

ONRSR Guideline

Notifiable Occurrence Reporting Requirements

Document Control	
Document ID:	ONRSR-892136080-279
Version number:	3.02.0
Approved by:	Chief Executive
Date approved:	10 January 2022

Office of the National Rail Safety Regulator
Level 1, 75 Hindmarsh Square, Adelaide SA 5000
PO Box 3461, Rundle Mall, Adelaide SA 5000
Phone: 08 8406 1500
Fax: 08 8406 1501

E: contact@onrsr.com.au

W: www.onrsr.com.au



www.twitter.com/ONRSRAustralia

Copyright information

© Office of the National Rail Safety Regulator 2022. This material may be reproduced in whole or in part, provided the meaning is unchanged and the source is acknowledged

Table of contents

Purpose	4
Notifiable occurrences	4
Reporting requirements	4
Initial report to ONRSR - Category A and B occurrences	5
Notifiable occurrence type descriptions	6
Occurrence Type: 1. Collision (including Near Hit Collision)	7
Occurrence Type: 2. Derailment	9
Occurrence Type: 3. Wrong Side Failure	10
Occurrence Type: 4. Proceed Authority Exceeded (including SPAD's)	11
Occurrence Type: 5. Runaway	13
Occurrence Type: 6. Fire, Explosion or Dangerous Goods Spill	14
Occurrence Type: 7. Network Rule or Procedure Breach	15
Occurrence Type: 8. Load Irregularity	16
Occurrence Type: 9. Rolling Stock Irregularity (including Monitoring Systems)	17
Occurrence Type: 10. Level Crossing Irregularity	191918
Occurrence Type: 11. Track Irregularity	202019
Occurrence Type: 12. Civil Infrastructure Irregularity	212120
Occurrence Type: 13. Electrical Traction Irregularity	222221
Occurrence Type: 14. Person / Train Interface	232322
Occurrence Type: 15. Fatality or Serious Injury	252524
Occurrence Type: 16. Incident Directly Threatening Safety	262625

Purpose

This document sets out the requirements for the reporting of notifiable occurrences, as required by s121 of the *Rail Safety National Law (RSNL)*. Rail transport operators are required to report to ONRSR all notifiable occurrences that occur on, or in relation to, their railway premises or railway operations.

The reporting requirements detailed herein are solely for the purpose of meeting the notifiable occurrence reporting requirements of the RSNL and, consequently, the *Transport Safety Investigation Act 2003*. They in no way limit or change a rail transport operator's responsibility to comply with other legislative reporting requirements, for example under Workplace Health and Safety or Environmental Protection legislation.

This document is part of the *National Rail Safety Data Scheme*.

Notifiable occurrences

A notifiable occurrence is defined under s4 of the RSNL as an accident or incident associated with railway operations that:

- > has, or could have, caused significant property damage, serious injury or death; or
- > is, or is of a class that is, prescribed in Regulation 57 (and Schedule 1A) of the *Rail Safety National Law National Regulations 2012* (the Regulations), which sets out the class (type) of notifiable occurrences that must be reported as Category A, B or C occurrences.

This document, along with the notifiable occurrence function of the ONRSR Portal, complements the Regulations by setting out the Regulator's requirements for the information, manner and form for the reporting of notifiable occurrence under Regulation 57(4) of the Regulations.

A definition for other terms used in this document are set out in the *ONRSR Business Glossary*.

Reporting requirements

Category A notifiable occurrences must be reported by rail transport operators to ONRSR by phone immediately on becoming aware of the occurrence, providing the information set out in the *Initial report to ONRSR* section of this document.

Operators then have 7 days in which to complete a data submission task to provide all the required details of the occurrence through the ONRSR Portal, refer to the *Notifiable Occurrence Data Submission Requirements* document.

Category B notifiable occurrences must be reported by rail transport operators to ONRSR via the ONRSR Portal within 72 hours of becoming aware of the occurrence, providing as a minimum the information set out in the *Initial report to ONRSR* section of this document.

