



Heritage Railway

Safety Management System

Management of Notifiable Occurrences

Document No: ARHS-SMS-23



SteamRanger Safety Management System

Approved by: **SteamRanger Board of Management**

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Rail Safety Coordinator

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MANAGEMENT OF NOTIFIABLE OCCURANCES

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AMENDMENTS REGISTER

Page No.	Reference	Date of Issue	Amendment Detail	Authorised by
		4-9-2013	New Document Replaces document AP17	BoM
various		13-10-2014	Changed references from WPO03 to ARHS-SMS-26 Emergency Management	Manager Rail Safety
		7/9/2015	reworked document to insert a procedure to enable the determination of which notifiable occurrences are to be investigated.	BoM
	Doc Review	7/9/2015	Document reviewed no changes required	Manager Rail Safety
	review	23/9/2017	Document reviewed no changes required	Manager Rail Safety
various	5.1 5.4	10 5 2021	Document updated to reflect changes in reporting of incidents reference to SteamRanger WPO 02 section 1 & 2 replaced by HRSA SHR Version 1.0	RSC



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MANAGEMENT OF NOTIFIABLE OCCURRENCES

1. PURPOSE

This document sets out the procedure for ensuring that SteamRanger manage notifiable occurrences in accordance with Rail Safety National Law (RSNL) National Regulations Schedule 1 part 23.

2. SCOPE

SteamRanger's procedure for the management of notifiable occurrences will be followed for any occurrence as described in RSNL National Regulations Reg 57 (see appendix A).

The procedure will outline how SteamRanger:

- provide systems and procedures for the reporting of notifiable occurrences in accordance with regulation 57 of the Rail Safety National Law National Regulations 2012.
- provide procedures to manage the scene of a notifiable occurrence and for the preservation of evidence where reasonably practicable as required by the Rail Safety National Law (South Australia) Act 2012.
- provide procedures to manage all notifiable occurrences, including procedures to enable the determination of which notifiable occurrences are to be investigated, and how investigations are to be conducted as required by the Rail Safety National Law (South Australia) Act 2012.

3. REFERENCES

Rail Safety National Law (South Australia) Act 2012
Rail Safety National Law National Regulations 2012
AS 4292.7 2006 Railway safety investigation
SteamRanger Heritage Railway Heritage Railways of South Australia Version 1.0
SteamRanger Emergency Management ARHS-SMS-26
Corrective Actions ARHS-SMS-11

4. DEFINITIONS

SteamRanger	The trading name of the Australian Railway Historical Society (SA Div) Inc
BoM	SteamRanger Board of Management.
Deputy	Board of Management appointee standing in for the Rail Safety Manager.
ONRSR	Office of the Rail Safety Regulator
RSNL	Rail Safety National Law (SA) Act 2012
Occurrence:	A general term for accidents and incidents which lead to injury or loss, or which are considered by the responsible authority to have the potential to compromise safety.

5. PROCEDURE

5.1 Notifiable Occurrences

A notifiable occurrence is defined under section 4 of the RSNL as an incident associated with railway operations:

> that has, or could have, caused significant property damage, serious injury or death;
or

> that is, or is of a class that is, prescribed by the national regulations to be a notifiable occurrence or class of notifiable occurrence;

but does not include an incident, or class of incident, that is prescribed by the national regulations not to be a notifiable occurrence.

5.2 Occurrence Reporting

When an Employee or Volunteer becomes aware of an occurrence they are to report it to train control as per SteamRanger's Emergency Management ARHS-SMS-26 and provide information such as the location and nature of the occurrence.

5.3 Train Control Reports

Train Controllers preparing a Train Control Report must give the report an identifying number commencing with their initials then a sequential number starting at 1 on 1st January in each year e.g. BB 01/13. This number is required for insertion on the Notifiable Occurrence form.

5.4 Rail Safety Manager

Immediately after becoming aware of a Category A Notifiable Occurrence and Prescribed Incidents a rail transport operator must immediately give a verbal report to ONRSR. A rail transport operator must provide a written report to ONRSR, in compliance with these reporting requirements within 72 hours of the occurrence. The report should reflect the extent of information available to the rail transport operator during this period.

