



## NOTIFICATION OF OCCURRENCE - FORM 6

- Use this form to report a Notifiable Occurrence to ITSRR with 72 hours of becoming aware of the occurrence\*
- Notifiable Occurrences are defined in Clause 27 of the *Rail Safety (General) Regulation 2008* (see note last page)
- Positive drug and alcohol test results are notified using the Drug and Alcohol Testing Incident Notification (Form 1)
- Use check boxes  as appropriate
- Forward completed forms to ITSRR by: Email: [occurrences@transportregulator.nsw.gov.au](mailto:occurrences@transportregulator.nsw.gov.au) or Fax: 02 8263 7200

### PART A – INFORMATION ABOUT THE PERSON MAKING THE NOTIFICATION

Provide for every occurrence. See Privacy note last page.

Full name:	<input type="text"/>	Job title:	<input type="text"/>
Organisation name:	<input type="text"/>		
Phone:	<input type="text"/>	Email:	<input type="text"/>

### PART B – GENERAL INFORMATION ABOUT THE OCCURRENCE

Provide for every occurrence.

#### INVOLVED RAIL TRANSPORT OPERATOR(S) (LIST ALL)

Rail Infrastructure Manager(s):

<input type="text"/>	<input type="text"/>
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Rolling Stock Operator(s):

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

#### TIME AND LOCATION OF OCCURRENCE

Occurrence date:	<input type="text" value="/ /"/>	Occurrence time (EDST):	<input type="text"/>
Nearest named location:	<input type="text"/>	Line section#:	<input type="text"/>
Description of exact location:	<input type="text"/>		
Kilometrage of occurrence:	<input type="text"/>	Line Type: Running Line <input type="checkbox"/>	Yard <input type="checkbox"/>

# Expressed as the nearest locations either side of the occurrence.

#### REPORT REFERENCE

Train control incident reference:	<input type="text"/>	Your incident reference:	<input type="text"/>
Notifiable occurrence category:	Cat A <sup>†</sup> <input type="checkbox"/> Cat B <input type="checkbox"/>	OC-G1 classification:	<input type="text"/>

\* In accordance with section 63, *Rail Safety Act 2008* (NSW)

† Also to be notified to the Chief Investigator

## PART C – INFORMATION ABOUT TRAIN(S) AND ROLLING STOCK INVOLVED

Provide for every occurrence in which train(s) and / or individual pieces of rolling stock are directly involved.

### TRAIN INFORMATION (IF MORE THAN TWO TRAINS INVOLVED, INCLUDE DETAILS IN PART E)

1. Train number:  Traction type: Electric  Diesel  Steam  Other

Train type: Passenger - urban  Passenger - non urban  Freight  Tourist & heritage  Tram

Track maintenance  Other train type (specify):

2. Train number:  Traction type: Electric  Diesel  Steam  Other

Train type: Passenger - urban  Passenger - non urban  Freight  Tourist & heritage  Tram

Track maintenance  Other train type (specify):

### ROLLING STOCK INFORMATION (IF MORE THAN TWO ITEMS OF ROLLING STOCK INVOLVED, INCLUDE DETAILS IN PART E)

Rolling stock number:  Rolling stock description:

Rolling stock number:  Rolling stock description:

## PART D – IMPORTANT INFORMATION FOR CERTAIN KINDS OF OCCURRENCES

Complete relevant sections only.

### DERAILMENT

Include in description of the occurrence (PART E):

- Direction of travel
- How many items of rolling stock derailed
- Operational status of all affected lines

### COLLISION

Type of Collision:

Between trains  with rolling stock  with person (not at level crossing)  with animal  with infrastructure

with road vehicle (not at level crossing)  with obstruction (specify):

Other type of collision (specify):

Collision with road vehicle (not at level crossing) – type of road vehicle:

Light pass vehicle  Heavy freight vehicle  Dangerous goods vehicle  Bus  Motorcycle

Bicycle  Other type of vehicle (specify):

Include in description of the occurrence (PART E):

- Direction of travel
- Relevant signal indications/point settings
- Operational status of all affected lines

### LEVEL CROSSING OCCURRENCE

Location:  Kilometrage:

Street/road:  Private: Yes  No

Type of Protection:

Active – lights only  Active – lights & booms  Passive – stop signs  Passive – give way signs  None

continued.