Operators then have 14 days in which to complete a data submission task to provide all the required details of the occurrence through the ONRSR Portal, refer to the *Notifiable Occurrence Data Submission Requirements* document. The initial report and data submission information can be completed at the same time.

Category C notifiable occurrences do not need to be reported to the Regulator at the time of occurrence, but the data submission task for these occurrences must be completed prior to the due date for the operator's Safety Performance Report, unless the Regulator has imposed a different reporting requirement under Regulation 57(3b)(b). The information required to be submitted annually is defined in the *Notifiable Occurrence Data Submission Requirements* document.

Initial report to ONRSR - Category A and B occurrences

Category A and B occurrences must be reported to ONRSR within the timeframes, in the manner and must contain the information described in the following:

	Reporting timeframe	Required information	
Category A	Immediately following the occurrence by phone call. 1800 430 888	Occurrence Type	Selected from the Category A or B Occurrence Types.
		Notifying Operator	The organisation making notification of the occurrence to the Regulator.
		Person Reporting	Name, title and contact details of the person making the report.
		Date & Time	The local date and time of the occurrence.
		Location	Description of the occurrence location in terms of: <ul style="list-style-type: none"> > State/Territory > Line section and associated kilometre point > Specific location (e.g. a yard, level crossing or station) > Location name
Category B	Within 72 hours of the occurrence by submission through the ONRSR Portal. www.onrsr.com.au	Operator's ID	The reporter's occurrence reference number (if known at the time of reporting or updated via the ONRSR Portal).
		Operator(s) Involved	The rail transport operators that are involved in or impacted by the occurrence.
		Description	Description of the occurrence, which includes: <ul style="list-style-type: none"> > The train(s) or other rolling stock involved > the circumstances > extent of damage/disruption > casualty information > events or circumstances leading up to and as a result of the occurrence (as known at the time of reporting).

The initial report information is used by ONRSR to assess the seriousness of the occurrence and determine what, if any, regulatory response or action should be taken, which may include the initiation of drug and alcohol testing of involved rail safety workers, possible site attendance by rail safety officers or follow-up enquiries.

The information is also forwarded by ONRSR to the Australian Transport Safety Bureau (ATSB) to meet the *Transport Safety Investigation Act 2003* requirements for the reporting of immediately reportable and routine reportable matters and enable the ATSB to initiate any investigative response.

Notifiable occurrence type descriptions

The following pages set out the notifiable occurrence types, providing a description of the nature of occurrences that need to be reported as a Category A, B or C or are not required to be reported.

Questions & Answers

What if the occurrence could fit under more than one occurrence type?

At the time of making the initial report of a Category A or B occurrence it does not matter which occurrence type is selected to describe the occurrence as operators are asked to provide a description of the occurrence, which will give the broader scope to what has happened. If the detail in the following descriptions suggests the occurrence could be reported as a collision or derailment, regardless of what is chosen, the information provided to ONRSR would be along the lines of, “a collision has resulted in a derailment.”

When making the data submission of the occurrence to complete the required information, the ONRSR Portal will prompt for precursor and consequence events to build the sequence of the occurrence.

What if my occurrence could be a Category A or B occurrence?

The occurrence must be reported against the more urgent reporting category.

Occurrence Type: 1. Collision (including Near Hit Collision)

Description: A collision is an incident where moving rolling stock unintentionally strikes other rolling stock, a person, a vehicle, rail infrastructure or an object; or where rolling stock is struck by a vehicle.

Near hit means it was only narrowly avoided and there was a high chance of collision if circumstances were slightly different or without the driver or other person/s taking emergency action.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

A collision between a train and:

- a person that results in a serious injury or fatality – including self-harm incidents; or
- a rail safety worker; or
- a vehicle at a level crossing; or
- a vehicle that results in a serious injury or fatality; or
- another train on the running line.

A collision resulting in significant damage or serious injury/fatality between a train and:

- a train; or
- rolling stock; or
- plant/machinery within a rail worksite; or
- rail infrastructure.

A near hit collision between a train and a rail safety worker.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

A collision between a train and person other than a rail safety worker that does not result in a serious injury or fatality.

