

ONRSR Guideline

Occurrence Data Submission Requirements

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1 Overview

This guideline is designed to help rail transport operators provide ONRSR with the data required when reporting notifiable occurrences.

ONRSR uses a secure online portal to collect reportable occurrence data from operators. The portal is designed to guide a user through the steps required when submitting notifiable occurrences to ONRSR.

These steps involve the population of a series of data fields.

At the outset it is important you and your organisation understand the mandatory data fields that must be populated when reporting notifiable occurrences, particularly in relation to how you can configure your own business processes and IT systems to support your reporting obligations.

This guideline is divided into the following 5 sections:

Section 1

Explains the process for reporting incident causes, precursor and consequence events.

Section 2

Explains the common data fields used for multiple occurrences.

Section 3

Explains the mandatory data fields required for all Category A and B occurrences.

Section 4

Explains data fields specific to the type of incident and any likely precursor and consequence events.

Section 5

Explains data fields required when reporting Category C incidents annually.

1.1 Reporting timeframes

Rail transport operators should take note of the reporting requirements legislated in *Rail Safety National Law*.

Cat A – immediate, then details in 7 days

Cat B – 72 hrs detail for ATSB, then 14 days

Cat C – aggregated data only (Annual).

Reporting incident causes, precursors and consequence events

Incidents and accidents are not singular events, rather they are usually a series of sequential events with initiating event(s) leading to incident/accident realisation and then to consequence event(s). To improve rail safety, ONRSR must understand the sequence or series of events in order to evaluate the effectiveness of preventative and mitigating risk controls.

ONRSR requires rail transport operators to include valuable chain of event information when reporting. Firstly, operators must identify the main event - being the event with the most serious consequence or outcome (e.g., damage or injury). All required data elements for the main event must be provided, including the required data elements associated with likely cause and precursor and consequence events.

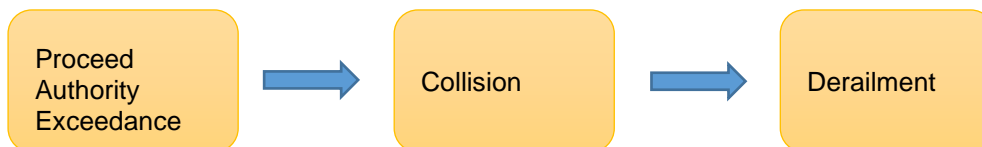
Reporting of main events **must** be accompanied by data associated with precursor and/or consequence events and these are marked with the domino image below, symbolising that they are part of a sequential **series of events**:



1.1.1 Example reporting of the incident causes, precursors and consequence events

The following is a hypothetical example of sequence or “series” of events reporting and the logic that is built into the ONRSR Portal.

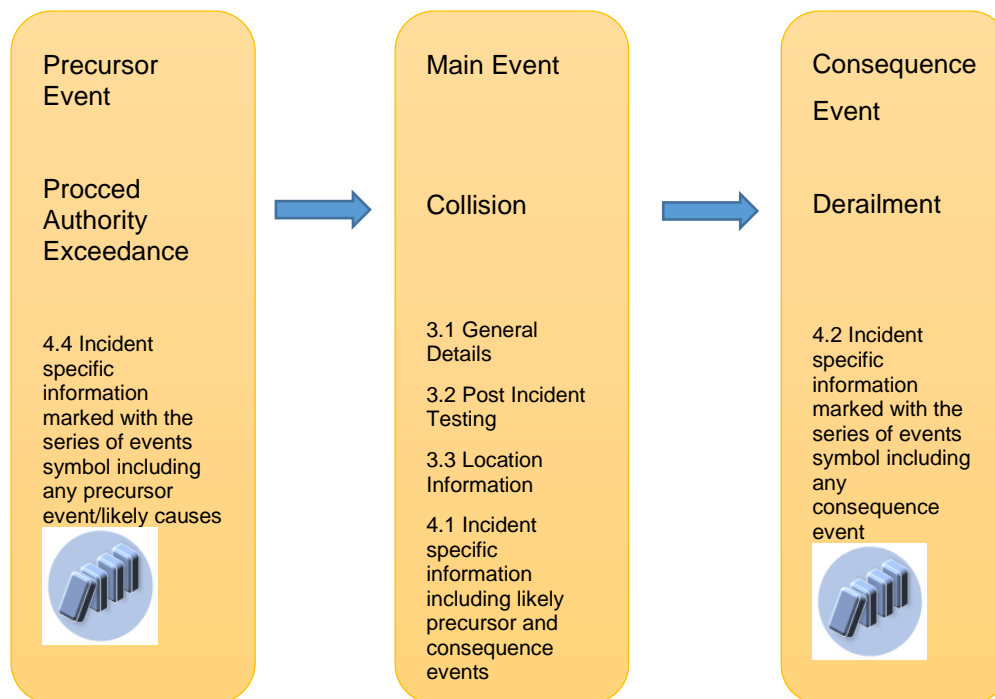
A train passes a signal at stop and is unable to stop before colliding with another train. The collision results in the derailment of the second train. The chain of events for this notifiable occurrence can be summarised as follows:



The occurrence report should firstly identify the main event, being the event with the most serious consequence or outcome. In this case, this would be the collision between the trains.

The next step is to provide the required details as outlined in section 3.1 General Details, 3.2 Post Incident Drug and/or Alcohol testing and 3.3 Location Information.

Next, provide the incident specific information for the collision, as outlined in section 4.1 Collision. This includes information such as line type and status, collision object, train details for both trains involved in the collision and any damage or injuries.



Next select the appropriate precursor event from the available options. In this hypothetical example, the collision was preceded by a Proceed Authority Exceedance. Therefore, Proceed Authority Exceedance would be selected from the list of precursor events. You are required to



provide the data items marked with the series of events symbol in section 4.4 Proceed Authority Exceedance. In this hypothetical example, it would be data item M1 Authority Type. Since the train passed a signal, the correct selection would be Wayside Signal.

A list of likely causes and precursor events is provided in section 4.4, Proceed Authority Exceedance, and includes “Completely Missed” which should be selected in this example.

If it was determined there are no other likely causes or precursors applicable for this event, the next step is to provide the required data for the consequence event. In this hypothetical case this was the derailment and under “Collision” the user should select “Derailment” as a consequence event.

Once again, the required data items are outlined in section 4.2 Derailment and marked with the



series of events symbol . In this hypothetical data item I1 Point of Derailment and J1 Extent of Derailment should be selected.

A list of consequence events is provided in section 4.2 Derailment. This data item is only required if there was a consequence event. In this hypothetical case there were no further consequence events and therefore this data item is not required.

