

# OCCURRENCE NOTIFICATION AT A GLANCE

This is a general guide on the information to be supplied for an Occurrence Notification within NSW. It is based on the 2008 revised version of the national specification for occurrence notification (ON-SI) and the associated guideline for occurrence classification (OC-GI). This guide is not exhaustive and users should refer to the source documents (**visit [www.rsrp.asn.au](http://www.rsrp.asn.au)**) and the ITSRR website (**[www.transportregulator.nsw.gov.au](http://www.transportregulator.nsw.gov.au)**) for detailed instructions on the specific information to be provided and the manner of notification.

## 1. FOR EACH OCCURRENCE PROVIDE

WHO	NOTIFYING ORGANISATION	• Name of the rail organisation reporting the occurrence
	RAIL INFRASTRUCTURE MANAGER	• Name of the organisation who has effective control of the railway infrastructure on which the occurrence took place
	ROLLING STOCK OPERATOR(S)	• Name of each rolling stock operator involved in the occurrence
WHERE	LOCATION NAME	• Name of the nearest recognised location to the occurrence (e.g. Grafton)
	LOCATION DESCRIPTION	• Description of the exact location of the occurrence (e.g. fuel point 100m north of platform)
	LINE SECTION IDENTIFIER	• Code or name (point to point, e.g. Maitland to Telarah) for the relevant section of track
	LINE TYPE	• Running line or yard (a line other than a running line)
	RUNNING KILOMETRAGE	• Kilometre marker for the occurrence location (i.e. distance in kilometres from a set point). For yard occurrences, the kilometre marker for adjacent running line may be reported
WHEN	DATE OF OCCURRENCE	• Expressed in day/month/year format (e.g. 23/09/2007)
	TIME OF OCCURRENCE	• Expressed in 24 hour clock format (e.g. 17:55)



WHAT	TRAIN CONTROL REPORT NUMBER/CODE	• Reference issued by a train control authority to uniquely identify the occurrence
	INCIDENT NUMBER/CODE	• Reference used by the notifying organisation to uniquely identify the occurrence within their own recording system
	NOTIFICATION CATEGORY	• Category A or Category B
	OCCURRENCE CLASSIFICATION	• Full occurrence category title in accordance with the national Occurrence Classification Guideline (OC-GI, 2008) (e.g. slip, trip or fall - on train)
	DESCRIPTION OF OCCURRENCE	• Clear and complete description of the circumstances and outcomes of the occurrence including the chain of events leading to and following the occurrence and any relevant parties, equipment, materials and systems involved. <b>Note:</b> additional information is to be supplied for specific types of occurrences (as detailed at 2.)
	DESCRIPTION OF CAUSES/ CONTRIBUTING FACTORS	• Description of any factors that may have contributed to the occurrence and any other qualifying information which is available at the time of notification
	LIKELY INVOLVEMENT OF EXTERNAL PARTIES	• Indication of whether the occurrence was the result of a malicious act by a third party. Either yes or no
	TRAIN INFORMATION (not required where a train is not involved in the occurrence e.g. slip, trip or fall on escalator)	• Train number • Train type: urban passenger; non urban passenger; tourist and heritage; tram; freight; track maintenance; other (describe) • Traction type: electric; diesel; steam; other (describe) • Rolling stock class: class code (e.g. RCCX) and description

## 2. FOR EACH SPECIFIC EVENT RELEVANT TO THE OCCURRENCE, ALSO PROVIDE:

DERAILMENT	• Description of: number of items of rolling stock derailed; direction of travel; operational status of all affected lines (e.g. normal rail traffic, under possession); equipment involved (i.e. rail, level crossing, brakes, bridge, rocks etc.)
COLLISION	• Description of: objects involved and nature of collision (i.e. what struck what); operational status of line (e.g. normal rail traffic, possession); danger posed (if damage not sustained); direction of travel of vehicles; relevant signal indications; point settings
SLIP TRIP OR FALL	• Description of: specific circumstances of the fall including origin and end point of fall (e.g. "from platform to track"); related train movements and equipment, involvement of other parties
FIRE AND EXPLOSION	• Description of: situation (e.g. "on train"); infrastructure or rolling stock involved; specific area or point of fire including adjacent property; evidence for fire (e.g. smoke versus flame); source or cause of ignition; actions to make scene safe
SUSPECTED / ATTEMPTED SUICIDE	• Description of: means of suicide; any evidence to support determination of suicide; details of any railway operations directly involved • If at level crossing: provide occurrence information for level crossing
LEVEL CROSSING	• Description of: type of occurrence (i.e. collision, near miss, equipment fault, damage and associated details); actions taken by relevant parties (e.g. train driver, road vehicle, pedestrian); road vehicle description (e.g. colour, type, registration); road accessible to public or not • Level crossing identifier: either the number/code that uniquely identifies the crossing OR running kilometrage and location and road/street name (where relevant) • Control type: active lights only; active lights and booms; passive stop signs; passive give way signs; none • Road vehicle type: light passenger vehicle; heavy freight vehicle; dangerous goods vehicle; bus; motorcycle; bicycle; other (description to be provided)
SIGNAL PASSED AT DANGER	• Nature of the SPAD (e.g. crew/train performance, RIFOD, runaway) • Description of: action, or absence of action, taken by the driver (e.g. completely missed signal, misjudged signal, started against signal); any external intervention to halt train • ATP or train stop activated? Yes or no • Signal number • Overrun distance (metres)
PROCEED AUTHORITY EXCEEDED	• Description of: nature of exceedance (e.g. crew/train related, runaway); relevant action, or absence of action, taken by the driver (e.g. completely missed limit, misjudged limit, started against signal); any external intervention to halt train (e.g. communication to driver) • Overrun distance (metres)
SIGNALING / PROCEED AUTHORITY SYSTEMS IRREGULARITY	• Description of: the type of train control system in place; the equipment or system that fails; the circumstances of the failure • If relevant: signal number; perway switch/points number