A near hit collision between a train and a person or vehicle at a level crossing.

A near hit collision or a collision (not being Category A) between a train and:

- a train; or
- rolling stock; or
- plant/machinery within a rail worksite; or
- rail infrastructure.

Incident specific information must be submitted for these *occurrences* as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

All other collisions or near hit collisions that are not Category A or B.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Collisions or a near hit with animals that result in minor damage or no damage.

Collisions or near hit with objects that result in ~~minor or~~ no damage.

Near hit collisions between light rail vehicle and a pedestrian or vehicle that occurs in an open access light rail corridor (e.g. not at a level crossing or rail only corridor) during normal operations (e.g. not associated with a safe working breach or exceeding a proceed authority).

Mirror to mirror collisions between two light rail vehicles.

Self-propelled maintenance vehicle in working mode colliding with infrastructure.

Occurrence Type: 2. Derailment

Description: A derailment is an incident where at least one rolling stock wheel leaves the rail whilst the rolling stock is in motion or where the wheel of stationary rolling stock leave the rail as a result of a collision.
It includes incidents where, following the derailment, the wheel re-rails itself.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

A derailment that has:

- resulted in a single rolling stock unit derailed and resulted in significant damage; or
- resulted in multiple rolling stock units derailed; or
- involved passenger rolling stock in service; or
- occurred in proximity to persons and the nature of the derailment placed them at risk of injury from the rolling stock or derailment related debris.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

All other derailments that are not reportable as a Category A derailment.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

All derailments are reportable as a Category A or B occurrence.

Exclusions – Not reportable

Derailments where only the wheel flange runs on the head of the rail and then re-rails itself.
Wheels lifted off the rail during unloading that are detected and re-railed.
Self-propelled maintenance units in working mode.

Occurrence Type: 3. Wrong Side Failure

Description: A wrong-side failure is a failure condition of an integrated engineered system designed to fail-to-safe principle that results in that system to fail to an unsafe state.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

An occurrence of a safety critical integrated engineered system that has failed, or is suspected to have failed, in an unsafe way (not in accordance with its design principles), including:

- active level crossings; or
- signalling systems; or
- authority management systems; or
- rolling stock interlocking systems; or
- train protection systems; or
- electrical traction systems (e.g. fail to trip); or
- loss of train detection resulting in a level crossing activating late or restoring early.

Total failures of level crossing warning lights and/or booms are considered wrong side failures

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

All wrong side failures are reportable as a Category A.

Category C – Annual data submission only

All wrong side failures are reportable as a Category A.

Exclusions – Not reportable

An occurrence of a safety critical system that has failed to a safe state.

Indication faults on train control systems.

Occurrence Type: 4. Proceed Authority Exceeded (including SPAD's)

Description: A proceed authority exceedance is when a train exceeds the limit of authority, a train proceeds without a proceed authority or proceeds whilst a restraint authority is in place.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

A train (except a light rail vehicle) has exceeded a limit of a proceed authority or proceeded without proceed authority on or onto a running line due to:

- the driver completely missing the limit of authority; or
- that resulted in the train entering an occupied section of track or in conflict with another train movement.

A train (including a light rail vehicle) has exceeded a limit of a proceed authority or proceeded without proceed authority on or onto a running line that resulted in the train:

- entering a work site; or
- entering an active level crossing without warning devices activating.

A train (including a light rail vehicle) proceeds whilst a restraint authority is in place.

Additional light rail vehicle occurrences as required by the Regulator under s121(3).

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

Incidents where a train (except a light rail vehicle) has exceeded a limit of a proceed authority or proceeded without proceed authority on or onto a running line other than roll back.

A light rail vehicle has exceeded a limit of a proceed authority or proceeded without proceed authority that resulted in near hit.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

A train (including a light rail vehicle) that has exceeded a limit of a proceed authority or proceeded without authority:

- where the rear portion of an otherwise stationary train (excluding a light rail vehicle) rolls back, resulting in part of the rear vehicle re-occupying a section; or
- within a yard and the train has remained in the yard; or
- all other exceed authority not categorised as a Cat A or B.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

A driver is given a correct and valid proceed authority to move past the limit of authority (e.g. to pass a signal displaying a danger aspect).

