

Memorandum of Understanding

between the

Australian Transport Safety Bureau

and the

Rail Safety Regulators

**MEMORANDUM OF UNDERSTANDING BETWEEN THE
AUSTRALIAN TRANSPORT SAFETY BUREAU
AND THE
RAIL SAFETY REGULATORS**

**CONCERNING THE WORKING AND BUSINESS ARRANGEMENTS FOR
THE NATIONAL RAIL OCCURRENCE DATABASE (NROD)**

PURPOSE

This Memorandum of Understanding (MOU) is made in order to establish cooperative working arrangements to progress the development and operation of a National Rail Occurrence Database (NROD). This task is consistent with the relevant provisions of the 1996 Intergovernmental Agreement on National Rail Safety, the November 1999 decision of the Australian Transport Council (ATC), and the August 2004 decision of the SCOT Rail Group.

THIS MEMORANDUM OF UNDERSTANDING is made the 21st day of April 2005.

BETWEEN:

The Australian Transport Safety Bureau (ATSB) an operationally independent body within the Australian Government of Transport and Regional Services

AND

Independent Transport Safety and Reliability Regulator (NSW)

Department of Infrastructure (Vic)

Queensland Transport

Department for Planning and Infrastructure (WA)

Transport South Australia

Department of Infrastructure, Energy & Resources (Tas)

Department of Infrastructure, Planning and Environment (NT)

(the latter seven parties are hereafter referred to as the rail safety regulators).
Attachments to this document form part of the MOU.

BACKGROUND

The 1996 Intergovernmental Agreement on Rail Safety states in Part VI - Information Exchange, clause 9 that 'The Parties shall provide for a jointly funded information exchange arrangement, coordinated by the Commonwealth, the functions of which shall be agreed between the Parties'.

At the meeting of the ATC in November 1999 Ministers agreed that "...the Commonwealth, States and the Northern Territory would jointly fund, as a priority, the development and management of a national rail incident database by the Australian Transport Safety Bureau....".

Since the ATC's decision in 1999, the ATSB has worked with regulators to build an initial NROD statistical database. Information from the NROD is published by the ATSB on its web site and currently covers the period January 2001 to December 2003.

The SCOT Rail Group, at its meeting in August 2004, decided that the ATSB would work with the rail safety regulators to resolve reporting issues and broaden the scope of the database.

Each of the rail safety agencies of the State and Territory Governments has implemented occurrence notification requirements in their respective legislation or published guidelines that are based on Standard ON-S1 for rail safety occurrences and Standard ON-S2 for rail performance normalisers.

THE PARTIES AGREE as follows:

1. Reporting Definitions

Reporting definitions (ON S1) and (ON S2) have been agreed and are appended at attachment A.

2. No legally binding effect

Whilst the parties shall as far as possible:

- a. abide by the procedures set out in this MOU; and
- b. take whatever measures are necessary to ensure that the officers of the parties are aware of the terms of this MOU and abide by it

the parties agree that this MOU is not intended to have any legally binding effect.

In the interests of maintaining and improving rail safety in Australia, all parties agree to work jointly and cooperatively, to develop and maintain the NROD reporting framework, operations and methodology and publish timely reports from the database on the ATSB's website.

3. Data Ownership

All parties agree that as the database is a joint initiative between the ATSB and the rail safety regulators. Individual jurisdictions will own the intellectual property associated with the data they provide to the ATSB, but, information published on the ATSB web site will be in the public domain.

4. Privacy

All parties recognise the need to meet State, Territory, and Federal privacy laws in relation to data storage, access, and reporting.

5. Reporting Arrangements

The rail safety regulators agree to report statistical information against the Occurrence Categories (Principle and Subcategories) Standard ON-S1 and Performance Normalising Data Standard ON-S2, to the ATSB as follows:

- for the period 1 January to 30 June by 30 September of that year.
- for the period 1 July to 31 December by 30 March of the following year.

The rail safety regulators will exercise reasonable and due care in providing accurate and consistent data to the ATSB for subsequent publication.

The ATSB agrees to provide the rail safety regulators or their nominated staff access to NROD data provided by rail safety regulators for their business requirements, which includes data for the purposes of data analysis and production of reports by the rail safety regulators.

6. Publication of Data

Reports from the NROD will be published by the ATSB on its public website. At least two weeks prior to publication, the ATSB will circulate proposed reports to rail safety regulators seeking to give them the opportunity to comment and agree to publication.

7. Expansion of Database

All parties agree to participate in a process to expand NROD to include causal data from any future national uniform rail investigation model.

8. Funding

To meet the data reporting and publication requirements as set out in this document, funding and other resource inputs will be limited to:

- a.** for rail safety regulators - the staff and other resources used by rail safety regulators in collecting and collating safety ON-S1 and ON-S2 occurrence statistical data and transmitting this data to the ATSB; and
- b.** for the ATSB the staff and other resources used by the Bureau in collating data provided by the rail safety regulators and publishing reports on the Bureau's public web site.

Any major changes to the scope of the database or reporting arrangements, beyond those specified in this MOU, will entail a review of funding / resourcing arrangements and may result in agreed changes to this section of the MOU.