2 Common data elements used throughout this document

2.1 Person Type

Data Item ID	Data Item	Format
E1.1	Person Type	<ol style="list-style-type: none">1. Passenger2. Rail Safety Worker3. Worker (other than Rail Safety Worker)4. Member of the Public5. Trespasser

2.2 Road Vehicle Type

Data Item ID	Data Item	Format
E1.2	Road Vehicle	<ol style="list-style-type: none">1. Light Passenger Vehicle2. Heavy Freight Vehicle3. Agricultural Vehicle4. Civil Construction Vehicle5. Dangerous Goods Vehicle6. Bus7. Motorcycle8. Bicycle

2.3 Train Type

Data Item ID	Data Item	Format
F1.2	Train Type	Single Selection <ol style="list-style-type: none">1. Freight Train2. Passenger train3. Light Rail Vehicle4. Track machine5. Road Rail Vehicle6. Locomotive7. Self-propelled vehicle8. Rolling Stock

2.4 Mode of Operation (for operators with Autonomous / Driverless Operation Only)

Data Item ID	Data Item	Format
F1.5	Mode of operation	Single Selection 1. Attended mode 2. Unattended mode

2.5 Service Status (for Passenger Trains and Light Rail Vehicles)

Data Item ID	Data Item	Format
F1.6	Service Status	Single Selection 1. In-service 2. Not in service

2.6 Driver Only Operation

Data Item ID	Data Item	Format
F1.7	Driver Only Operation	Single Selection 1. Yes 2. No

2.7 Injury Severity

Data Item ID	Data Item	Format
G1	Injury Severity	Count 1. Minor Injury 2. Serious Injury 3. Fatality

2.8 Consequence (Damage)

Data Item ID	Data Item	Format
F1-4	Consequence (Damage)	Single Selection 1. No damage 2. Minor damage

		3. Significant damage
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2.9 Occurrence Type

Data Item ID	Data Item	Format
A3	Occurrence Type	Single Selection 1. Collision/Near Hit 2. Derailment 3. Wrong Side Failure 4. Proceed Authority Exceeded 5. Runaway 6. Fire, Explosion, Dangerous Goods 7. Network Rule or Procedure Breach 8. Load Irregularity 9. Rolling Stock Irregularity 10. Level Crossing Irregularity 11. Track Irregularity 12. Civil Infrastructure Irregularity 13. Electrical Traction Irregularity 14. Person/Train Interface 15. Fatality or Serious Injury 16. Incident Directly Threatening Safety

3 Level 1 – Essential Information

Level 1 data items are required to be provided for all occurrence reports.

3.1 General Details

Data Item ID	Data Item	Format	Description
A1	RTO Occurrence ID	Alphanumeric	The reporter's occurrence reference number.
A2	Notifying Organisation	Auto populated	
A3	Occurrence Type	<u>Single Selection</u>	Single Selection from Occurrence Type
A4	Date of Occurrence	DDMMYYYY	Local date at the incident location of the occurrence.
A5	Time of Occurrence	HH:MM	Local time at the incident location of the occurrence.
A6	Involved Operators	Multiple Selection	Multiple selection from list of accredited operators in the state or territory of the occurrence.
A6.1	Operator Role	Multiple Selection 1. RIM 2. RSO	Multiple selection of RIM or RSO for each of the operators selected in data element A6.
A7	Occurrence Description	Free Text	Detailed description of the occurrence, including: <ul style="list-style-type: none"> ▪ The circumstances ▪ Extent of damage/disruption ▪ Casualty information ▪ Events leading up to and as a result of the occurrence

3.2 Post Incident Drug and/or Alcohol Testing

Data Item ID	Data Item	Format	Description
Z1	Post Incident Drug and/or Alcohol testing undertaken?	Single Selection 1. Yes 2. No	Mandatory. Select whether post incident drug and/or alcohol testing has been undertaken.
Z2	Worker Number	Automatically assigned	A number will be automatically assigned for each worker that has been tested.
Z3	Rail Safety Worker Type	Single Selection 1. Train Driver 2. Guard 3. Shunter 4. Rolling Stock Maintainer 5. Train Controller/Signaller 6. Station Staff 7. Railway Infrastructure Worker 8. Other (Free Text)	Mandatory if Z1 was answered with '1. Yes'. Select the applicable Rail Safety Worker type of the person tested.
Z4	Employment Type	1. Employee 2. Contractor	Mandatory. Select whether the Rail Safety Worker selected under Z3 was an employee or contractor.
Z5	Test Type	Multiple Selection 1. Drug Oral Fluid 2. Drug Blood Test 3. Drug Urine Test 4. Alcohol Breath Test 5. Alcohol Breath Analysis 6. Alcohol Blood Test	Select the type of test(s).
Z6	Test Date/Time	DD/MM/YYYY HH:MM	Provide the local date and time for each of the tests selected in Z5. Mandatory for each test undertaken.

Data Item ID	Data Item	Format	Description
Z7	Tested by	Single Selection 1. Operator 2. Police	Provide who undertook the test(s) selected in Z5. Mandatory for each test undertaken. Testing undertaken by ONRSR do not need to be reported. ONRSR will provide test details through the portal.
Z8	Result	Single Selection 1. Positive 2. Negative 3. Awaiting Result 4. Refused 5. Tampered/Interfered	Select the result for each of the tests as selected in Z5. Mandatory for each test undertaken. The record will require updating at a later time if item 3. 'Awaiting Result' is selected.

3.3 Location Information



Data Item ID	Data Item	Format	Description
A8	Jurisdiction	Single Selection	State or Territory in which the incident occurred.
A9	Line Section	Single Selection	The line section as defined by the Rail Infrastructure Manager. Only line sections that are in the jurisdiction selected in data item A8 are valid.
A10	Line Kilometre Point	(numerical, two decimal points)	Mandatory if A11 is not provided; otherwise optional.
A11	Defined Location	Single Selection 1. Station 2. Crossing loop 3. Yard / Siding 4. Private siding 5. Bridge (rail)	Mandatory if A10 is not provided; otherwise optional. Selection based on the ontology data from the RIM.

Data Item ID	Data Item	Format	Description
		6. Control Point 7. Level Crossing	
A11.1	Location	Single Selection	Single selection from list of specific locations in the line section provided in A9. Mandatory if A11 is provided.



Rail Infrastructure Managers are required to provide a list of line sections to ONRSR as part of the ontology data. This data is used for data item A9, A11 and A11.1.

4 Level 2 – Occurrence Specific Information

4.1 Collision / Near Hit


Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Mandatory. Select whether the point of collision was on a running line or a yard.
C1	Line Status	Single Selection 1. Normal Operation 2. Under Possession	Mandatory. Select whether the line was under normal operation or under possession.
D1	Collision or Near Hit 	Single Selection 1. Collision 2. Near Hit	Mandatory. Select whether the incident was a collision or near hit.
E1	Collision/Near Hit Object 	Multiple Selection 1. <u>Train/Rolling Stock</u> 2. <u>Person</u> 3. <u>Road Vehicle</u> 4. Non-Road Vehicle 5. Plant/Machinery	Mandatory. Select the collision or near hit object.




Data Item ID	Data Item	Format		Description
		6. Rail Infrastructure (excluding Plant/Machinery) 7. Other Object (Free Text)		
E2	Collision Type	Single Selection 1. Head on 2. Rear end 3. Side swipe 4. Out of gauge		Conditional. Only to be provided if "1. Collision" is selected in D1 and Collision Object in E1 is "1. Train/Rolling Stock".
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 3. Train Speed (numeric) 4. <u>Consequence (Damage)</u> 5. <u>Mode of operation</u> 6. <u>Service Status</u> 7. <u>Driver only operation</u>		Mandatory. To be completed for each train/rolling stock involved in the collision/near hit collision. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-5 only required for operators with autonomous/driverless trains. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
L1	Consequence (Persons)	Multiple Selection and Input 1. <u>Person Type</u> 2. <u>Injury Severity</u>		Conditional. Only required if a person was injured. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.
H1	Consequence (Rail Infrastructure)	Single Selection 1. Minor damage 2. Significant damage		Conditional. Only required if there was damage to rail infrastructure.
LC	Precursor Event/Likely	PE1. PE2.	Collision / Near Hit Collision Derailment	Conditional.