A light rail vehicle driver is given a direction from an emergency services officer to proceed.

DRAFT

Occurrence Type: 5. Runaway

Description: A movement of rolling stock or a train without a person or autonomous control system controlling the movement or a movement of a train where the person or autonomous control system in control of the train loses control.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

A runaway of a train or rolling stock on or onto the running line.

A runaway in a yard that occurred in proximity to people and the nature of the runaway placed them at risk of injury from the train or rolling stock.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

All other runways within a yard greater than 10 metres.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

All other runways within a yard less than 10 metres.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

This section is intentionally left blank.

Occurrence Type: 6. Fire, Explosion or Dangerous Goods Spill

Description: Any

- fire, including the generation of heat or smoke without visible flames; or
- explosion, including an implosion; or
- loss of containment of dangerous goods

associated with or impacting railway operations.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

A fire, explosion or dangerous goods spill that directly threatens the safety of people.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

A fire, explosion or dangerous goods spill that does not threaten the safety of people, including:

- a fire on an unoccupied locomotive or in an unoccupied driving cab;
- a lineside fire that has been started by a train;
- a fire that resulted in damage to infrastructure or rolling stock.

Any dangerous goods spill event that resulted in damage to infrastructure or rolling stock.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

All fires, explosions and dangerous goods spills are reportable as a Category A or B occurrence.

Exclusions – Not reportable

Lineside fires not caused by or impacting railway operations.

Minor fuel spills from refrigerated containers and wagons.

Minor fires caused by vandalism that self-extinguished and did not cause significant damage.

Dangerous goods spill that did not result in damage or threaten the safety of people.

Occurrence Type: 7. Network Rule or Procedure Breach

Description: A failure, breach or omission of a rule, process or procedure used for the safe operation of trains and the protection of people and property.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

Failure, breach or omission of a rule, process or procedure that results in an immediate and/or direct threat to the safety of people or railway operations, including:

- failure to keep a safe separation of trains and other trains, people or machinery, for example - incorrect proceed authority issued or incorrect protection arrangements put in place;
- workers on track without authority;
- failure to protect people working near electrical infrastructure including trains being routed into de-energised or isolated sections;
- workers near electrical infrastructure without authority.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

Failure, breach or omission of a rule, process or procedure (with examples the same as listed above for Category A) that does not present an immediate and/or direct threat to the safety of people or railway operations.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Breaches of work scheduling practices and procedures documented within a rail transport operator's fatigue risk management program.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Failure, breach or omission of a rule, process or procedure that presents no threat to the safety of people or railway operations.

Occurrence Type: 8. Load Irregularity

Description: A incident where rolling stock has been incorrectly loaded or a load has shifted or is lost and has threatened safety.

Reported by: Rolling Stock Operators

Category A – Report immediately

Load irregularities that result in an immediate and/or direct threat to the safety of people or railway operations, including:

- load that has shifted and breached the maximum kinematic rolling stock outline;
- load that has been lost during transit on a running line.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

This section is intentionally left blank.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Load irregularities that do not present an immediate and/or direct threat to the safety of people or railway operations' including:

- open doors, hatches, gates, curtains or ineffective/loose load restraints that could or did result in the loss of load or a collision;
- uneven distribution of load, underloading or overloading beyond safety tolerances, for example empty wagon in the consist.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Minor spills/loss of load from bulk commodity wagons.

Minor fuel spills from refrigerated containers and wagons.

Load irregularities that have been identified and corrected at the originating loading point before the train left.

Occurrence Type: 9. Rolling Stock Irregularity (including Monitoring Systems)

Description: A failure of a rolling stock element or system that threatens the safety of people or railway operations.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

Rolling stock irregularities that result in an immediate and/or direct threat to the safety of people or railway operations, including but not limited to:

- complete bearing failure;
- broken axles or wheels;
- train partings that did not apply the brakes.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

Rolling stock irregularities that did not result in an immediate and/or direct threat to the safety of people or railway operations, but did require operating restrictions to be applied, including but not limited to:

- non-critical failure of vehicle structural integrity;
- non-critical reduction in braking performance;
- failures that require the isolation of vigilance or on-board train protection systems;
- draw gear or coupler failures;
- dragging equipment.