Type of level crossing occurrence:

Train collision with road vehicle  Train collision with person  Train near miss road vehicle

Train near miss person  Level crossing equipment failure/defect  Level crossing equipment damage/interference

Other occurrence type (specify):

Type of road vehicle (collision or near miss with road vehicle):

Light passenger vehicle  Heavy freight vehicle  Dangerous goods vehicle  Bus  Motorcycle

Bicycle  Other road vehicle type (specify):

Road vehicle identifier(s) (specify):

Include in description of the occurrence (PART E):

- Action(s) taken by relevant parties (e.g. train driver, road vehicle driver)
- Nature and severity of any equipment defect, damage or irregularity

FIRE  EXPLOSION  FIRE AND EXPLOSION

Situation of fire/explosion:

In (or affecting safety of) a station or terminal

On train  → Also, was it associated with a rolling stock defect/failure? Yes  No  Unknown

In / adjacent to railway corridor  → Also, did it affect safety related infrastructure? Yes  No  Unknown

Include in description of the occurrence (PART E):

- Source and cause of ignition
- Evidence of fire (versus smoke)
- Duration of fire
- Actions taken to make the scene safe

SLIP, TRIP OR FALL OCCURRENCE (INCLUDING CAUGHT IN TRAIN DOORS)

Situation of slip, trip or fall:

From train  Between train and platform  On train  On track  On or from platform / concourse

On or from escalator/lift  On or from stairs  From structure  Caught in train doors

Other situation (specify):

Include in description of the occurrence (PART E):

- Other parties involved
- Any related train movements

SAFEWORKING RULE OR PROCEDURE BREACH

Type of safeworking system:

Wayside signalling  Staff and ticket  Electric staff  Train orders  Track work

Other system (specify):

Status of system: Fully functional  Degraded

Procedure/rule breached: Number:  Name:

Type of track work protection (if relevant):

NAR  CSB  TWA  TOA  LPA  Other type of protection (specify)

Include in description of the occurrence (PART E):

- How detected
- Whether breach was inadvertant
- Roles(s) of rail safety worker(s) responsible
- Potential dangerous outcomes

SIGNAL PASSED AT DANGER WITHOUT AUTHORITY (SPAD)

Signal number:  Overrun distance (metres):

Line involved (specify):

Type of SPAD:

Driver error – completely missed  Driver error – misjudged  Driver error – start against signal

Signal restored as train approached  Other type of SPAD (specify):

External intervention to halt train?: Yes  No  ATP/train stop activated?: Yes  No

PROCEED AUTHORITY EXCEEDED

Type of proceed authority:

Train orders  Electric staff  Staff and ticket  Special proceed authority  Pilot staff working

Other type of authority (specify):

Type of exceedance:

Driver error – completely missed  Driver error – misjudged

Other proceed authority exceedance (specify):

External intervention to halt train?: Yes  No  Overrun distance (metres):

SIGNALLING / PROCEED AUTHORITY SYSTEM IRREGULARITY

Type of safeworking system:

Wayside signalling  Staff and ticket  Electric staff  Train orders

Other system (specify):

Signal number (where relevant)

Include in description of the occurrence (PART E): • Specific system / equipment affected • Nature of irregularity (e.g. failure, defect)

LOAD IRREGULARITY

 If dangerous goods involved, also complete Dangerous Goods Occurrence section below

Type of load irregularity:

Door open  Load shift  Out of gauge load  Uneven distribution of load  Loose load fastening

Other type of irregularity (specify):

Load lost from train?: Yes  No

Include in description of the occurrence (PART E):

• Type of load • Relevant events from loading to detection of the irregularity • Extent of any exceedance beyond standard configuration or limits

TRACK AND CIVIL OR ROLLING STOCK IRREGULARITY



Excludes: level crossing equipment – use Level Crossing Occurrence (page 2)  
lineside fault detection equipment – use Enforcement System Irregularity (below)

Type of rolling stock irregularity:

Train parting  Wheel/axle failure  Defective bearing  Faulty passenger train door  Braking system

Other rolling stock irregularity (specify):

Type of track irregularity:

Break  Misalignment  Spread  Points  → Also provide points number:

Track obstruction (specify):

Other track irregularity (specify):

Type of electrical infrastructure irregularity:

Overhead traction supply  Other than overhead traction supply (specify):

Electrocution hazard? Yes  No

Other civil irregularity:

Component: Bridge  Building  Cutting  Station  Track support  Tunnel

Other component (specify):

Include in description of the occurrence (PART E):

- Specific system / equipment affected
- Nature of irregularity (e.g. failure, defect)
- How detected

DANGEROUS GOODS OCCURRENCE

Situation:

On (or from) train  Not on (or from) train

Dangerous goods involved: Class number:  Class name:

Include in description of the occurrence (PART E):

- Details of relevant containers /vessels
- Chain of events from loading to the detection of the irregularity

ENFORCEMENT SYSTEM IRREG.

TRAIN WARNING SYSTEM IRREG.

COMMUNICATIONS SYSTEM IRREG.



If communication-based authority system, use Signalling / Proceed Authority System Irregularity:

Include in description of the occurrence (PART E):

- Specific system/equipment affected
- Train operations at time of occurrence
- Nature of irregularity (e.g. failure, defect)

RAILWAY NETWORK SECURITY OCCURRENCE

Type of security occurrence:

Trespass  Assault – on train  Assault – on platform  Assault – other than train / platform

Vandalism – object thrown  Vandalism – graffiti  Vandalism – other than thrown / graffiti

Theft of security sensitive goods  Terrorism / sabotage

Other security occurrence (specify):

RUNAWAY

Type of runaway:

Train

Rolling stock

Distance travelled (metres):

Include in description of the occurrence (PART E): • Means by which runaway commenced • Means by which runaway was halted

**PART E – DESCRIPTION OF THE OCCURRENCE**

For every occurrence fully describe the incident including, where relevant, the sequence of events leading to and following the incident, contributing factors, consequences, involved parties, equipment and systems and actions taken to manage the incident. Also include occurrence-specific information noted in Part D.

**FULL DESCRIPTION OF OCCURRENCE**

**DESCRIPTION OF CAUSE(S) / CONTRIBUTING FACTOR(S)**

SUSPECTED MALICIOUS ACT: NO  YES

SUSPECTED SUICIDE: NO  YES

Provide supporting information:

## PART F – INJURY DETAILS

Was a person or people injured? No  (Go to Part G)  
Yes  (Complete following details for every injured person)

1. Person type: Railway Staff  Contractor  Volunteer  Passenger  Public  Trespasser   
Age: Years  or 0-5  6-15  16-24  25-39  40-59  60+  Unknown   
Gender: Male  Female  Unknown   
Injury severity: Fatality  Serious injury  Minor injury

Describe the injury and any treatment:

Admitted to hospital? Yes  No  Unknown

2. Person type: Railway Staff  Contractor  Volunteer  Passenger  Public  Trespasser   
Age: Years  or 0-5  6-15  16-24  25-39  40-59  60+  Unknown   
Gender: Male  Female  Unknown   
Injury severity: Fatality  Serious injury  Minor injury

Describe the injury and any treatment:

Admitted to hospital? Yes  No  Unknown


## PART G – DAMAGED PROPERTY DESCRIPTION

Was there significant property damage? No  (Go to Part H)  
Yes  (Describe the property and damage below)

**PART H – POST INCIDENT DRUG AND ALCOHOL TESTING SUMMARY**

Was testing undertaken? No  (go to part I)  
Yes  (summarise below)

Type of test(s) Drug  Alcohol  Drug and alcohol   
Alcohol test result(s) Negative  Positive  Unknown at notification  Refusal   
Drug test result(s) Negative  Positive  Unknown at notification  Refusal

 Use the Drug and Alcohol Testing Incident Notification (Form 1) to notify of a positive drug / alcohol test result

**PART I – YOUR SIGNATURE**

Signature

Date  /

Please email completed form to [occurrences@transportregulator.nsw.gov.au](mailto:occurrences@transportregulator.nsw.gov.au) or fax via 02 8263 7200

Entered   
Analyst   
PRISM ID

## IMPORTANT NOTES

**Privacy** – This information is collected in accordance with the *Privacy & Personal Information Protection Act 1998* (NSW) and the *Health Record and Information Privacy Act 2002* (NSW). The information will be treated confidentially.