9. Reviewing the operation of the MOU and approach to any disputes

At the end of each period of 12 months following execution of this MOU representatives of the parties shall meet to discuss its operation and effectiveness during the preceding 12 months period and as far as possible agree on different policies or procedures which may be necessary to ensure that the purpose of the MOU is fulfilled.

A party shall, as soon as practicable, advise the other parties of any perceived or actual difficulty or dispute in abiding by the terms of this MOU due to any alteration or amendment to any enactment or policy under which the party operates. All parties shall use their best endeavours to ensure that any revised procedures which are necessary because of such alteration or amendment are such as to conform to the fullest extent possible with the intent and spirit of this MOU.

10. Duration

This MOU shall continue in force for a period of 3 years from the date of its execution or such longer term as may be agreed between the parties provided that a party may cancel its involvement under this MOU by giving the other parties not less than three months written notice.

11. Amendment

This MOU may be amended by a further document executed by all parties.

STANDARD No. ON – S1

OCCURRENCE CATEGORIES AND DEFINITIONS

Policy Type:	Rail Safety Regulation
Process Category:	8. Occurrence Notification
Sub-Process:	8. Process Description

PURPOSE

To ensure consistency in the notification and national exchange of occurrence data.

BACKGROUND

The State and Territory Rail Safety Regulators have agreed on a standard national approach, consistent with the Inter-Governmental Agreement on National Rail Safety, on which occurrences and their definitions should be reported nationally.

Each of the Rail Safety Regulators has implemented occurrence notification requirements in their respective legislation or published guidelines that are based on Standard ON-S1. The relevant State or Territory legislation and guidelines specifically define the manner and timing of occurrence notification requirements.

For clarification purposes and to assist understanding the definitions that follow contain example inclusions and exclusions. The examples used are not exhaustive but are only intended to clarify the type of occurrence and how it should be recorded.

Appendix A attached shows the occurrence classification system in tabulated form and it reflects the information that will be recorded for each event.

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1 RAILWAY TERMINOLOGY ASSOCIATED WITH OCCURRENCES

1.1 Transport Occurrence:

Any occurrence involving a device designed primarily for, or being used at the time primarily for, conveying persons or goods from one place to another.

Includes:

- Occurrences involving railways.
- Occurrences where injured by moving rolling stock.

Excludes:

- Occurrences involving persons engaged in the maintenance or repair of transport equipment or vehicle not in motion, unless injured by another vehicle in motion.

1.2 Operation of a railway:

Inclusive term used to describe all activities of a railway related to the performance of its rail transportation business.

1.3 Railway Occurrence:

Any accident or incident involving a railway train or other railway vehicle operated on rails, whether in motion or not, or other event on railway property affecting the safety of persons and property.

Includes:

- Collision, derailment, fire, explosion, act of God, or other event; and
- Slips, trips and falls on trains or railway infrastructure.

Excludes:

- Occurrences in repair shops, not involving a train in motion; and
- Assaults (For national reporting only. Individual State/Territory Rail Safety Regulators may require assaults to be reported. The later definitions of assaults are designed to facilitate consistency between those States/Territories)

Note: The classification of an occurrence by type (collision, derailment, etc) is determined by the 'top event' in the sequence (ie the event with the greatest outcome). This may not necessarily be the final event in a chain of events.

For example, if following a derailment a train strikes another train on an adjacent track, the report will indicate that the occurrence type was a collision, not a derailment, if the collision had the greater outcome. Similarly, a SPAD may lead to a major train collision followed by a relatively minor derailment, in which case the collision (second event) would be the top event and therefore reported as the occurrence type.

1.4 Railway:

A guided system designed for the movement of rolling stock, which has the capability of transporting passengers, freight or both on a railway track, together with its infrastructure, and associated sidings.

Includes:

A system of transport employing parallel rails or monorail which provides support and guidance for vehicles carried on flanged wheels such as:

- a heavy railway, or light railway with a track gauge equal to or greater than 600 mm;

- a railway within a marshalling yard or a passenger or freight terminal;
- a tramway;
- an inclined railway; and
- a railway of a kind prescribed for the purposes of this definition.

Excludes:

- a railway in a mine which is predominantly underground and used in connection with the performance of mining operations;
- a slipway; or
- a crane-type runway.

1.5 Train:

One or more units of rolling stock coupled together, at least one of which is a locomotive or other self propelled unit that is designed to run on a railway.

Includes:

- Tram; and
- Track machine.

1.5.1 Passenger train:

A train that is designed and used for carrying passengers, whether or not it is carrying passengers at the time.

1.5.1.1 Urban Passenger train

A passenger train that travels within designated metropolitan areas.

Includes:

- Commuter trains.

Excludes:

- Long distance passenger trains; and
- Inter-city passenger trains.

1.5.1.2 Non-Urban Passenger train

A passenger train that travels outside designated metropolitan areas.

1.5.1.3 Tram:

A specific type of passenger train.

1.5.2 Freight train:

A train that is designed and used for carrying freight, such as coal and minerals, grain, fuel, livestock and containers, whether or not it is carrying freight at the time.

Includes:

- Trains operated in conjunction with maintenance activities eg. ballast train etc

Excludes:

- Track maintenance machines, hi-rails (road / rail) / inspection vehicles etc.

1.5.3 Track Maintenance Train:

A special type of train that is designed and used for track inspection and maintenance work.