Train partings.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Failure of systems and processes designed to identify and manage rolling stock irregularities, including:

- wayside monitoring equipment failures;
- administrative failures that allowed defective rolling stock to remain in service.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Excludes rolling stock irregularities faults that are detected and addressed through routine inspection, servicing and maintenance.

DRAFT

Occurrence Type: 10. Level Crossing Irregularity

Description: A failure of level crossing equipment that results in the intended level of protection not being fully provided prior to or during the passage, or potential passage, of a train.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

Note: Any significant integrated engineering failure of a level crossing (for example, a train passes through an active level crossing without the warning equipment operating) is reportable as a Category A occurrence as a wrong side failure.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

This section is intentionally left blank.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Failure of level crossing equipment that results in the intended level of protection not being fully provided prior to or during the passage of a train, including:

- partial operation of active warning devices, e.g. not all warning lights operating;
- boom barriers not completely lowering or are slow to lower for the passage of a train;
- locking on pedestrian gates failing to fully engage when closed (including emergency escape gates); or
- missing or damaged control signs and devices at a passive level crossing.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Excludes damaged road surface.

Occurrence Type: 11. Track Irregularity

Description: Defects in the track that require an operational restriction (such as a speed restriction, axle load restriction, track closure) to be applied.

Reported by: Rail Infrastructure Managers for all Track Irregularity events and Rolling Stock Operators for Category A events only.

Category A – Report immediately

Track irregularities that result in an immediate and/or direct threat to the safety of people or railway operations, including:

- trains traversing an undetected track defect resulting in a near derailment or injuring the train crew and/or passengers.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

Track irregularities that are detected outside of track maintenance or inspection activities and require an operational restriction being imposed, including:

- broken rail (including fish plates)
- rail defects
- track defects involving horizontal alignment
- track defects involving vertical alignment
- spread track
- points irregularity (damage presenting a threat to railway operations)

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Track irregularities that are detected during track maintenance or inspection activity and require an operational restriction being imposed including:

- broken rail (including fish plates)
- rail defects
- track defects involving horizontal alignment
- track defects involving vertical alignment
- spread track
- points irregularity (damage presenting a threat to railway operations)

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Points losing position detection.

Occurrence Type: 12. Civil Infrastructure Irregularity

Description: Civil infrastructure irregularities that impact railway operations.

Reported by: Rail Infrastructure Managers

Category A – Report immediately

Civil infrastructure irregularities that result in an immediate and/or direct threat to the safety of people or railway operations, including:

- bridge or tunnel collapse.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

This section is intentionally left blank.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Civil infrastructure irregularities that did not present an immediate and/or direct threat to the safety people and/or railway operations, including:

- bridge strikes by road vehicles;
- significant track obstructions (e.g. landslide, rock fall, fallen trees, floodwater, infrastructure);
- embankment failures;
- structural defects of viaducts, bridges, tunnels, station infrastructure, including objects falling from tunnel or station ceiling;
- scaffolding collapses.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Signs/signals missing or obstructed.

Occurrence Type: 13. Electrical Traction Irregularity

Description: Electrical traction irregularities that impact railway operations.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

Electrical traction irregularities that result in an immediate and/or direct threat to the safety of people or railway operations, including:

- overhead wires falling onto platforms and/or nearly hitting people;
- failures that could result in the electrocution of people.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

This section is intentionally left blank.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Electrical traction irregularities that did not present an immediate and/or direct threat to the safety people and/or railway operations, including:

- de-wirement or entanglement of overhead wiring;
- failure of the overhead wiring;
- traction equipment faults.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Electrical irregularities that are detected and addressed through routine inspection, servicing and maintenance.

De-wirement of trolley poles for Tourist & Heritage operators.

Objects entangled in overhead wiring.

