

Monitoring & Reporting

Management of Notifiable Occurrences



MR-002-01

Notifiable Occurrences Procedure

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1. Purpose

To ensure that all incidents that occur on the OTHR network are reported and that effective action is taken to determine and eliminate the causes of actual or potential incidents.

2. Scope

Applies to all Members and contractors working on sites that are either owned, managed or leased by OTHR.

3. Responsibilities

It is the responsibility of all OTHR Members and contractors to report all incidents in accordance with the criteria defined in this document.

Any Member or contractor may initiate an incident report (MR-002-03) in reference to any situation (actual or potential) that may constitute an incident.

In the event of a major or serious Rail Safety, Work Health and Safety or Environmental Incident the OTHR President is to be immediately advised and will be responsible for advising the Management Committee and appropriate Regulator in accordance with the respective regulator's requirements.

The Financial Manager shall be responsible for advising the OTHR Insurer within 48 hours of the incident occurring.

The Management Committee shall ensure that incidents, the investigations and corrective actions implemented are communicated back to the Members via the monthly communication meetings or site toolbox talks.

4. Incident Reporting

All incidents are to be reported and documented in accordance with ONRSR and WH&S requirements and as a minimum within 24 hrs of the incident occurring. Where it is deemed a Member/Contractor, Member of Public Complaint, ONRSR Reportable Incident or a WH&S Injury (LTI), the Management Committee must be notified.

It is the responsibility of Senior Managers to ensure that completed incident forms *MR-002-03* are reviewed and signed to signify completion. All incidents are to be entered in the *MR-002-04 Register*.

Depending on the magnitude and potential consequence of an incident, it shall fall into one of three categories which shall be determined in accordance with the following criteria:

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- **HAZARD** - Where an uncontrolled condition has the potential to generate either minor or major impact.
- **MINOR** - Impact can be readily rectified so there are minimal long term affects/interruptions and/or (in the case of injury), it can be treated by using on site First Aid.
- **MAJOR** Members of the public are inconvenienced, there is the possibility of long term affects/costs and/or the injury or environmental damage shall require treatment from an external source.

Any reported incident may be either elevated to “MAJOR” or lowered to “MINOR” by the Safety Manager, in consultation with the relevant manager, and where necessary the Management Committee and then processed as such.

Any incident that is a complaint from a member of the public, regulatory authority or stakeholder shall be automatically classified as “MAJOR” and addressed with that priority.

5. Responding to Incidents

Based on magnitude or potential consequence, all incidents shall warrant an immediate response that is designed to manage the immediate situation and prevent escalation.

Incidents classified as “MAJOR” or “HAZARD” or recurring “MINOR” incidents shall be investigated by competent personnel to determine the root cause and/or ascertain their potential consequence.

The investigation shall recommend appropriate corrective actions, including, where identified, a review of the system and procedures that failed.

Where an identified “HAZARD” is of a minor nature that can be readily rectified, poses no immediate risk and may not exist in other areas of the organisation, then corrective action should be taken immediately, and no Incident/Hazard report is necessary.

6. Rail Safety Incidents

Notifiable Occurrence means an accident or incident that has, or could have, caused significant property damage, or serious injury, or death OR is of a class prescribed by regulations. (*Rail Safety Act 2008, Part 1 – 4 Interpretation*).

The following summary lists the requirements for notification of Occurrences to the ONRSR and the Office of Transport safety Investigations. It is the responsibility of the OTHR Safety Manager to ensure compliance with section 63 of the *Rail Safety Act 2008*.

Category A Incidents

An occurrence involving the following:

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- a) an accident or incident that has caused death, serious injury or significant property damage;
- b) a running line derailment;
- c) a running line collision between rolling stock;
- d) a collision with road vehicle or person at a level crossing including a pedestrian crossing;
- e) a fire or explosion on or in rail infrastructure or rolling stock that affects the safety of railway operations or that endangered one or more people;
- f) a suspected terrorist attack;
- g) any accident or incident involving a significant failure of a safety management system that could have caused death, serious injury or significant property damage;
- h) the theft of, or tampering with, on or from rolling stock or railway premises of a rail transport operator of security sensitive dangerous goods (within the meaning of the Australian Dangerous Goods Code prepared by the National Transport Commission as in force on the commencement of this Regulation); and
- i) any other accident or incident that is likely to generate intense public interest or concern.

Reporting Requirements

The Office of Transport Safety Investigation, Duty Officer, is to be advised as soon as practicable after the incident on phone, **1800 677 766 (24-hour service)**.

The following information is to be provided.

- The name of the railway organisation or railway organisations involved;
- The name of a contact officer who has full details of the incident and is preferably at the scene;
- A phone number on which the contact officer may be immediately contacted; and
- Brief details of the incident, eg. passenger train derailed, number of fatalities/injuries, emergency service attendance, emergency management actions, etc.

A written notification on the “Notification of Occurrence” form, must be forwarded to the Office of the National Rail Safety Regulator (ONRSR) within 72 hours of the incident occurring.