Includes:

- Track machine
- Hi-rail (road/rail vehicle) / inspection vehicle

Excludes:

- Ballast train.

1.5.4 Other Train:

Anything that does not fit one of the above categories (a description of the train needs to be provided).

Includes:

- Locomotive(s) operated on running lines without a passenger or freight consist (running light engine only).

1.6 Type of Traction:

The type of power unit hauling a train.

1.6.1 Electric:

Excludes:

- Diesel electric

1.6.2 Diesel:

Includes:

- Diesel hydraulic; and
- Diesel electric.

1.6.3 Steam:

1.6.4 Other:

Anything that does not fit one of the above categories. (Provide a description).

1.7 Rolling Stock:

A railway vehicle, whether or not self propelled, that operates on or uses a railway track.

Includes:

- Locomotive;
- Carriage;
- Rail car;
- Rail motor;
- Light rail vehicle;

- Tram car;
- Light inspection vehicle;
- Track machine;
- Hi-rail, (road/rail vehicle), when operating on a railway track;
- Wagon; and
- Freight vehicle.

Excludes:

- A vehicle designed to operate both on or off a railway track when the vehicle is not operating on a railway track.

1.8 Railway Employee:

A person (whether full or part time) who works for or at the direction of the railway organisation.

Includes:

- Contractor;
- Contract worker;
- Subcontract worker;
- Volunteer (unpaid worker);
- Permanent employee;
- Temporary employee;
- A person supplied by an employment agency to carry out work for a railway operation;
- Trainee;
- Apprentice; or
- People undertaking tasks such as but not limited to: driver, driver's assistant, guard, shunting staff, examiner, station staff, on board staff, office staff, technical staff, infrastructure staff and freight centre staff.

Excludes:

- Employees when not on duty.

1.9 Contractor:

A person, and any employee of that person, who has a contract of service to carry out work for a railway organisation and is carrying out that work.

1.10 Volunteer:

A person who undertakes railway work for a railway organisation on a voluntary or unpaid basis and is carrying out that work.

1.11 Passenger:

A person travelling or intending to travel on a train.

Includes:

- Before and after travel, but while on railway property, irrespective of whether they have a valid authority to travel;

- An employee travelling while not on duty;
- Person boarding or alighting from train, and
- Person travelling without a valid ticket

Excludes:

- A trespasser;
- A person travelling on the outside of a train or in any location on a train not authorised for passenger travel;
- A stowaway; or
- A railway driver or other employee who is on duty and travelling to a place of work during this time should be regarded as an employee.

1.12 Public:

A person who has no business with the railway but becomes affected by a railway occurrence.

Includes:

- A person who has no intention of travelling but who is not a trespasser, eg person taking a 'short-cut' through an open station' concourse provided its not in any unauthorised area;
- A level crossing or bridge user who becomes affected by an occurrence on the railway;
- A bystander;
- A person who is lawfully on any part of railway property which is used in railway operations; or
- A person who is adjacent to railway property when affected as the result of a railway occurrence.

Excludes:

- Trespasser;
- Stowaway;
- Employee;
- Contractor;
- Volunteer; or
- Passenger

1.13 Trespasser:

A person on railway property and whether intentionally or negligently, is in a place they have no right or authority to be or for the purpose of carrying out illegal activities.

Includes:

- Suspected suicide;
- A person travelling in a place not authorised for their use, eg outside trains;
- Stowaways;
- A passenger or member of the public who uses without authority a recognised 'staff only' crossing (eg a staff foot crossing) at a station;
- A person who acts in disobedience of warning signs or signals, or strayed away from the normal route of the level crossing;

- A person crossing the track anywhere other than at an authorised crossing point;
- People electrocuted while dangling or throwing objects from a position on non-railway property onto overhead line equipment/conductor rails at bridges etc;
- A person who falls or jumps from a platform, unless it can be established that the person did not do it deliberately, eg a fall caused by illness, platform congestion etc, in which case they should be treated as a 'passenger', 'employee' or 'public'.

Excludes:

- Employee;
- Passenger; or
- Public.

1.14 Road vehicle:

A vehicle or any device in, on, or by which any person or property may be transported on a public or private roadway.

Includes:

- An automobile, bus, truck, motorcycle, bicycle, farm vehicle etc
- Animal carrying a person or goods.
- Motorised wheelchairs and motorised scooters.

Excludes:

- A tram;
- Pedestrian conveyance. ie, any human powered device by which a pedestrian may move other than by walking or by which a walking person may move another pedestrian (eg, baby carriage, roller skates, skateboard and non-motorised scooters and wheelchairs).

1.15 Level Crossing:

A location where a public or private roadway, footpath, or both, crosses one or more railway tracks at grade.

1.16 Casualty:

A fatality or a person, admitted to hospital, or injured requiring medical attention as a result of a railway occurrence.

Note: Evidence to be used as a basis for recording a casualty as due to suicide, a heart attack, drug or alcohol overdose or assault is the railway organisation's report only. Figures on casualties in railway occurrences will rely solely on reports from rail organisations involved. It is the railway organisation's responsibility to follow through on casualties in respect to admission to hospital and to death within the 30-day cut off limit.

1.16.1 Fatality:

A person who dies, within 30 days of a railway occurrence, from injuries sustained in that occurrence.