RUNAWAY	• Description of: train or rolling stock involved; the extent (e.g. distance travelled); action/s taken to manage the runaway
LOAD IRREGULARITY	• Description of: type of rolling stock; type of load and nature of irregularity (e.g. door open, load shift); chain of events from loading to the detection of the irregularity; consequences (e.g. out of gauge load, load lost) • If involving dangerous goods: Australian dangerous goods class; name/description
DANGEROUS GOODS	• Description of: situation (on or off train); events from loading to detection of the occurrence; type of containers, vessels etc. • Australian dangerous goods class; name/description
SAFE WORKING RULE OR PROCEDURE BREACH	• Description of: circumstances of the rule breach/deficiency; events leading to and following the breach; whether the train control system was fully functional or in a degraded mode • Type of train control system in force (e.g. wayside signalling, electric staff, train orders, staff and ticket, yard rules) • If relevant: type of track work protection in force (LPA, TOA, TWA, CSB, NAR) • Procedure or rule breached
TRACK AND CIVIL INFRASTRUCTURE IRREGULARITY	• Description of: type of infrastructure element involved and the specific components (e.g. rail, sleeper, supporting structure, tunnel, signal, OHW, stanchion etc.); the nature of the irregularity (e.g. third party damage, inherent defect); severity of irregularity (e.g. crack, break); means of detection; nature of the obstruction; remedial actions (to manage the irregularity) • If relevant: signal number; perway switch/points number
ROLLING STOCK IRREGULARITY	• Description of: type of rolling stock involved and the specific components; the nature of the irregularity (e.g. third party damage, inherent defect); severity of irregularity (e.g. crack, break); means of detection; remedial actions to manage the irregularity
ELECTRICAL INFRASTRUCTURE IRREGULARITY	• Description of: type of infrastructure involved (e.g. OHW, substation, transmission line) and the specific components; the nature of the irregularity (e.g. third party damage, inherent defect); severity of irregularity (e.g. power loss, exposed wiring); means of detection; remedial actions (to manage the irregularity)
ALCOHOL/DRUGS IRREGULARITY	• Description of: worker occupation; test date, time and location; reason for test; type of test (including refusal); test results
TRAIN WARNING & ENFORCEMENT SYSTEM IRREGULARITY	• Description of: type of system including relevant identifiers; nature of the irregularity; train operations at time of occurrence
COMMUNICATION SYSTEMS FAILURE	• Description of: type of system including relevant identifiers; nature of failure; train operations at time of occurrence; actions to address
RAILWAY NETWORK SECURITY	• Description of: type of occurrence (e.g. trespass, near miss); situation (e.g. on train, in yard, in station); parties involved (e.g. number, behaviour, description); materials involved (e.g. equipment stolen, object thrown); supporting information in relation to intent; action taken by staff

## 3. CONSEQUENCES

### a. IF THERE IS AN INJURY ASSOCIATED WITH THE OCCURRENCE, PROVIDE FOR EACH INJURED PERSON:

PERSON TYPE	• The relationship of the injured person to the railway at the time of the occurrence. Choose: railway staff; contractor; volunteer; passenger; public; trespasser
INJURY SEVERITY	• Choose: fatality, serious injury, minor injury
GENDER	• Choose: male, female or unknown
AGE CLASS	• Estimate within the following ranges, 0-5, 6-15, 16-24, 25-39, 40-59, 60+, unknown

### b. IF THERE IS PROPERTY DAMAGE ASSOCIATED WITH THE OCCURRENCE, PROVIDE FOR EACH ITEM OF PROPERTY:

PROPERTY DESCRIPTION	• Description of: rolling stock; railway infrastructure; other property damaged
DAMAGE DESCRIPTION	• Description of: mechanism; nature; extent of damage sustained

## 4. IF DRUG AND/OR ALCOHOL TESTS HAVE BEEN UNDERTAKEN AS PART OF THE OCCURRENCE, FOR EACH RAIL SAFETY WORKER TESTED PROVIDE:

WORKER TYPE	• Specific occupation/role of the rail safety worker (e.g. signaller)
TYPE OF TEST PERFORMED	• Drug and/or alcohol
REASON FOR TEST	• For post incident testing choose: following occurrence • For all other situations choose: random; triggered by suspicion (for cause); other (describe)
DATE OF TEST	• Expressed in day/month/year format (e.g. 23/09/2007)
TIME OF TEST	• Expressed in 24 hour clock format (e.g. 17:55)
TEST RESULTS	• Choose: positive; negative; refused



INDEPENDENT  
TRANSPORT  
SAFETY AND  
RELIABILITY  
REGULATOR

### ITSRR CONTACT DETAILS

Independent Transport Safety & Reliability Regulator  
Level 22, 201 Elizabeth Street  
Sydney NSW 2000  
Phone: 02 8263 7100  
Fax: 02 8263 7297  
Email: [occurrences@transportregulator.nsw.gov.au](mailto:occurrences@transportregulator.nsw.gov.au)  
Web: [www.transportregulator.nsw.gov.au](http://www.transportregulator.nsw.gov.au)  
October 2008