Data Item ID	Data Item	Format		Description
	Cause 	PE3. Wrong Side Failure PE4. Proceed Authority Exceeded PE5. Runaway PE6. Fire, Explosion, Dangerous Goods PE7. Network Rule or Procedure Breach PE8. Load Irregularity PE9. Rolling Stock Irregularity PE10. Level Crossing Irregularity PE11. Track Irregularity PE12. Civil Infrastructure Irregularity PE13. Electrical Traction Irregularity PE14. Person/Train Interface PE16. Incident Directly Threatening Safety		Either one item from the PE list or one item from the list 1-7 must be provided. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-7).
		1. Self-Harm 2. Misadventure 3. Deliberate act and vandalism 4. Train handling 5. Rail/wheel adhesion 6. Under investigation 7. Other event (Free Text)		
CE	Consequence Event 	CE1. Collision / Near Hit Collision CE2. Derailment CE5. Runaway CE6. Fire, Explosion, Dangerous Goods CE7. Network Rule or Procedure Breach CE13. Electrical Traction Irregularity CE16. Incident Directly Threatening Safety		Conditional. Only required if the incident resulted in a consequence event.


4.2 Derailment



Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection	Mandatory.

Data Item ID	Data Item	Format	Description
		<ol style="list-style-type: none"> Running Line Yard 	Select whether the point of derailment was on a running line or yard.
C1	Line Status	Single Selection <ol style="list-style-type: none"> Normal Operation Under Possession. 	Mandatory. Select whether the line was under normal operation or under possession.
F1	Train Details	<ol style="list-style-type: none"> Train ID (alphanumeric) <u>Train Type</u> (single selection) Train Speed (numeric) <u>Consequence (Damage)</u> <u>Mode of operation</u> <u>Service Status</u> <u>Driver only operation</u> 	Mandatory. To be completed for each train/rolling stock involved in the derailment. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-5 only required for operators with autonomous/driverless trains. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
L1	Consequence (Persons)	Multiple Selection and Input <ol style="list-style-type: none"> <u>Person Type</u> <u>Injury Severity</u> 	Conditional. Only required if a person was injured. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.
H1	Consequence (Rail Infrastructure)	Single Selection <ol style="list-style-type: none"> Minor damage Significant damage 	Conditional. Only required if there was damage to rail infrastructure.
I1	Point of Derailment 	Single Selection <ol style="list-style-type: none"> Head of train Within Consist 	Conditional. Not required if F1-2 Train Type is "Locomotive" or "Rolling Stock".

Data Item ID	Data Item	Format		Description
J1	Extent of Derailment 	Single Selection 1. Single bogie 2. Single rolling stock 3. Multiple rolling stock		Mandatory. Select the extent of the derailment.
LC	Precursor Event/Likely Cause 	PE1 PE2. PE3 PE4 PE5 PE7 PE8 PE9 PE11 PE12 PE16	Collision / Near Hit Collision Derailment Wrong Side Failure Proceed Authority Exceeded Runaway Network Rule or Procedure Breach Load Irregularity Rolling Stock Irregularity Track Irregularity Civil Infrastructure Irregularity Incident Directly Threatening Safety	Conditional. Either one item from the PE list or one item from the list 1-4 must be provided. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-4).
		1. Train handling 2. Adverse weather 3. Under investigation 4. Other event (Free Text)		
CE	Consequence Event 	CE1. CE2. CE6. CE13. CE16.	Collision / Near Hit Collision Derailment Fire, Explosion, Dangerous Goods Electrical Traction Irregularity Incident Directly Threatening Safety	Conditional. Only required if the incident resulted in a consequence event.

4.3 Wrong Side Failure



Data Item ID	Data Item	Format		Description
K1	Type of System 	Single Selection 1. Active Level Crossing 2. Signalling System 3. Authority Management System		Mandatory. Select the type of system that failed in an unsafe state.


Data Item ID	Data Item	Format	Description
		4. Rolling Stock Interlocking System 5. Train Protection System 6. Electrical Traction System 7. Other System (Free Text)	Provide detail about the system that failed in an unsafe state in free text if item K1-7 Other System is selected.
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 5. <u>Mode of Operation</u> 6. <u>Service Status</u> 7. <u>Driver Only Operation</u>	Conditional. Only to be completed if a train was involved. To be completed for each train/rolling stock involved in the wrong side failure. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-5 only required for operators with autonomous/driverless trains. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
LC	Precursor Event/Likely Cause 	PE3. Wrong Side Failure PE6. Fire, Explosion, Dangerous Goods PE7. Network Rule or Procedure Breach PE9. Rolling Stock Irregularity PE11. Track Irregularity PE13. Electrical Traction Irregularity PE16. Incident Directly Threatening Safety	Conditional. Only to be provided if the incident was preceded by a precursor event.
CE	Consequence Event 	CE1. Collision / Near Hit Collision CE2. Derailment CE3. Wrong Side Failure CE4. Proceed Authority Exceeded CE5. Runaway CE6. Fire, Explosion, Dangerous Goods CE7. Network Rule or Procedure Breach CE9. Rolling Stock Irregularity	Conditional. Only required if the incident resulted in a consequence event.

Data Item ID	Data Item	Format	Description
		CE10. Level Crossing Irregularity CE13. Electrical Traction Irregularity CE14. Person/Train Interface CE16. Incident Directly Threatening Safety	

4.4 Proceed Authority Exceeded (including SPAD)


Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Mandatory. Select running line if the proceed authority exceedance was on or onto the running line. Select yard if the proceed authority exceedance was in the yard and remained in the yard.
C1	Line Status	Single Selection 1. Normal Operation 2. Under Possession	Mandatory. Select whether the line was under normal operation or under possession.
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 5. <u>Mode of Operation</u> 6. <u>Service Status</u> 7. <u>Driver Only Operation</u>	Mandatory. Provide the details of the train involved in the proceed authority exceedance. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-5 only required for operators with autonomous/driverless trains. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
M1	Authority Type	Single Selection 1. Wayside Signal	Mandatory.