Includes:

- Death of employee, passenger, trespasser, or member of the public;
- A person killed as the result of a fall at a railway station;
- Death due to suspected suicide;
- Death of a person on a train due to a landslide which hits the train;

- Death of a person travelling on a tram or light rail vehicle involved in an accident on the roadway.

Excludes:

- Death due to natural causes (eg heart attack) on board a train;
- Death due to substance abuse (eg drug or alcohol overdose) on board a train;
- Death due to an occurrence in a repair shop, eg, a person killed while engaged in the maintenance of a stationary train in a repair shop;
- Death of a person as a result of a fight on board a train;
- Death of a person after being assaulted on a railway station platform;
- Death of a person travelling in a road vehicle involved in an accident on railway property and a train or other railway vehicle was not involved.

1.16.2 Serious Personal Injury:

A person admitted to hospital as the result of injuries sustained in a railway occurrence.

Includes:

- A person admitted to hospital as a result of a railway occurrence and who does not die from injuries sustained in the occurrence within 30 days of the occurrence;
- Serious injury of employee, passenger, trespasser, or public;
- Serious injury of a person as the result of a fall at a railway station;
- Serious injury of a person due to suspected suicide;
- Serious injury of a person on a train due to a landslide which hits the train;
- Serious injury of a person travelling on a tram or light rail vehicle involved in an accident on the roadway.

Excludes:

- Serious injury of a person due to natural causes (eg heart attack) on board a train;
- Serious injury of a person due to substance abuse (eg drug or alcohol overdose) on board a train;
- Serious injury of a person due to an occurrence in a repair shop, eg, a person injured while engaged in the maintenance of a stationary train in a repair shop;
- Serious injury of a person as a result of a fight on board a train;
- Serious injury of a person after being assaulted on a railway station platform;
- Serious injury of a person travelling in a road vehicle involved in an accident on railway property and a train or other railway vehicle was not involved;
- Minor injuries.

1.16.3 Minor Injury:

A person injured as a result of a railway occurrence but not admitted to hospital.

1.17 Railway Property:

Any property used for the operation of a railway and any railway rolling stock used in trains on that property.

Includes:

- The infrastructure (eg the permanent way/area on or about the track);
- Rolling stock;
- Stations (including platforms);
- Train control centre;
- Signal boxes;
- Office buildings; and
- Railway under construction.

1.17.1 Yard:

Tracks other than the running lines, used for marshalling, shunting, loading or unloading trains or for other purposes.

Includes:

- Siding

Excludes:

- Main line within yard limits;
- Crossing or passing loop.

1.17.2 Running Line:

Railway track used primarily for the through movement of trains.

Includes:

- Main lines; or
- Crossing/passing loops

Excludes:

- Sidings; or
- Yards

1.17.3 Track:

The combination of rails, rail connectors, sleepers, ballast, points and crossings, or substitute devices, if used.

1.18 Signal:

Any track side device or sign capable of displaying a stop indication or aspect for the purpose of stopping a train.

1.19 Proceed Authority:

A formal authority issued to a train or any party allocating occupancy of one or more block sections or segments of track.

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2 OCCURRENCE CATEGORIES AND DEFINITIONS

2.1 Derailment:

Where one or more rolling stock wheels leave the rail or track during railway operations.

Includes:

- Running line derailment; and
- Yard derailment

2.1.1 Running Line Derailment:

Any derailment occurring in the movement of a train on a running line.

Includes:

- Track machine derailments if they are travelling on the line as a running train;
- Shunting derailments occurring on running lines within station limits.

Excludes:

- Derailments of work trains/track machines occurring within closed section;
- Derailments that occur on a section of a running line which, at the time, was under absolute possession (meaning not available for normal train running), usually for the purposes of carrying out engineering works.

2.1.2 Yard Derailment:

Any derailment that occurs in yards or sidings or on a closed running line.

2.2 Collision:

When a train or rolling stock strikes another train, rolling stock, obstruction, person or other object or is struck by another object.

Includes:

- Running line collisions that occur in the normal movement of a train on a running line;
- Yard collisions that occur in yards or sidings or on closed running lines.

Excludes:

- Any collision (except train to train) that occurs at a level crossing (would be covered under the definition of “level crossing” occurrence).
- Suspected or attempted suicides.

2.2.1 Collision with Train:

Includes:

- Any type of train.

2.2.2 Rolling Stock:

Includes:

- Any type of rolling stock;
- Open rolling stock door;
- Load shift; or
- Other loading irregularity.

2.2.3 Person:

Collision with any person who at the time of the occurrence is not in, on, boarding, alighting or falling from a train.

Note: It is important to establish and report whether the person had a disability or a handicap that may have contributed to the collision.

Excludes:

- Suspected suicide;
- Person struck in a 'level crossing occurrence'.

2.2.4 Animal:

Collision with animals that result in damage to rolling stock or infrastructure or cause or might have caused the death or injury to a person.

Includes:

- Farm livestock that have entered upon the track and been hit;
- Other animals that caused damage or personal injury or were large enough to cause damage or personal injury.

2.2.5 Infrastructure:

Includes:

- Buffer stop

2.2.6 Obstruction:

Collision with any object that poses a danger to the safe passage of trains

Includes:

- Landslide;
- Fallen tree;
- Shopping trolley.
- Objects liable to pose a danger would include, for example, sleepers rail off-cuts, fish-plates, significant quantities of concrete materials, and equipment or freight fallen from trains.