Category B Incidents

An occurrence in which a person:

- Falls off a railway platform, bridge or structure; or
- Falls between a train and platform; or
- Falls from a train during the running, starting or stopping of a train; or
- is struck by a train or a unit of rolling stock; or

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- Is struck by an object thrown at or from a train; or
- Is struck or affected by dangerous goods, or affected by gases or fumes, on a railway or rolling stock;
- Is struck by or receives a shock from electricity on a railway or on railway premises.
- Slips, trips or falls -
 - on a train
 - on the track
 - on platform or concourse
 - on escalator or lift
 - on stairs
- Caught in train doors.
- Assaults
- Derailment other than running line.
- Collision other than Category A that causes damage. eg. in depot or shunting yard
- Unauthorised passing of signal at stop
 - signal misjudged.
 - signal completely missed.
 - signal restored as train approached.
 - other
- Serious safe working breaches
- Wrong side signal and other safe working equipment failures
- Level crossing incidents other than those in Category 'A'
- Failure of tunnel, bridge or elevated structure
- Rolling stock runaway
- Dangerous goods incidents (which could result in explosion fire or pollution)
- Rolling stock incident including:
 - hot box (ie. overheated axle bearings which can cause catastrophic axle failure)
 - dragging equipment
 - a wagon loading defect or out of gauge fouling.
 - a door defect or an accidental opening of doors

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- train parting
- a pantograph defect likely to cause dewirement.
- a wheel or axle failure
- a major braking system failure
- any other rolling stock failure that has the potential to cause a serious accident.
- Incidents involving animals or livestock.
- Track defects including:
 - horizontal misalignment
 - vertical misalignment
 - broken rail
- Defects in civil or electrical infrastructure
- Defects in electrical or overhead wiring
- Any other defect with potential to cause accident.
- An act of vandalism that endangers the safe operation of the railway.
- A positive drug or alcohol test (A positive alcohol test is a concentration of 0.02 grams or more per 100 ml of blood)

A written notification on the “Notification of Occurrence” form, must be forwarded to the Office of the National Rail Safety Regulator (ONRSR) within 72 hours of the incident occurring.

7. Work Health and Safety Incidents

Work Health and Safety Notifiable Incidents include any injury that results in death, serious injury or illness of a person or a dangerous incident.

Serious injury or illness

Means any injury or illness requiring the person to have:

- a) Immediate treatment as an inpatient in a hospital
- b) Immediate treatment for:
 - The amputation of any part of the body
 - A serious head injury
 - A serious eye injury
 - A serious burn
 - The separation of his or her skin from an underlying tissue (such as degloving or scalping)

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- A spinal injury
 - The loss of a bodily function
 - Serious lacerations
- c) Medical treatment within 48 hours of exposure to a substance.

Dangerous incident

A workplace incident that exposes a worker or any other person to a serious risk to a personal health or safety emanating from an immediate or imminent exposure to:

- a) An uncontrolled escape, spillage or leakage of a substance
- b) An uncontrolled implosion, explosion or fire
- c) An uncontrolled escape of gas or steam
- d) An uncontrolled escape of a pressurised substance
- e) Electric shock
- f) The fall or release from height of any plant, substance or thing
- g) The collapse, overturning, failure or malfunction of, or damage to, any plant that is required to be authorized for use in accordance with the Regulations.
- h) The collapse or partial collapse of a structure
- i) The collapse or failure of an excavation or of any shoring supporting an excavation.
- j) The inrush of water, mud or gas in workings, in an underground excavation or tunnel
- k) The interruption of the main system of ventilation in an underground excavation or tunnel
- l) Any other event prescribed by the Regulations.

Reporting Requirements

The Management Committee shall ensure that the WH&S Regulator is notified immediately after becoming aware that a notifiable incident has occurred.

The notice shall be given by the fastest possible means either by telephone or in writing. The Regulator may require the notice to be in writing within 48 hours.

8. Environmental Incidents

Reporting to EPA

It is the responsibility of the Safety Management Committee to determine and report incidents that affect or have the potential to affect the environment if it will have long term effects on a broad scale and requires notification or urgent attention by the appropriate emergency service or authority.

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Such reports shall not include events that are contained to the premises where the pollution incident occurred.

9. Management of Incidents

The Safety Manager shall be responsible for ensuring that plans and/or actions to remedy and prevent a recurrence of an incident are implemented in a timely manner that will prevent recurrence of the incident.

Site/senior management, as appropriate, shall be involved in the investigation within their field of responsibility.

The investigation must consider the root cause of the incident which shall be documented on the incident report or entered in the Incident database and recirculated as required.

The implementation and success of remedial actions shall be monitored to confirm effectiveness. When implemented actions are verified as effective, the incident shall be closed by the Safety Manager.

10. Recording of Incidents

An Incident register shall be maintained by the Administration Manager. It shall include as a minimum, the identification number, date and status of all incidents.

In addition to the details reported via the Incident Notification Form, personal injury details shall be recorded in the injured worker section of the register. This information shall be delivered to the OTHR Insurer at the earliest opportunity.

After entry into the Incident Register, the incident shall be circulated (as a minimum) to the relevant manager and Members deemed to be impacted by the occurrence.

As a minimum, the reports shall be made available to Toolbox, or as per other agreed consultation arrangements and System Review meetings.

The Safety Manager shall report all on Non-conformances and Incidents within the Monthly Performance Reports to the Management Committee.