the Police and other emergency services
- Obtaining basic facts about the incident
- Instigating a diversion if necessary
- Taking pictures if appropriate

The nature of their involvement means they may have information which may be of use to the investigating bus operator(s). If such information is required, please contact the Safety Team on [S \[REDACTED\]](tel:02030093000)

CCTV

CCTV evidence is a vital part of incident investigation, wherever possible operators are expected to use it for fact finding. Bus station environments are generally covered by CCTVs managed by TfL, this can be made available on request which should be made within 30 days of the incident and in line with CCTV request protocol.

TfL may also request bus operator's CCTV as part of its internal investigation or aid the provision of accurate information to interested parties.

Additional Information from TfL

To support operator's investigations, TfL will supply information on low bridge alarm activation in the event of a bridge strike. This information will be provided on request.

Police Investigation

Where the police are conducting an investigation to determine if a crime has been committed, the operator's investigation which should focus on the root cause of the incident may also consider any relevant information from the police involvement.

It is important to note that all incidents dealt with by the police are given a CAD reference number which operators are encouraged to obtain and recorded on the IRIS system. For obvious reasons, these incidents will need to be dealt with in line with police protocols so information may not be available to bus operators who are investigating the incident from a root cause perspective in a timely manner. However, the Operational Police Liaison team within TfL may be able to provide limited information on police involvement in the incident in support of bus operator's investigation. In this situation, the operator should send an email requesting information to [REDACTED] stating the CAD number (the crime reference number).

In addition, the Operational Police Liaison team will be able to assist the investigating bus company with access to CCTV of a vehicle that has been impounded and also help to speed up the process for returning the vehicle to the operator.

Coroner's Hearings

Where a fatal incident is the subject of a Coroner's hearing, the operator will be required to include the findings and verdict of the coroner and any recommendation made in its investigation conclusion. A list is provided with this guidance which shows the details of coroners' courts and the areas they cover. The list is correct at the time of writing this guidance, but further information is available on the Coroner's Society's website <http://www.coronersociety.org.uk/>

RIDDOR Incidents

Most incidents involving buses are road traffic related therefore come under the jurisdictions of the Metropolitan Police Service. However, where an injuries has not been as a result of vehicle movement such as whilst the bus was stationary then a RIDDOR report may be required if the injuries or incident fall within the criteria defined under the regulations. In this event, section 7 of the NIMI form should be annotated accordingly.

RIDDOR 2013 has identified the events below as reportable (full detail available on <http://www.hse.gov.uk/RIDDOR/reportable-incidents.htm>):

- The death of any person
- Specified injuries to workers
- Over-seven-day incapacitation of a worker
- Over-three-day incapacitation
- Non fatal accidents to non-workers (eg members of the public)
- Occupational diseases
- Dangerous occurrences
- Gas incidents

Freedom of Information (FOI) Act

TfL is a public body and as such is subject to the FOI Act 2000. The act permits TfL not to disclose information on incidents which are under investigation. However, information on concluded investigations may be discoverable under the act. TfL understands the potential implications for organisations which are not covered by the act but previous experience has shown that the Act has not interfered or disrupted normal public duties or adversely impacted on bus operations.

Record Retention

TfL's record retention policy is as follows:

- minimum of 4 years after the date of the incident where the injured party is at least 18 years old
- A minimum of 4 years after the injured party's 18th birthday where the injured party is less than 18 years old
- 40 years for any incident involving chemicals, asbestos, lead or other defined conditions

List of Coroner's Court

Area	Coroner	Telephone
City (Corporation of London)	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
Eastern District of Greater London (Romford, Barking, Dagenham) Linked with below East (Newham, Redbridge and Waltham Forest)	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
Inner North (Camden, Hackney, Islington and Tower Hamlets)	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
Inner South (Greenwich, Lambeth, Lewisham and Southwark)	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>
Inner West (Kensington and Chelsea, Merton and Wandsworth)	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>	<p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p> <p>[REDACTED]</p>

Area	Coroner	Telephone
West (Ealing, Hammersmith, Hillingdon, Hounslow, Richmond upon Thames and Kingston upon Thames)	██████████ ██████████████████ ██████████████████████████████ ██████████████████████████████ ██████	██████████████████ ██████████████████
South (Bexley, Bromley, Croydon and Sutton)	██████████████████ ██████████████████████████████ ██████████████████████████████ ██████████ ██████████████ ██████████████████ ██████████████ ██████████████████ ██████████████ ██████████████████ ██████████████ ██████████████████	██████████████████ ██████████████████ ██████████████████ ██████████████████ ██████████████████ ██████████████████ ██████████████████ ██████████████████ ██████████████████ ██████████████████
Westminster Inner London West	██████████████ ██████████████████████████████ ██████████████████ ██████████	██████████████

Contacting TfL

TfL
Surface Transport Safety Team
Safety Performance Manager
10th Floor, G7
Palestra
197 Blackfriars Road
Southwark
SE1 8NJ

Tel: ██████████
██████████████████████████████
IRIS Website: <https://iris.gov.uk>

APPENDIX 10: BROWSER/OS SUPPORT MATRIX

Grade A - Fully supported

Capable, modern and high usage browsers. All content is able to take full advantage of web standards with advanced presentation and behavioural layer.

- All content and functionality must work; and
- Variations in presentation³ must be minimised.

Browser	Operating system(s)
Chrome (latest version)	Any
IE Edge (latest version)	Windows 8+
IE 11	Windows 7, Windows 8
Firefox (latest version)	Any
Safari (latest version)	macOS
Opera(latest version)	Android

Grade B - Partially supported

Medium to lower usage browser. Assumed to be capable of modern web standards and functionality.

- All content and navigation should work;
- Where functionality cannot be provided as intended an alternative should be presented, failing which missing functionality should be hidden; and
- Unsupported features must degrade gracefully and not obscure content.

Any browser with a version lower than the Grade A browsers can expect this level of support, unless they are old or obscure enough to be considered Grade C.

³ Our site uses a responsive design and it is therefore the nature of the medium that variations in layout will occur at different breakpoints as content flexes to fill the screen. Layout variation in response to screen width is acceptable (e.g. expansion and wrap of headings and text and changes in layout defined by media query breakpoints)

Grade C - Legacy support

Incapable, antiquated or rare browsers. These may have been previously popular with low or decreasing trends in usage

- Core content and functionality should work
- Unsupported features should degrade gracefully and must not obscure content or navigation

Browser	Operating system(s)
Firefox ESR and below	Windows XP
Internet Explorer 7 and below	Windows XP