2.2.7 Missile:

Any impact by an object that fell or was thrown that hits a moving train.

2.2.8 Road Vehicle:

Any collision with a road vehicle except at a level crossing.

2.2.9 Other:

Anything that does not fit one of the above categories. (Provide a description)

2.3 Level Crossing Occurrence:

Any collision of a train or rolling stock with either a road vehicle, person, level crossing safety equipment or gate, or any other occurrence that compromises safety, at a level crossing.

Includes:

- Cases of road vehicles causing damage to gates, barriers or other equipment at level crossings;
- Near miss incidents;
- Any case of a train running onto a level crossing when not authorised to do so is reportable;
- Any failure of equipment at a level crossing which could endanger users of the road or path crossing the railway. This includes ‘wrong-side’ failures of equipment (where equipment fails to a dangerous condition) whether or not any train or crossing user is involved at the time of failure;
- Incidents which occur during periods of unusual operation are to be included, eg when an automatic crossing is operated manually.
- Level crossing occurrences with Tramways where Trams operate over their exclusive right of way.

Excludes:

- Exclude suspected and attempted suicides from the count of level crossing fatalities and persons injured in level crossing occurrences. These are recorded as “suspected suicide”.
- Excludes infrastructure irregularities such as broken rails, welds and bonds that result in the unnecessary operation of crossing protection equipment. (These are reported in infrastructure irregularities).
- Roadways crossing tramways where tramways operate on roadways shared with road vehicles.

2.3.1 Road Vehicle Collision:

A train colliding with a road vehicle at a level crossing.

2.3.1.1 Crossings with Active Warning Devices :

Control of the movement of vehicular or pedestrian traffic across a railway level crossing by devices such as flashing light signals, bells or other audible warning devices, gates or barriers, or a combination of these, where the device is actuated prior to and during the passage of a train through the crossing.

2.3.1.2 Crossing with Passive Warning Devices :

Control of the movement of vehicular or pedestrian traffic across a railway level crossing by signs or devices, none of which are

activated during the approach or passage of a train, and which rely on the road user detecting the approach or presence of a train by direct observation.

2.3.1.3 Unprotected level crossing:

No active or passive warning of any kind provided. Usually a field or farm crossing (occupational crossing).

2.3.2 Collision with Person:

A person struck by a train at a level crossing.

Note: It is important to establish and report whether the person had a disability or a handicap that may have contributed to the collision.

2.3.2.1 Crossing with Active Warning Devices:

Control of the movement of vehicular or pedestrian traffic across a railway level crossing by devices such as flashing light signals, bells or other audible warning devices, gates or barriers, or a combination of these, where the device is actuated prior to and during the passage of a train through the crossing.

2.3.2.2 Crossing with Passive Warning Devices:

Control of the movement of vehicular or pedestrian traffic across a railway level crossing by signs or devices, none of which are activated during the approach or passage of a train, and which rely on the road user detecting the approach or presence of a train by direct observation.

2.3.2.3 Unprotected level crossing:

No active or passive warning of any kind provided. Usually a field or farm crossing (occupational crossing).

2.3.3 Level Crossing Equipment Failure/Defect:

The failure of any warning equipment provided at a level crossing.

Includes:

- Wrong Side” failures of equipment

2.3.4 Other:

Anything that does not fit one of the above categories. (Provide a description).

Includes:

- Interference and vandalism;
- Road vehicle colliding with level crossing equipment.
- A train involved in a near miss occurrence with a road vehicle at a level crossing

2.4 Signal Passed at Danger:

Where a train passes without authority a signal displaying a stop indication or stop aspect.

Also referred to as SPAD – Signal passed at danger; or signal passed without authority.

Includes:

- When signals blacked out.

Excludes :

- Hand signal;
- Point indicator;
- Radio signal.
- Proceed Authority exceedance.

2.4.1 Driver Misjudged:

Where a train has been brought to a stand past a signal at danger without the necessary authority.

The driver has attempted to stop the train but failed to stop the train before passing the signal for whatever reason.

Includes:

- All instances of stop signal over-run caused by train driver misjudgment of braking distance.

Overrun is to be measured and reported in terms of distance (metres) between the front of the stopped train and the stop signal.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

2.4.2 Completely Missed While Running:

Where no attempt has been made to bring a train to a stand before the stop signal or the attempt to stop the train is too late and the train has proceeded into the next section or block without the necessary authority.

The driver has not realised that the train has passed a stop signal until a more serious event results; the driver is stopped by train control over the radio or at the next signal or stopped by other external intervention.

To be reported either as train travelled through the next section unauthorised or if the train was stopped in this section how far (metres) the front of the train had travelled beyond the signal at stop.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

2.4.3 Signal Restored as Train Approached:

Where a proceed signal changes to stop in the face of the driver giving insufficient time for the train to brake to a stop prior to passing the signal at danger.

Includes:

- Where signal equipment fails;
- Where the controller changes the signal to stop.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

2.4.4 Starting Against Signal:

Where a stationary train starts and proceeds beyond a signal at danger without authority.