Occurrence Type: 14. Person / Train Interface

Description: An incident involving a person at the direct interface point with trains irrespective of the presence of a train, that resulted in a risk to safety.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

A train passenger door or platform screen door was open while the train is in motion.

A person caught in a train passenger door and the train started moving.

An incident involving a platform screen door that has resulted in

- a person being caught and exposed to a moving train; or
- a person being caught between the train and the platform screen door.

Slips, trips and falls at the person / train interface that result in serious injury or fatality, including:

- persons falling boarding or alighting from trains;
- persons falling from the platform onto the track;
- persons falling between a train and the platform.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

This section is intentionally left blank.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

Passenger door failures or incidents involving train passenger doors or platform screen doors that presents a risk to safety of passengers, including:

- defective train passenger doors and inter-carriage doors;
- door incorrectly opened on ~~released~~ n on the ~~incorrect~~ ~~wrong~~ ~~wrong~~ side of the train or when the train is not at or not completely at the platform;
- platform screen doors opened without the presence of a train;
- emergency door release not functioning;
- other system failures.

Slips, trips and falls at the person / train interface that do not result in serious injury or fatality, including:

- persons falling boarding or alighting from trains;
- persons falling from the platform onto the track;
- persons falling between a train and the platform.

Data must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* by the annual submission date.

Exclusions – Not reportable

Excludes slips trips and falls that occur on railway premises not directly associated with train movement or interaction, for example:

- on a concourse;
- at the ticket barriers/gates;
- on stairs and escalators not on rolling stock.

Excludes slips trips and falls that occur within a train that does not result in a serious injury or fatality. (Note that should a fall within rolling stock result in a serious injury or fatality then it is reportable as a Category A under *Fatality or Serious Injury*)

Excludes train doors that remain open whilst the train is in motion to facilitate operational practices for onboard staff.

Excludes persons falling from light rail stops onto the track.

Excludes train doors on tourist and heritage trains that are manually opened by passengers while the train is in motion, but the situation is speedily rectified or managed by on-board staff.

Occurrence Type: 15. Fatality or Serious Injury

Description: An incident resulting in a fatality or serious injury to a person as a result from or associated with railway operations.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

Any incident (not elsewhere reportable as a Category A), including self-harm events that resulted in a fatality or serious injury to a person as a result from or associated with railway operations.
Any incident of a fatality or serious injury to a rail safety worker whilst performing rail safety work.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

Any road vehicle incident resulting in a serious injury or fatality of train crew, on roster while in transit to or from a service

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 14 days of the occurrence.

Category C – Annual data submission only

All fatalities and serious injuries are reportable as a Category A or B occurrence.

Exclusions – Not reportable

Fatalities or serious injuries (to members of the public, passengers and trespassers) as a result of slip, trips or falls on railway premises, not directly associated with railway operation.

Excludes slips trips and falls that occur on railway premises not directly associated with train movement or interaction, for example:

- on a concourse;
- at the ticket barriers/gates;
- on stairs and escalators not on rolling stock.

Occurrence Type: 16. Incident Directly Threatening Safety

Description: An incident where death, serious injury or significant damage was only narrowly avoided by chance or that resulted in emergency evacuation to protect public safety.

Reported by: Rail Infrastructure Managers and Rolling Stock Operators

Category A – Report immediately

Any rail safety incident (not elsewhere reportable as a Category A) directly threatening safety of people or railway operations.

Some examples may include, but are not limited to:

- sabotage or cyber security event that threatened the safety of people or railway operations; or
- an event resulting in an emergency evacuation to protect public safety; or
- sudden incapacity of a rail safety worker performing safety critical task or function; or
- detraining of passengers into an uncontrolled environment; or
- trains significantly exceeding the permitted speed limit.

Incident specific information must be submitted for these occurrences as described in the *National Rail Occurrence Data Submission Requirements* within 7 days of the occurrence.

Category B – Report within 72 hours

This section is intentionally left blank.

Category C – Annual data submission only

This section is intentionally left blank.

Exclusions – Not reportable

This section is intentionally left blank.