**National Guideline for Occurrence Notification** – The information requested in this form is based on the national guideline for occurrence notifications, Occurrence Notification – Standard One (ON–S1) June 2008. ON–S1 is available online at the Rail Safety Regulators' Panel website at [www.rsrp.asn.au](http://www.rsrp.asn.au)

**OC–G1 Classification** – The national occurrence classification category (name or reference) as defined in the national guideline for classification of notifiable occurrences, Occurrence Classification – Guideline One (OG–G1) June 2008. OC–G1 is available online at the Rail Safety Regulators' Panel website at [www.rsrp.asn.au](http://www.rsrp.asn.au)

**Rail Infrastructure Manager(s)** – The rail transport operator(s) with effective management and control of railway infrastructure. Where the same person owns, operates, maintains and manages rail infrastructure then that person is the one who has "effective management and control". However, if construction, maintenance and operations are contracted out to a single party the owner is probably not the rail infrastructure manager. In such cases, more often than not, the party responsible for operations is deemed the Rail Infrastructure Manager.

**Definitions of Category A and B Notifiable Occurrences** – Clause 27 of the *Rail Safety (General) Regulation 2008* contains the following definitions of Category A and Category B notifiable occurrences.

### Category A

For Category A notifiable occurrences also notify the Office of Transport Safety Investigation Duty Officer as soon as practicable after becoming aware of the occurrence on:

**1800 677 766** (24 hour service)

- (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 at a road or pedestrian level crossing between rolling stock and either a motor vehicle or a person,
- (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),
- (i) any other accident or incident that is likely to generate intense public interest or concern.

### Category B

- (a) a derailment, other than a running line derailment,
- (b) a collision involving rolling stock,
- (c) any accident or incident at a road or pedestrian level crossing arising from a failure of rail infrastructure or that caused a risk to safety or damage to a person or property,
- (d) the passing of a stop signal, or a signal with no indication, by rolling stock without authority,
- (e) any accident or incident where rolling stock exceeds the limits of authorised movement given in a proceed authority,

### Category B continued.

- (f) any failure of a signalling or communications system that endangers, or that has the potential to endanger, the safe operation of trains or the safety of people, or that causes or could cause damage to adjoining property,
- (g) any slip, trip or fall by a person on, to or from a train, railway track, railway bridge, station, platform, escalator, lift or stairs, or any person being caught in the door of any rolling stock,
- (h) any situation where a load affects, or could affect, the safe passage of trains or the safety of people, or causes or could cause damage to adjoining property,
- (i) any accident or incident involving dangerous goods that affects, or could affect, the safety of railway operations or the safety of people, or that causes or could cause damage to adjoining property,
- (j) any breach of a safe working system or procedure, or the detection of any irregularity or deficiency in such a system or procedure,
- (k) any irregularity in any rail infrastructure (including electrical infrastructure and any obstruction on a running line) that could affect the safety of railway operations or the safety of people,
- (l) any irregularity in any rolling stock that could affect the safe operation of the train or the safety of people, or cause damage to the rolling stock,
- (m) any fire or explosion that causes damage to rail infrastructure or rolling stock, or both, or that causes the disruption or closure of a railway (even if the closure is only a precautionary measure),
- (n) any accident or incident on railway premises where a person inflicts, or is alleged to have inflicted, an injury on another person,
- (o) a suspected attempt to suicide,
- (p) if a rail safety worker employed by a rail transport operator has returned a result to a test designed to determine the concentration of alcohol or other drugs in a sample of blood or urine that suggests that the worker was in breach of a relevant safety requirement concerning the use of alcohol or other drugs at a relevant time,
- (q) the infliction of any wilful or unlawful damage to, or the defacement of, any rail infrastructure or rolling stock that could affect the safety of railway operations or the safety of people,
- (r) any accident or incident in a rail corridor that indicates that the security of the corridor is compromised and that affects, or may affect, the safety of railway operations.

### Assistance:

For help with reporting notifiable occurrences to ITSRR contact the ITSRR Data and Reporting Unit:

Email: [occurrences@transportregulator.nsw.gov.au](mailto:occurrences@transportregulator.nsw.gov.au)

Telephone: (02) 8263 7100