The driver may or may not realise that the train has run past the signal.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

2.4.5 Other:

Any unauthorised passing of a stop signal that does not fit one of the above categories. (Provide a description).

2.5 Proceed Authority Exceeded:

Train exceeds the limits of authorised movements.

Includes:

- Train order / authority;
- Token;
- Special authority order;
- Warrant.

Excludes:

- SPAD

2.5.1 Driver Misjudged:

Where a train has been brought to a stand beyond a section for which a current authority is held.

*The **driver has attempted to stop the train but failed** to stop the train within the authorised section for whatever reason.*

Overrun is to be measured and reported in terms of distance (metres) between the front of the stopped train and the end of the authorised section.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

Includes:

- All instances of authority over-run caused by train driver misjudgment of braking distance.
- All instances of authority over-run caused by misunderstanding or misinterpretation of authority instructions.

Excludes:

- SPADS

2.5.2 Completely Missed While Running:

*Where the **driver has made no attempt to stop the train** or the attempt is too late and the train has proceeded into the next section whilst not in possession of an authority for the section.*

The driver has not realised that the train has entered the section without authority until a more serious event results; the driver is stopped by train control over the radio or at the next section location or stopped by other external intervention.

**Exceedance of authority is to be reported either as train travelled through the next section unauthorised or if the train was stopped in this section how far (metres) the front of the train had travelled beyond the end of the authorised section.
The type of train (defined at 1.5) involved in the occurrence is to be reported.**

Excludes:

- SPADS

2.6 Signal Irregularity:

Any failure in the signalling system which endangers or which has the potential to endanger the safe operation of trains or the safety of persons or adjoining property.

A failure is potentially dangerous if it was not detected by other parts of the signalling system AND had at least one of the following consequences:

- **it caused a signal to display an aspect less restrictive than the proper one; OR**
- **it prevented a signal from displaying a more restrictive aspect; OR**
- **It resulted in incorrect operation of the interlocking.**

Includes:

- Failures in design, installation, testing, operation and maintenance of vital signalling equipment;

Excludes:

- Failure of equipment at level crossings (to be recorded as a level crossing occurrence);
- Signals operating correctly, as designed, and displaying a 'stop' or 'danger' indication because of a broken rail, weld, bond wire or other infrastructure defect or an occupied block. (reportable as infrastructure irregularity).
- Failure of a traffic light controlling the movement of vehicles on a road;
- Where the system is protected by means of an automatic train stop system which, in the event of a failure in the signalling system, brings a train safely to rest;
- Road traffic light failures that may form part of the signalling system for trams while they are operating on the road.

2.6.1 Wrong Side Failure:

Any failure of a signalling system to other than fail-safe.

2.6.2 Other:

All signal failures except a wrong side failure.

2.7 Slip, Trip or Fall:

Any occurrence involving a person slipping, tripping or falling on railway property or being caught in train doors.

Note: It is important to establish and report whether the person had a disability or a handicap that may have contributed to the slip, trip or fall.

Includes:

- When boarding or alighting from a train.
- Tripping or falling over an obstruction or because of a defect in the surface;
- Slipping or tripping due to the presence of debris or a substance (eg water, ice snow or food waste).
- Falling down steps or an escalator in a station.
- Train crew when boarding or alighting from a locomotive.

2.7.1 From train:

Where a person is boarding or alighting from a train or falls from a train.

2.7.2 Between Platform and Train:

Where any person falls or is caught between a platform, loading dock, or safety zone and a train on the adjacent line.

2.7.3 On Train:

Where a person is travelling on a train.

2.7.4 On Track:

Where a person is moving on or about the track.

Includes:

- When a person falls from the platform onto the track.

2.7.5 On Platform /Concourse:

Where a person is on a platform, concourse or its surrounds

Includes:

- When a person falls from a platform onto the track.

2.7.6 On Escalator/Lift:

Where a person is on an escalator or in a lift.

2.7.7 On Stairs:

Where a person is on stairs.

2.7.8 From Structure:

Where a person falls from any structure on or onto railway property.

2.7.9 Caught in Train Doors:

Where a person is caught in train doors when boarding or alighting from a train at a station.

2.7.10 Other:

Anything that does not fit one of the above categories. (Provide a description).

2.8 Loading Irregularity

Any danger to the load that affects or could affect the safe passage of trains or the safety of persons and/or property.

2.8.1 Door Open

Any door or hatch that is incorrectly secured and has resulted or could result in the loss of loading or risk from an open swinging door.

2.8.2 Out of Gauge

Any unauthorised loading that is wider, higher or longer than the dimensions for the line over which it is to travel.

2.8.3 Load Shift

Any load that moves, spills or falls on or from a train causing damage or a safety risk.

2.8.4 Uneven Distribution of Load

Any uneven distribution of load on rollingstock or in the consist of trains that causes damage or a safety risk.

2.8.5 Other

Anything that does not fit one of the above categories. (Provide a description).

Includes:

- Overloading that causes coupling misalignment;
- Fastening failure;
- Chains, ropes, tarpaulins etc dragging, or hanging dangerously.

2.9 Dangerous Goods

Any accident or incident involving dangerous goods that may affect the safety of persons and or property or safe operation of the railway.

Includes:

- Spillage, leakage or emission of dangerous goods;
- Occurrences that risk damage to the environment.