Data Item ID	Data Item	Format	Description														
		<ol style="list-style-type: none"> 2. Written Proceed Authority 3. Restraint Authority 4. Verbal Authority 5. Staff / Token 6. In-cab Signal 	Select the authority that was exceeded or that should have been in place if the train proceeded without authority.														
N1	Conflict Point	Single Selection <ol style="list-style-type: none"> 1. Occupied section of track 2. Point / Crossover / Derailer 3. Worksite 4. Level Crossing 5. Light Rail Traffic Intersection 6. End of Line 7. No Conflict Point 	Mandatory. Select the nearest conflict point or the conflict point that the train entered.														
O1	Entered Conflict Point	Single Selection <ol style="list-style-type: none"> 1. Yes 2. No 	Mandatory. Select whether the train reached the conflict point.														
P1	Distance to Conflict Point	Single Input <ol style="list-style-type: none"> 1. Value (m) 	Conditional. Select the distance to the nearest conflict point. Only to be completed if O1 was answered with "No".														
LC	Precursor Event/Likely Cause 	<table border="1"> <tr> <td>PE3.</td> <td>Wrong Side Failure</td> </tr> <tr> <td>PE4.</td> <td>Proceed Authority Exceeded</td> </tr> <tr> <td>PE5.</td> <td>Runaway</td> </tr> <tr> <td>PE7.</td> <td>Network Rule or Procedure Breach</td> </tr> <tr> <td>PE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>PE11.</td> <td>Track Irregularity</td> </tr> <tr> <td>PE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table> <ol style="list-style-type: none"> 1. Completely missed 2. Started against signal 3. Misjudged 4. Rail-wheel interface 5. Signal blackout 	PE3.	Wrong Side Failure	PE4.	Proceed Authority Exceeded	PE5.	Runaway	PE7.	Network Rule or Procedure Breach	PE9.	Rolling Stock Irregularity	PE11.	Track Irregularity	PE16.	Incident Directly Threatening Safety	Conditional. Either one item from the PE list or one item from the list 1-11 must be provided. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-11). Select PE4 Proceed Authority Exceeded if the train had multiple proceed authority exceedances and one
PE3.	Wrong Side Failure																
PE4.	Proceed Authority Exceeded																
PE5.	Runaway																
PE7.	Network Rule or Procedure Breach																
PE9.	Rolling Stock Irregularity																
PE11.	Track Irregularity																
PE16.	Incident Directly Threatening Safety																

Data Item ID	Data Item	Format	Description
		<ul style="list-style-type: none"> 6. Signal restored – technical 7. Signal restored – human error 8. Signal restored – emergency 9. Signal/signs obstructed/not visible 10. Miscommunication 11. Rollback 	of them was a precursor event.
RA	Response Action	<ul style="list-style-type: none"> 1. Driver responded 2. Controller responded 3. Other person responded 4. System responded 5. No response action 	<p>Mandatory.</p> <p>Select the initial response action that was taken. Select system responded if an automatic train protection system stopped the train.</p>
CE	Consequence Event 	<ul style="list-style-type: none"> CE1. Collision / Near Hit Collision CE2. Derailment CE3. Wrong Side Failure CE4. Proceed Authority Exceeded CE7. Network Rule or Procedure Breach CE10. Level Crossing Irregularity CE13. Electrical Traction Irregularity CE16. Incident Directly Threatening Safety 	<p>Conditional.</p> <p>Only required if the incident resulted in a consequence event.</p> <p>Select CE4 Proceed Authority Exceeded if the train had multiple proceed authority exceedances and one of them was a consequence event.</p>


4.5 Runaway



Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection <ul style="list-style-type: none"> 1. Running Line 2. Yard 	<p>Mandatory.</p> <p>Select whether the runaway was on or onto the running line or in a yard and remained in the yard.</p>
C1	Line Status	Single Selection <ul style="list-style-type: none"> 1. Normal Operation 2. Under Possession 	<p>Mandatory.</p> <p>Select whether the line was under normal operation or possession.</p>


Data Item ID	Data Item	Format		Description
F1	Train Details	<ol style="list-style-type: none"> 1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 5. <u>Mode of Operation</u> 6. <u>Service Status</u> 7. <u>Driver Only Operation</u> 		<p>Mandatory.</p> <p>Provide the details of the train involved in the runaway.</p> <p>F1-1 Train ID not required if F1-2 Train Type is Rolling Stock.</p> <p>F1-5 only required for operators with autonomous/driverless trains.</p> <p>F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.</p>
Q1	Runaway Distance	<p>Single Input</p> <ol style="list-style-type: none"> 1. Value (m) 		<p>Mandatory.</p> <p>Provide the estimated runaway distance.</p>
LC	Precursor Event/Likely Cause 	<ol style="list-style-type: none"> PE1. Collision / Near Hit Collision PE3. Wrong Side Failure PE7. Network Rule or Procedure Breach PE8. Load Irregularity PE9. Rolling Stock Irregularity PE16. Incident Directly Threatening Safety 	<ol style="list-style-type: none"> 1. Insufficiently secured 2. Driver lost control 3. Deliberate act and vandalism 4. Under investigation 	<p>Conditional.</p> <p>Either one item from the PE list or one item from the list 1-4 must be provided.</p> <p>Provide any precursor event from the PE list and/or any applicable likely cause (item 1-4).</p>
RA	Response Action	<ol style="list-style-type: none"> 1. Runaway protection stopped / derailed train 2. Rerouting 3. Intentional Derailment 4. Control Regained 5. System Intervention 6. No Action 		<p>Mandatory.</p> <p>Select any response action that was taken.</p>
CE	Consequence Event	<ol style="list-style-type: none"> CE1. Collision / Near Hit Collision CE2. Derailment 		<p>Conditional.</p>

Data Item ID	Data Item	Format	Description
		CE4. Proceed Authority Exceeded CE16. Incident Directly Threatening Safety	Only required if the incident resulted in a consequence event. CE2 must be provided if the response action in item RA was “3. Intentional Derailment”.


4.6 Fire, Explosion or Dangerous Goods Spill



Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Mandatory. Select whether the incident occurred on a running line or yard.
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 4. <u>Consequence (Damage)</u> 6. <u>Service Status</u> 7. <u>Driver Only Operation</u>	Conditional. Provide the details if a train was involved in the incident. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
R1	Incident Type 	Single Selection 1. Fire 2. Explosion 3. Dangerous Goods Spill	Mandatory. Select the type of incident.
H1	Consequence (Rail Infrastructure)	Single Selection 1. Minor damage 2. Significant damage	Conditional. Only required if there was damage to rail infrastructure.
U1	Caused by Train	Single Selection 1. Yes 2. No	Conditional. Select whether a lineside fire was caused by a train.


Data Item ID	Data Item	Format	Description																
			Only required if Incident Type R1 is "1. Fire" and Asset Type S1 is "3. Lineside".																
L1	Consequence (Persons)	Multiple Selection and Input 1. <u>Person Type</u> 2. <u>Injury Severity</u>	Conditional. Only required if a person was injured. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.																
V1	Dangerous Goods Type 	1. Class 1 - Explosives 2. Class 2 - Gases 3. Class 3 - Flammable Liquids 4. Class 4 - Flammable Solids 5. Class 5.1 - Oxidizing Substances 6. Class 5.2 - Organic Peroxides 7. Class 6.1 - Toxic Substances 8. Class 7 - Radioactive Material 9. Class 8 - Corrosive Substances 10. Class 9 - Miscellaneous Dangerous Goods	Conditional. Provide the Dangerous Goods Type involved in the incident as per the Dangerous Goods Code. Optional if Incident Type R1 is "1. Fire" or "2. Explosion". Mandatory if Incident Type R1 is "3. Dangerous Goods Spill".																
LC	Precursor Event/Likely Cause 	<table border="1"> <tr> <td>PE1.</td> <td>Collision / Near Hit Collision</td> </tr> <tr> <td>PE2.</td> <td>Derailment</td> </tr> <tr> <td>PE3.</td> <td>Wrong Side Failure</td> </tr> <tr> <td>PE6.</td> <td>Fire, Explosion, Dangerous Goods</td> </tr> <tr> <td>PE8.</td> <td>Load Irregularity</td> </tr> <tr> <td>PE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>PE13.</td> <td>Electrical Traction Irregularity</td> </tr> <tr> <td>PE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table> 1. Deliberate Act and Vandalism 2. Natural Event 3. Load Related 4. Under Investigation	PE1.	Collision / Near Hit Collision	PE2.	Derailment	PE3.	Wrong Side Failure	PE6.	Fire, Explosion, Dangerous Goods	PE8.	Load Irregularity	PE9.	Rolling Stock Irregularity	PE13.	Electrical Traction Irregularity	PE16.	Incident Directly Threatening Safety	Conditional. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-4).
PE1.	Collision / Near Hit Collision																		
PE2.	Derailment																		
PE3.	Wrong Side Failure																		
PE6.	Fire, Explosion, Dangerous Goods																		
PE8.	Load Irregularity																		
PE9.	Rolling Stock Irregularity																		
PE13.	Electrical Traction Irregularity																		
PE16.	Incident Directly Threatening Safety																		