If the Occurrence is a Category B Notifiable Occurrence a rail transport operator must give a verbal report to ONRSR Within 72 hours of the occurrence. A rail transport operator must provide a written report to ONRSR, in compliance with these reporting requirements. The report should reflect the extent of information available to the rail transport operator during this period.

A rail transport operator must notify ONRSR of any other incident that does not correspond to a category, however, is:

- associated with railway operations; and
- has caused death or serious injury to any person (including a rail safety worker or a

member of the public) or significant property damage.

This notification is to be via the normal processes set out above.

For completeness, this does not require rail transport operators to notify ONRSR of incidents leading to death or serious injury to a person that are not associated with railway operations, including those that:

- take place in railway offices and station car parks not involving the operation or movement of rolling stock; station bus interchanges and rail replacement bus services; and roads and road overpasses connecting to stations; and
- are associated with a health-related condition, such as a heart attack seizure or substance abuse, and are not associated with the operation or movement of rolling stock.

The ONRSR Portal is the preferred method for submitting notifiable occurrence reports and can be accessed at <https://portal.onrsr.com.au>

Contact details are in Appendix B.

If other than the SteamRanger Rail Safety Manager sending this document then a copy must also be emailed to the Rail Safety Manager.

5.5 Absence of Rail Safety Manager

In the absence of the SteamRanger Rail Safety Manager the SteamRanger BoM will, prior to the absence, authorise another SteamRanger person to act in this capacity for the duration of the absence. Advice as to who the Deputy is and the time that they will act as such shall be made available to the National Rail Safety Regulator and to all SteamRanger Train Controllers.

5.6 Emergency Response

In the event of an emergency, SteamRanger personnel shall work in accordance with the SteamRanger Emergency Management ARHS-SMS-26 which details the following:

- a. allocation of roles and responsibilities within and between organizations;
- b. training and arrangements to maintain competence in emergency response;
- c. initial response procedures;
- d. call-out procedures;
- e. on-site management of the occurrence;
- f. liaison with relevant emergency services;
- g. arrangements for effective communications and co-operation throughout the emergency response;
- h. recovery procedures; and
- i. initiation of investigation.

SteamRanger shall, in conjunction with emergency services undertake both desk top and on site testing of the procedures from time to time.

5.7 Preservation of Evidence

The following elements, as detailed in the SteamRanger Emergency Management Procedure ARHS-SMS-26, shall be followed;

- a) Establishment of who is to be responsible in the first instance for the preservation of evidence.
- b) Appointment of an Incident Site Co-ordinator with the authority to preserve evidence.
- c) Provision of appropriate and timely instructions to the Incident Site Co-ordinator as to what evidence is to be collected, how it is to be collected and the steps to be taken to secure the site.
- d) On-going procedures and requirements for the collection and preservation of evidence, and the security of the site and any other sites where evidence may be stored.
- e) Establishment of processes to facilitate consultation between the Incident Site Co-ordinator and the Incident Investigation Co-ordinator as soon as practicable after the latter has been appointed, to ensure site security and evidence preservation.

5.8 Investigation

The Board of Management shall ensure that notifiable occurrences are investigated to determine the causes and identify all contributing factors. The level of investigation is determined by the severity of the incident, as detailed below.

For all occurrences that are classified as category A and the following incidents classified as category B as per regulation 57 of the RSNL National Regulations 2012 (SA):

- Derailment other than a running line derailment.
- Rollingstock runaway
- Any breach of a network rule
- An Investigation shall be carried out either by SteamRanger or an investigator independent of SteamRanger. A detailed report as specified by AS 4292 Part 7 shall be produced.

For all other occurrences that are classified as category B as per regulation 57 of the RSNL National Regulations 2012 (SA), except those listed above:

- The Rail Safety Manager shall decide if an Investigation shall be carried out by SteamRanger including a brief report as specified by AS 4292 Part 7.

Any corrective actions identified in an investigation report are to be considered promptly at Board level and implemented as necessary by the Responsible Manager following SteamRanger Corrective Action Procedure ARHS-SMS-11.

5.9 Recording

Details of all notifiable occurrences shall be entered and maintained within the SteamRanger Notifiable Occurrence data base with each occurrence allocated a unique reference number starting from 01 at the 1st day of January for each calendar year e.g. ARHS-NO-01-15. All notifiable occurrence report reference numbers shall be entered into the SteamRanger Notifiable Occurrence register. All notifiable occurrence reports are to be presented to the first available Board of Management meeting.