Excludes

- Escape of dangerous goods resulting in fire or explosion (these are recorded as fire or explosion occurrences).
- **Dangerous Goods are goods described in the Australian Dangerous Goods Code and may be liquid, solid, gaseous or vapour and may include, for example:**
 - **substances hazardous to health;**
 - **substances that may be corrosive or potentially hazardous by virtue of their temperature or pressure;**
 - **substances which may, depending upon the circumstances of the escape, present a fire or explosion hazard;**
 - **biological agents.**

2.9.1 On Train:

Any occurrence on a moving or stationary train.

2.9.2 Off Train:

Any occurrence on railway property or where it has or could have affected railway property.

2.10 Safeworking Irregularity/Breach

Any breach of, irregularity or deficiency in an operational safeworking system or procedure.

Includes:

- Safeworking system failures;
- Intended and unintended Human errors in the application of safeworking procedures;
- Inadequate or inappropriate safeworking procedure.

Excludes:

- SPAD's;
- Derailments;
- Collisions;
- Level crossing occurrences;
- System failures identified as part of standard inspection and maintenance programs; and
- Failure of communications systems.

2.10.1 System Failure:

Any failure of a mechanical or electronic device or component, or deficiency in an approved safeworking procedure forming part of any safeworking system used for the safe management of a railway.

Includes:

- Electronic train authority system malfunctions;
- Deficiencies within approved safeworking codes, procedures or rules that result in an occurrence;

Excludes:

- Civil infrastructure failures;
- Signal irregularities;
- Electrical infrastructure irregularities;
- Rollingstock irregularities;
- Human failure.

2.10.2 Human Failure:

Any breach of an operational safeworking procedure due to human factor(s).

Includes:

- Intentional human factor failure / error
- Unintentional error.

Excludes:

- SPAD's and Proceed Authority exceedances;
- System failure.

2.11 Track and Civil Infrastructure Irregularity:

Any irregularity in the track or supporting infrastructure that causes a danger to the safe passage of trains and or to people.

Note: Even if a line or structure is taken out of use as a precaution while a competent technical person is called to the scene, the occurrence is only reportable if it is confirmed that there was likely to be a train accident or injury to people. This may be measured by the need for repairs before rail traffic can resume its normal speed or before premises or structures can be safely used again.

Includes:

- The failure of a tunnel, bridge, viaduct, culvert, station, or other structure or any part thereof subject to the fact that the occurrence is likely to cause an accident to a train or endanger persons

Excludes:

- Signaling and Electrical Infrastructure;
- Irregularities detected and corrected as part of a normal maintenance program.

2.11.1 Broken Rail:

A fracture of the rail including a broken joint or weld, or detachment of a piece from the rail which necessitates an immediate stoppage of traffic or the immediate imposition of a speed restriction lower than that currently in force.

2.11.2 Buckled Track:

A buckle of a railway line involving misalignment which results in an immediate stoppage of traffic or the immediate imposition of a speed restriction lower than that already in force.

2.11.3 Spread Track:

Any spread of rail track beyond approved gauge tolerances that results in an immediate stoppage of traffic or other restrictions.

2.11.4 Points Failure:

Any failure of a set of points which results in immediate stoppage of traffic or other restrictions.

Includes:

- Misalignment of points;
- Broken points blade or components;
- Malfunction of points motors.

Excludes:

- Irregularities detected and corrected during regular maintenance programs;

2.11.5 Other

Anything that does not fit one of the above categories that is likely either to cause an accident to a train or to endanger any person (provide a description).

Includes:

- Damage to station facilities that may affect the safety of persons and property;
- Subsidence or slippage of a supporting embankment or a cutting;
- Flooding of the permanent way. This includes flooding or flood alerts which result in the suspension of services. Where investigations are undertaken into flooding and services are suspended while these are taking place, if found that it is not likely to cause an accident or endanger people and normal service is resumed, it is not reportable. Instances of flooding at times when a line(s) is closed are not reportable.
- The striking of a bridge by a vessel or by a road vehicle or its load. If no structural damage to an underline bridge (ie a bridge carrying a railway) occurs, the occurrence is not notifiable. The striking of a parapet of an overline bridge (ie a bridge over the railway) is notifiable if materials fall, or are dislodged and rendered liable to fall, onto the line.
- The failure of any other portion of the permanent way or works covers anything in a similar vein to the above, and which is likely either to cause an accident to a train or to endanger any person;
- All cases of damage by aircraft or vehicles of any kind (eg cars, agricultural machinery) are reportable when the line, including the overhead electric line equipment is damaged or obstructed.

Excludes:

- Damage to any railway equipment at a level crossing (eg level crossing gates, barriers, signalling equipment). Recorded as a level crossing occurrence.

2.12 Rollingstock Irregularity:

Any rollingstock irregularity that affects or has the potential to affect the integrity or safety of a train or person.

Excludes:

- Any irregularity detected and corrected during a normal maintenance program.

2.12.1 Train Parting:

Any unintentional separation of rollingstock from a train.

2.12.2 Wheel/Axle Failure:

The failure of a wheel or axle which occurs while the vehicle is in service.

Includes:

- The failure of a wheel or tyre, including a tyre loose on its wheel. This includes tyres that are known to have moved (ie shifted) on a wheel but after cooling are found to have returned to a 'safe state'.
- The failure of an axle but only if the axle fractures or shears.