Data Item ID	Data Item	Format	Description
CE	Consequence Event 	CE3. Wrong Side Failure CE6. Fire, Explosion, Dangerous Goods CE9. Rolling Stock Irregularity CE10. Level Crossing Irregularity CE11. Track Irregularity CE12. Civil Infrastructure Irregularity CE13. Electrical Traction Irregularity CE15. Fatality / Serious Injury CE16. Incident Directly Threatening Safety	Conditional. Only required if the incident resulted in a consequence event.



4.7 Network Rule or Procedure Breach



Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Mandatory. Select whether the incident was on the running line or yard.
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u> 7. <u>Driver Only Operation</u>	Conditional. Mandatory if Nature of breach in W1 is item 1, 3, 8 or 9. To be completed for each train/rolling stock involved in the incident. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
W1	Nature of Breach 	Single Selection 1. Proceed authority incorrectly given 2. Workers in danger zone before setup or after fulfilment 3. Unauthorised movements in/out/within protected zone	Mandatory. Provide the nature of the breach. Select "10. Other breach" if the breach is not listed and provide details in free text.

Data Item ID	Data Item	Format	Description																																
		<ol style="list-style-type: none"> 4. Work authorised without protection arrangements in place 5. Incorrect track protection method 6. Workers in danger zone without authority 7. Work near electrical infrastructure without correct authority 8. Train incorrectly routed/points incorrectly set 9. Train exceeding permitted speed limit 10. Other breach (Free Text) 																																	
X1	Track Protection Type 	Single Selection <ol style="list-style-type: none"> 1. Local Possession Authority (LPA) 2. Track Occupancy Authority (TOA) 3. Track Work Authority (TWA) 4. Absolute Signal Blocking (ASB) 5. Lookout Working (LW) 6. Stopped Rail Traffic as Protection 7. No Authority Required 	Conditional. Select which track protection type that was in place or should have been in place. Mandatory if Nature of breach in W1 is item 2, 3, 4, 5, or 6.																																
LC	Precursor Event/Likely Cause 	<table border="0"> <tr> <td>PE1.</td> <td>Collision / Near Hit Collision</td> </tr> <tr> <td>PE2.</td> <td>Derailment</td> </tr> <tr> <td>PE3.</td> <td>Wrong Side Failure</td> </tr> <tr> <td>PE4.</td> <td>Proceed Authority Exceeded</td> </tr> <tr> <td>PE5.</td> <td>Runaway</td> </tr> <tr> <td>PE6.</td> <td>Fire, Explosion, Dangerous Goods</td> </tr> <tr> <td>PE7.</td> <td>Network Rule or Procedure Breach</td> </tr> <tr> <td>PE8.</td> <td>Load Irregularity</td> </tr> <tr> <td>PE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>PE10.</td> <td>Level Crossing Irregularity</td> </tr> <tr> <td>PE11.</td> <td>Track Irregularity</td> </tr> <tr> <td>PE12.</td> <td>Civil Infrastructure Irregularity</td> </tr> <tr> <td>PE13.</td> <td>Electrical Traction Irregularity</td> </tr> <tr> <td>PE14.</td> <td>Person/Train Interface</td> </tr> <tr> <td>PE15.</td> <td>Fatality / Serious Injury</td> </tr> <tr> <td>PE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table>	PE1.	Collision / Near Hit Collision	PE2.	Derailment	PE3.	Wrong Side Failure	PE4.	Proceed Authority Exceeded	PE5.	Runaway	PE6.	Fire, Explosion, Dangerous Goods	PE7.	Network Rule or Procedure Breach	PE8.	Load Irregularity	PE9.	Rolling Stock Irregularity	PE10.	Level Crossing Irregularity	PE11.	Track Irregularity	PE12.	Civil Infrastructure Irregularity	PE13.	Electrical Traction Irregularity	PE14.	Person/Train Interface	PE15.	Fatality / Serious Injury	PE16.	Incident Directly Threatening Safety	Conditional. Only to be provided if the incident was preceded by a precursor event.
PE1.	Collision / Near Hit Collision																																		
PE2.	Derailment																																		
PE3.	Wrong Side Failure																																		
PE4.	Proceed Authority Exceeded																																		
PE5.	Runaway																																		
PE6.	Fire, Explosion, Dangerous Goods																																		
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PE13.	Electrical Traction Irregularity																																		
PE14.	Person/Train Interface																																		
PE15.	Fatality / Serious Injury																																		
PE16.	Incident Directly Threatening Safety																																		

Data Item ID	Data Item	Format		Description
CE	Consequence Event 	CE1. CE2. CE3. CE4. CE5. CE6. CE7. CE8. CE9. CE10. CE11. CE12. CE13. CE14. CE16.	Collision / Near Hit Collision Derailment Wrong Side Failure Proceed Authority Exceeded Runaway Fire, Explosion, Dangerous Goods Network Rule or Procedure Breach Load Irregularity Rolling Stock Irregularity Level Crossing Irregularity Track Irregularity Civil Infrastructure Irregularity Electrical Traction Irregularity Person / Train Interface Incident Directly Threatening Safety	Conditional. Only required if the incident resulted in a consequence event.




4.8 Load Irregularity

Data Item ID	Data Item	Format		Description
F1	Train Details	<ol style="list-style-type: none"> Train ID (alphanumeric) <u>Train Type</u> (auto selected Freight Train) 		<p>Mandatory.</p> <p>Provide the details of the train involved in the load irregularity.</p>
Y1	Loading Point 	A11	<ol style="list-style-type: none"> Yard / Siding Private siding 	<p>Mandatory.</p> <p>Select where the train or wagon was loaded. The selection is based on the ontology data from the RIM.</p>
		A11.1	<ol style="list-style-type: none"> Location 	
T1	Type of Load Irregularity 	<p>Single Selection</p> <ol style="list-style-type: none"> Loss of load Load shift Underloading Overloading Uneven load 		<p>Mandatory.</p> <p>Select the type of load irregularity.</p>