5.10 Review and analysis

All corrective actions identified by a notifiable occurrence report and tracked in the SteamRanger Notifiable Occurrence register shall be reviewed at Board of Management meetings until each one has been satisfactorily closed out. The Board of Management is responsible for ensuring so far as is reasonably practicable that the corrective action has effectively overcome the problem that gave rise to the Notifiable Occurrence in the first place.

As part of the review of the safety management system process any recommendations or issues arising out of any safety investigations shall be tabled and compared with previous accidents and incidents to determine any trends or patterns.

5.11 Follow Up

Details of all current Notifiable Occurrences are to be included in the monthly report to the SteamRanger Board of Management for handling and follow up as required

Appendix A:

**RSNL National Regulations 2012 Part 9—Miscellaneous
Section 57—Reporting of notifiable occurrences**

Notifiable occurrences are categorised as follows:

Category A and Prescribed Incidents, which must be immediately reported by telephoning the Office of the National Rail Safety Regulator (ONRSR) on 1800 430 888 and following up with a written report to the Office of the Rail Safety Regulator (ONRSR) within 72 hours, using the portal or the prescribed form.

Category B, which must be reported to the ONRSR within 72 hours, using the portal or the prescribed form

Category A

For the purposes of this regulation any of the following notifiable occurrences is a Category A notifiable occurrence:

1. an accident or incident that has caused death, serious injury or significant property damage;
2. a running line derailment;
3. a running line collision between rolling stock;
4. a collision at a road or pedestrian level crossing between rolling stock and either a road vehicle or a person;
5. a suspected terrorist attack;
6. an accident or incident involving a significant failure of a safety management system that could have caused death, serious injury or significant property damage;
7. any other accident or incident likely to generate immediate or intense public interest or concern

Category B

For the purposes of this regulation any of the following notifiable occurrences is a Category B notifiable occurrence (unless that occurrence is also a Category A notifiable occurrence):

1. a derailment, other than a running line derailment;
2. a collision involving rolling stock, other than a collision described in category A (3) or (4);
3. an incident at a road or pedestrian level crossing, other than a collision described in category A (4);
4. an incident in which a vehicle or vessel strikes an associated railway track structure;
5. the passing of a stop signal, or a signal with no indication, by rolling stock without authority;
6. an accident or incident where rolling stock exceeds the limits of authorised movement given in a proceed authority;
7. a rolling stock run-away;
8. a 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 to cause damage to adjoining property;
9. any slip, trip or fall by a person on railway premises;

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10. a person being caught in the door of any rolling stock;
11. a person suffering from an electric shock directly associated with railway operations;
12. any situation where a load affects, or could affect, the safe passage of trains or the safety of people, or cause damage to adjoining property;
13. an accident or incident involving dangerous goods that affects, or could affect, the safety of railway operations or the safety of people, or cause damage to property;
14. any breach of a network rule;
15. any breach of the work scheduling practices and procedures set out in the rail transport operator's fatigue risk management program;
16. the detection of an irregularity in any rail infrastructure (including electrical infrastructure) that could affect the safety of railway operations or the safety of people;
17. the detection of an irregularity in any rolling stock that could affect the safety of railway operations;
18. a fire or explosion on, in, or near, rail infrastructure or rolling stock that endangers the safety of railway operations or the safety of 1 or more people, or causes service terminations or track or station closures;
19. any incident on railway property where a person inflicts, or is alleged to have inflicted, an injury on another person;
20. a suspected attempt to suicide;
21. the notification that a rail safety worker employed by a rail transport operator has returned a result to a test designed to determine the concentration of drugs or alcohol in a sample of breath, blood, oral fluid or urine that suggests that the worker was in breach of a relevant safety requirement concerning the use of drugs or alcohol at a relevant time;
22. the infliction of 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;
23. a security incident associated with railway premises that affects the safety of railway operations, including an act of trespass, vandalism, sabotage or theft that could affect the safety of railway operations.



Appendix B:

The ONRSR Portal can be accessed at <https://portal.onrsr.com.au>

Office of the National Rail Safety Regulator Ph 1800 430 888

ONRSR Notification form: <http://www.onrsr.com.au/publication-and-forms/downloadable-forms>