Data Item ID	Data Item	Format	Description																
		<ul style="list-style-type: none"> 6. Empty wagon in consist 7. Ineffective restraint 8. Open doors / hatches / gates 																	
LC	Precursor Event/Likely Cause 	<table border="1"> <tr> <td>PE7.</td> <td>Network Rule or Procedure Breach</td> </tr> <tr> <td>PE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>PE11.</td> <td>Track Irregularity</td> </tr> <tr> <td>PE12.</td> <td>Civil Infrastructure Irregularity</td> </tr> <tr> <td>PE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table> <ul style="list-style-type: none"> 1. Incorrect loading / securing 2. Ineffective loading / securing 3. Tampering 4. Incorrect marshalling 	PE7.	Network Rule or Procedure Breach	PE9.	Rolling Stock Irregularity	PE11.	Track Irregularity	PE12.	Civil Infrastructure Irregularity	PE16.	Incident Directly Threatening Safety	Conditional. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-4).						
PE7.	Network Rule or Procedure Breach																		
PE9.	Rolling Stock Irregularity																		
PE11.	Track Irregularity																		
PE12.	Civil Infrastructure Irregularity																		
PE16.	Incident Directly Threatening Safety																		
CE	Consequence Event 	<table border="1"> <tr> <td>CE1.</td> <td>Collision / Near Hit Collision</td> </tr> <tr> <td>CE2.</td> <td>Derailment</td> </tr> <tr> <td>CE4.</td> <td>Proceed Authority Exceeded</td> </tr> <tr> <td>CE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>CE10.</td> <td>Level Crossing Irregularity</td> </tr> <tr> <td>CE11.</td> <td>Track Irregularity</td> </tr> <tr> <td>CE13.</td> <td>Electrical Traction Irregularity</td> </tr> <tr> <td>CE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table>	CE1.	Collision / Near Hit Collision	CE2.	Derailment	CE4.	Proceed Authority Exceeded	CE9.	Rolling Stock Irregularity	CE10.	Level Crossing Irregularity	CE11.	Track Irregularity	CE13.	Electrical Traction Irregularity	CE16.	Incident Directly Threatening Safety	Conditional. Only required if the incident resulted in a consequence event.
CE1.	Collision / Near Hit Collision																		
CE2.	Derailment																		
CE4.	Proceed Authority Exceeded																		
CE9.	Rolling Stock Irregularity																		
CE10.	Level Crossing Irregularity																		
CE11.	Track Irregularity																		
CE13.	Electrical Traction Irregularity																		
CE16.	Incident Directly Threatening Safety																		



4.9 Rolling Stock Irregularity (including Monitoring System)

Data Item ID	Data Item	Format	Description
F1	Train Details	<ul style="list-style-type: none"> 1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u> 7. <u>Driver Only Operation</u> 	Mandatory. Provide the details of the train involved in the rolling stock irregularity. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.

Data Item ID	Data Item	Format		Description
B2	Type of Irregularity 	Single Selection 1. Bearing failure 2. Broken axle 3. Broken wheel 4. Train parting 5. Structural integrity 6. Braking system 7. Vigilance system 8. Train protection system 9. Draw gear / coupler failures 10. Dragging equipment 11. Pantograph 12. Communication system 13. Electrical system		Mandatory. Select the type of irregularity or system that was affected by the irregularity.
H1	Consequence (Rail Infrastructure)	Single Selection 1. Minor damage 2. Significant damage		Conditional. Only required if there was damage to rail infrastructure.
LC	Precursor Event/Likely Cause 	PE8. PE9. PE11. PE16.	Load Irregularity Rolling Stock Irregularity Track Irregularity Incident Directly Threatening Safety	Conditional. Only to be provided if the incident was preceded by a precursor event.
CE	Consequence Event 	CE1. CE2. CE3. CE4. CE5. CE6. CE8. CE9. CE11. CE13. CE14.	Collision / Near Hit Collision Derailment Wrong Side Failure Proceed Authority Exceeded Runaway Fire, Explosion, Dangerous Goods Load Irregularity Rolling Stock Irregularity Track Irregularity Electrical Traction Irregularity Person / Train Interface	Conditional. Only required if the incident resulted in a consequence event.



Data Item ID	Data Item	Format	Description
		CE16. Incident Directly Threatening Safety	


4.10 Level Crossing Irregularity

Data Item ID	Data Item	Format	Description
LC	Precursor Event/Likely Cause 	PE3. Wrong Side Failure PE4. Proceed Authority Exceeded PE5. Runaway PE7. Network Rule or Procedure Breach PE9. Rolling Stock Irregularity PE11. Track Irregularity PE13. Electrical Traction Irregularity PE16. Incident Directly Threatening Safety	Conditional. Only to be provided if the incident was preceded by a precursor event.
CE	Consequence Event 	CE1. Collision / Near Hit Collision CE3. Wrong Side Failure CE7. Network Rule or Procedure Breach CE16. Incident Directly Threatening Safety	Conditional. Only required if the incident resulted in a consequence event.


4.11 Track Irregularity



Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Mandatory. Select whether the incident was on the running line or yard.
C1	Line Status	Single Selection 1. Normal Operation 2. Under Possession	Mandatory. Select whether the line was under normal operation or possession.
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u>	Conditional. Provide the details if a train was involved in the incident.

Data Item ID	Data Item	Format		Description
				F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
D2	Type of Irregularity 	Single Selection 1. Broken rail 2. Rail defect 3. Horizontal / vertical misalignment 4. Spread track 5. Narrow track 6. Points irregularity 7. Washaway 8. Other (Free Text)		Mandatory. Provide the type of track irregularity.
L1	Consequence (Persons)	Multiple Selection and Input 1. <u>Person Type</u> 2. <u>Injury Severity</u>		Conditional. Only required if a person was injured. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types. For example, injuries to passengers when a train traverses a track defect.
LC	Precursor Event/Likely Cause 	PE6. PE7. PE8 PE9. PE12. PE16.	Fire, Explosion, Dangerous Goods Network Rule or Procedure Breach Load Irregularity Rolling Stock Irregularity Civil Infrastructure Irregularity Incident Directly Threatening Safety	Conditional. Only to be provided if the incident was preceded by a precursor event.
CE	Consequence Event	CE1. CE2. CE3.	Collision / Near Hit Collision Derailment Wrong Side Failure	Conditional.

Data Item ID	Data Item	Format	Description
		CE4. Proceed Authority Exceeded CE8. Load Irregularity CE9. Rolling Stock Irregularity CE10. Level Crossing Irregularity CE13. Electrical Traction Irregularity CE16. Incident Directly Threatening Safety	Only required if the incident resulted in a consequence event.



4.12 Civil Infrastructure Irregularity

Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Conditional. Select whether the incident happened on or impacted on the running line or yard. Not required if the incident involves station infrastructure.
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u>	Conditional. Provide the details if a train was involved in the incident. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.
S1	Type of Irregularity 	Single Selection 1. Structural damage 2. Structural collapse 3. Bridge strike (by road vehicles) 4. Landslide / rock fall 5. Fallen tree 6. Floodwater (over track) 7. Embankment failure 8. Other (Free Text)	Mandatory. Select the type of infrastructure failure.


Data Item ID	Data Item	Format	Description
L1	Consequence (Persons)	Multiple Selection and Input 1. <u>Person Type</u> 2. <u>Injury Severity</u>	Conditional. Only required if a person was injured. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types. For example, injuries to passengers due to a structural collapse.
LC	Precursor Event/Likely Cause 	PE6. Fire, Explosion, Dangerous Goods PE12. Civil Infrastructure Irregularity PE16. Incident Directly Threatening Safety	Conditional. Only to be provided if the incident was preceded by a precursor event.
CE	Consequence Event 	CE1. Collision / Near Hit Collision CE2. Derailment CE8. Load Irregularity CE11. Track Irregularity CE12. Civil Infrastructure Irregularity CE13. Electrical Traction Irregularity CE16. Incident Directly Threatening Safety	Conditional. Only required if the incident resulted in a consequence event.



4.13 Electrical Traction Irregularity

Data Item ID	Data Item	Format	Description
B1	Line Type	Single Selection 1. Running Line 2. Yard	Mandatory. Select whether the incident happened on or impacted on the running line or yard.
C1	Line Status	Single Selection 1. Normal Operation 2. Under Possession	Mandatory. Select whether the line was under normal operation or possession.

Data Item ID	Data Item	Format	Description
F1	Train Details	<ol style="list-style-type: none"> 1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u> 	<p>Conditional.</p> <p>Provide the details if a train was involved in the incident.</p> <p>F1-1 Train ID not required if F1-2 Train Type is Rolling Stock.</p> <p>F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.</p>
L1	Consequence (Persons)	<p>Multiple Selection and Input</p> <ol style="list-style-type: none"> 1. <u>Person Type</u> 2. <u>Injury Severity</u> 	<p>Conditional.</p> <p>Only required if a person was injured.</p> <p>Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.</p>
LC	Precursor Event/Likely Cause 	<ol style="list-style-type: none"> PE1. Collision / Near Hit Collision PE2. Derailment PE3. Wrong Side Failure PE4. Proceed Authority Exceeded PE5. Runaway PE6. Fire, Explosion, Dangerous Goods PE7. Network Rule or Procedure Breach PE8. Load Irregularity PE9. Rolling Stock Irregularity PE11. Track Irregularity PE12. Civil Infrastructure Irregularity PE13. Electrical Traction Irregularity PE16. Incident Directly Threatening Safety 	<p>Conditional.</p> <p>Only to be provided if the incident was preceded by a precursor event.</p>
CE	Consequence Event 	<ol style="list-style-type: none"> CE1. Collision / Near Hit Collision CE3. Wrong Side Failure CE6. Fire, Explosion, Dangerous Goods CE13. Electrical Traction Irregularity CE16. Incident Directly Threatening Safety 	<p>Conditional.</p> <p>Only required if the incident resulted in a consequence event.</p>

4.14 Person / Train Interface

Data Item ID	Data Item	Format	Description						
F1	Train Details	<ol style="list-style-type: none"> 1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u> 7. <u>Driver only operation</u> 	<p>Conditional.</p> <p>Provide the details if a train was involved in the incident.</p> <p>F1-1 Train ID not required if F1-2 Train Type is Rolling Stock.</p> <p>F1-6 only required if F1-2 Train Type is Passenger Train or Light Rail Vehicle.</p>						
L1	Consequence (Persons)	<p>Multiple Selection and Input</p> <ol style="list-style-type: none"> 1. <u>Person Type</u> 2. <u>Injury Severity</u> 	<p>Conditional.</p> <p>Only required if a passenger, Rail Safety Worker or worker (other than a Rail Safety Worker) was injured.</p> <p>Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.</p>						
G2	<p>Type</p> 	<p>Single Selection</p> <ol style="list-style-type: none"> 1. Door open with train in motion 2. Caught and dragged 3. Caught in platform screen door 4. Caught between train and platform screen door 5. Falls whilst boarding / alighting 6. Fall from platform onto track 7. Fall between train and platform 8. Other (Free Text) 	<p>Mandatory.</p> <p>Select the type of incident that occurred. Provide free text details if item 8. Other is selected.</p>						
LC	Precursor Event/Likely Cause	<table border="0"> <tr> <td>PE3.</td> <td>Wrong Side Failure</td> </tr> <tr> <td>PE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>PE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table>	PE3.	Wrong Side Failure	PE9.	Rolling Stock Irregularity	PE16.	Incident Directly Threatening Safety	<p>Conditional.</p> <p>Either one item from the PE list or one item</p>
PE3.	Wrong Side Failure								
PE9.	Rolling Stock Irregularity								
PE16.	Incident Directly Threatening Safety								

Data Item ID	Data Item	Format	Description				
		<ol style="list-style-type: none"> 1. Obstacle detection system failure 2. Obstacle detection working but obstacle not detected 3. Traction interlocking failure 4. Traction interlocking working, but obstacle not detected 5. Door release speed interlocking failure 6. Emergency door release speed interlocking failure 7. Wrong side door released 8. Door released whilst stationary but not at platform 9. Passenger misadventure or behaviour 10. Under investigation 11. Other event (Free Text) 	<p>from the list 1-10 must be provided.</p> <p>Provide any precursor event from the PE list and/or any applicable likely cause (item 1-10).</p>				
RA	Response Action	<ol style="list-style-type: none"> 1. Train crew stopped train 2. Station staff stopped train 3. Passengers stopped train 4. Anti-drag system stopped train 5. No response action / other 	<p>Mandatory.</p> <p>Select any response action that was taken.</p>				
CE	Consequence Event 	<table border="1"> <tr> <td>CE1.</td> <td>Collision / Near Hit Collision</td> </tr> <tr> <td>CE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </table>	CE1.	Collision / Near Hit Collision	CE16.	Incident Directly Threatening Safety	<p>Conditional.</p> <p>Only required if the incident resulted in a consequence event.</p>
CE1.	Collision / Near Hit Collision						
CE16.	Incident Directly Threatening Safety						

4.15 Fatality or Serious Injury

Data Item ID	Data Item	Format	Description
F1	Train Details	<ol style="list-style-type: none"> 1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 6. <u>Service Status</u> 7. <u>Driver Only Operation</u> 	<p>Conditional.</p> <p>Provide the details if a train was involved in the incident.</p> <p>F1-1 Train ID not required if F1-2 Train Type is Rolling Stock.</p> <p>F1-6 only required if F1-2 Train Type is</p>

Data Item ID	Data Item	Format	Description																								
			Passenger Train or Light Rail Vehicle.																								
L1	Consequence (Persons)	Multiple Selection and Input 1. <u>Person Type</u> 2. <u>Injury Severity</u>	Mandatory. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.																								
LC	Precursor Event/Likely Cause	<table border="1"> <tbody> <tr> <td>PE1.</td> <td>Collision / Near Hit Collision</td> </tr> <tr> <td>PE2.</td> <td>Derailment</td> </tr> <tr> <td>PE3.</td> <td>Wrong Side Failure</td> </tr> <tr> <td>PE6.</td> <td>Fire, Explosion, Dangerous Goods</td> </tr> <tr> <td>PE7.</td> <td>Network Rule or Procedure Breach</td> </tr> <tr> <td>PE8.</td> <td>Load Irregularity</td> </tr> <tr> <td>PE9.</td> <td>Rolling Stock Irregularity</td> </tr> <tr> <td>PE11.</td> <td>Track Irregularity</td> </tr> <tr> <td>PE12.</td> <td>Civil Infrastructure Irregularity</td> </tr> <tr> <td>PE13.</td> <td>Electrical Traction Irregularity</td> </tr> <tr> <td>PE14.</td> <td>Person / Train Interface</td> </tr> <tr> <td>PE16.</td> <td>Incident Directly Threatening Safety</td> </tr> </tbody> </table> 1. Misadventure 2. Self-Harm 3. Other Event (Free Text)	PE1.	Collision / Near Hit Collision	PE2.	Derailment	PE3.	Wrong Side Failure	PE6.	Fire, Explosion, Dangerous Goods	PE7.	Network Rule or Procedure Breach	PE8.	Load Irregularity	PE9.	Rolling Stock Irregularity	PE11.	Track Irregularity	PE12.	Civil Infrastructure Irregularity	PE13.	Electrical Traction Irregularity	PE14.	Person / Train Interface	PE16.	Incident Directly Threatening Safety	Conditional. Either one item from the PE list or one item from the list 1-3 must be provided. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-3).
PE1.	Collision / Near Hit Collision																										
PE2.	Derailment																										
PE3.	Wrong Side Failure																										
PE6.	Fire, Explosion, Dangerous Goods																										
PE7.	Network Rule or Procedure Breach																										
PE8.	Load Irregularity																										
PE9.	Rolling Stock Irregularity																										
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PE12.	Civil Infrastructure Irregularity																										
PE13.	Electrical Traction Irregularity																										
PE14.	Person / Train Interface																										
PE16.	Incident Directly Threatening Safety																										

4.16 Incident Directly Threatening Safety

Data Item ID	Data Item	Format	Description
F1	Train Details	1. Train ID (alphanumeric) 2. <u>Train Type</u> (single selection) 4. <u>Consequence (Damage)</u> 6. <u>Service Status</u> 7. <u>Driver Only Operation</u>	Conditional. Provide the details if a train was involved in the incident. F1-1 Train ID not required if F1-2 Train Type is Rolling Stock. F1-6 only required if F1-2 Train Type is

Data Item ID	Data Item	Format		Description
				Passenger Train or Light Rail Vehicle.
L1	Consequence (Persons)	Multiple Selection and Input 1. <u>Person Type</u> 2. <u>Injury Severity</u>		Conditional. Only required if a person was injured. Select the person type and provide the count of minor injury, serious injury or fatalities for each of the relevant person types.
H1	Consequence (Rail Infrastructure)	Single Selection 1. Minor damage 2. Significant damage		Conditional. Only required if there was damage to rail infrastructure.
LC	Precursor Event/Likely Cause	PE1. Collision / Near Hit Collision PE2. Derailment PE3. Wrong Side Failure PE4. Proceed Authority Exceeded PE5. Runaway PE6. Fire, Explosion, Dangerous Goods PE7. Network Rule or Procedure Breach PE8. Load Irregularity PE9. Rolling Stock Irregularity PE10. Level Crossing Irregularity PE11. Track Irregularity PE12. Civil Infrastructure Irregularity PE13. Electrical Traction Irregularity PE14. Person / Train Interface PE15. Fatality / Serious Injury	1. Sabotage and security event 2. Cyber security 3. Rail safety worker incapacitation 4. Detraining passengers into uncontrolled environment 5. Train exceeding permitted speed limit 6. Other event (Free Text)	Conditional. Either one item from the PE list or one item from the list 1-6 must be provided. Provide any precursor event from the PE list and/or any applicable likely cause (item 1-6).

Data Item ID	Data Item	Format		Description
CE	Consequence Event	CE1. CE2. CE3. CE4. CE5. CE6. CE7. CE8. CE9. CE10. CE11. CE12. CE13. CE14.	Collision / Near Hit Collision Derailment Wrong Side Failure Proceed Authority Exceeded Runaway Fire, Explosion, Dangerous Goods Network Rule or Procedure Breach Load Irregularity Rolling Stock Irregularity Level Crossing Irregularity Track Irregularity Civil Infrastructure Irregularity Electrical Traction Irregularity Person / Train Interface	Conditional. Only required if the incident resulted in a consequence event.

5 Category C – Annual Data Submission Requirements

Category C occurrence data must be submitted annually for the reporting period as agreed with the Regulator. The data must be submitted in form of counts by month for each of the occurrence types as outlined in the tables below.

1. Collision (including Near Hit Collision)	
Collision with vehicle not at a level crossing.	Rolling Stock Operator
Collision with an animal resulting in significant damage.	Rolling Stock Operator
Near hit with a vehicle not at a level crossing.	Rolling Stock Operator
Near hit with a person not at a level crossing.	Rolling Stock Operator

4. Proceed Authority Exceeded (including SPAD)	
Where the rear portion of an otherwise stationary train (excluding a light rail vehicle) rolls back.	Rolling Stock Operator
Proceed authority within a yard and the train has remained within the yard.	Rolling Stock Operator
Light rail proceed authority exceedance.	Rolling Stock Operator

5. Runaway	
Runaway within a yard less than 10m.	Rolling Stock Operator

7. Network Rule or Procedure Breach	
Breaches of work scheduling practices and procedures.	Rolling Stock Operator Rail Infrastructure Manager

8. Load Irregularity	
Open doors, hatches, gate and curtains.	Rolling Stock Operator
Ineffective/loose load restraints	Rolling Stock Operator
Uneven distribution of load.	Rolling Stock Operator
Underloading or overloading beyond safety tolerances.	Rolling Stock Operator
Empty wagon in consist.	Rolling Stock Operator
Load shift	Rolling Stock Operator

9. Rolling Stock Irregularity	
Wayside monitoring equipment failures.	Rail Infrastructure Manager
Onboard monitoring equipment failures.	Rolling Stock Operator
Administrative failures that allowed defective rolling stock to be in service.	Rolling Stock Operator

10. Level Crossing Irregularity	
Partial operation of visual/audible warning devices.	Rail Infrastructure Manager
Partial operation of boom barriers.	Rail Infrastructure Manager
Locking on pedestrian gates failing to fully engage when closed	Rail Infrastructure Manager
Missing/damaged control signs and devices at a passive level crossing.	Rail Infrastructure Manager

11. Track Irregularity	
Broken rail (including fish plates) detected during maintenance/inspection.	Rail Infrastructure Manager
Rail defects detected during maintenance/inspection.	Rail Infrastructure Manager
Horizontal/vertical misalignment detected during maintenance/inspection.	Rail Infrastructure Manager
Track gauge (spread/tight track) detected during maintenance/inspection.	Rail Infrastructure Manager
Points irregularity detected during maintenance/inspection.	Rail Infrastructure Manager

12. Civil Infrastructure Irregularity	
Bridge strike by road vehicle.	Rail Infrastructure Manager
Embankment failures and significant track obstruction.	Rail Infrastructure Manager
Structural defects of viaducts, bridges, tunnels and station infrastructure.	Rail Infrastructure Manager
Scaffolding collapses	Rail Infrastructure Manager

13. Electrical Traction Irregularity	
De-wirement or entanglement of overhead wiring.	Rail Infrastructure Manager
Failure of the overhead wiring.	Rail Infrastructure Manager
Traction equipment faults	Rail Infrastructure Manager

14. Person / Train Interface	
Defective rolling stock passenger doors and inter-carriage doors.	Rolling Stock Operator
Door incorrectly opened on the wrong side of the train.	Rolling Stock Operator
Door incorrectly opened when the train is not at or not completely at the platform.	Rolling Stock Operator
Platform screen doors opened without the presence of a train.	Rail Infrastructure Manager
Emergency door release not functioning.	Rolling Stock Operator
Persons falling whilst boarding and alighting from trains resulting in minor or no injury.	Rolling Stock Operator
Persons falling from the platform onto the track resulting in minor or no injury.	Rail Infrastructure Manager
Persons falling between rolling stock and the platform resulting in minor or no injury.	Rolling Stock Operator