2.12.3 Defective Bearing:

Any defect or failure of an axle bearing which can lead to catastrophic axle failure.

2.12.4 Faulty Passenger Train Door:

Any failure of passenger rollingstock doors that poses a danger to the safe passage of a train and or to people.

Includes:

- Entry/Exit doors;
- Inter-coach doors, gangways and diaphragm plates;
- Technical failure of the power operated door which would place passengers at risk;
- Technical failure of the central door locking system.

2.12.5 Braking System:

Any irregularity in vehicle or train braking system.

Includes:

- Dragging/sticking brakes;
- Burst air hose.

2.12.6 Other:

Any other rollingstock irregularity which is likely to cause an accident to that or any other train, or to injure any person. (Provide a description).

Includes:

- Dragging equipment (brake gear or other rollingstock components dragging or hanging dangerously);
- Other vehicle structural defects;
- Any severe electrical arcing or fusing in or on any part of a train;
- Any irregularity with automatic train protection or warning system;
- Components that fail to meet specifications or standards.

2.13 Electrical Infrastructure Irregularity:

Any irregularity in an electrical system or component that results in an electrical accident or poses a threat to safety.

Includes:

- The fixed electrical equipment of an electrified system subject to the fact that the occurrence is likely to cause an accident to a train or endanger persons.

Excludes:

- Irregularities detected and corrected under normal maintenance programs.

2.13.1 Overhead Traction Supply:

Defects in electrical supply or overhead wiring sufficient to cause an electrical fault or dewirement.

Includes:

- Dewirement;
- Short circuits.

Excludes:

- Simple electrical failures, which include short circuits or tripping of circuit-breakers unless for other reasons such as fire, are reportable under another category.
- Occurrences in a depot that does not affect the running line.

2.13.2 Other:

Anything that does not fit one of the above categories. (Provide a description).

2.14 Fire:

A fire affecting rail infrastructure or rolling stock or which has the potential to affect the safe operation of a railway.

Includes:

- Fire in or on a train whether in motion or not
- Fire in or on railway infrastructure;
- Fires on properties adjacent to the railway which causes damage or which has the potential to affect the running of a railway, even though they may occur in commercial premises and be subject to separate reporting requirements;
- Incidents where smoke/fumes penetrate passenger accommodation, necessitating evacuation of the passengers from the vehicle(s) concerned where there is no evidence of actual fire;
- Severe electrical arcing or fusing where there is evidence of fire damage;
- Any fire affecting the permanent way or works of a railway system are reportable where they necessitate the suspension of services over any line, or the closure of any part of a station or signal box or other railway premises.

Note:

The important consideration is which part of the system is closed as a result of the fire and not where the fire occurred.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

2.15 Explosion:

An explosion affecting rail infrastructure or rolling stock or which has the potential to affect the safe operation of a railway.

Includes:

- Explosion in or on a train whether in motion or not;
- Explosion in or on railway infrastructure;
- Explosion on properties adjacent to the railway which causes damage or which has the potential to affect the running of a railway, even though they may occur in commercial premises and be subject to separate reporting requirements;
- Crankcase explosions;
- Violent release of liquefied petroleum gas or anhydrous ammonia (see dangerous goods; or

- Detonation of material carried by or transported by rail; detonations resulting from mishaps during loading or unloading operations, and those caused by fire aboard on track equipment.

The type of train (defined at 1.5) involved in the occurrence is to be reported.

2.16 Alleged Assault:

Any occurrence on railway property where a person inflicts injuries on another person with intent to injure by any means.

Note: It is important to establish and report whether the person allegedly assaulted had a disability or a handicap.

Includes:

- Assault of members of the public;
- Assault of passengers; or
- Assault of employees

2.16.1 On Train:

Any assault on board a train.

2.16.2 On Tram:

Any assault on board a tram.

2.16.3 On Platform:

Any assault on a platform or station

2.16.4 Other:

Anything that does not fit one of the above categories. (Provide a description).

2.17 Suspected Suicide or Attempted Suicide:

“Suicide” means death caused by purposely self-inflicted injuries – including by drug or alcohol abuse with the intent to cause death.

Note: Any incident reported under this category is based on a reasonable conclusion from information available that a suspected suicide was involved. It does not pre-empt or rely on coronial decisions.

2.17.1 Suspected Suicide

Any suspected suicide that takes place on or from railway property.

Includes:

- Struck by train;
- Jumping from railway structure;
- Jumping from structure onto railway property.

2.17.1.1 Struck by Train:

Any person who appears to have deliberately placed themselves in a situation to be struck by a train.

2.17.1.2 Other:

*Any suspected suicide that does not fit the above category.
(Provide a description).*

2.17.2 Attempted Suicide:

Any person who unsuccessfully attempts to take their own life on railway property.

2.17.2.1 Struck by Train:

Any person who appears to have deliberately placed themselves in a situation to be struck by a train.

2.17.2.2 Other:

*Any attempted suicide that does not fit the above category.
(Provide a description).*

2.18 Alcohol or Drugs Irregularity:

Any case where an employee returns a positive result to a test designed to determine the concentration of alcohol or drugs in the blood or urine.

2.19 Vandalism:

Any case of damage to railway infrastructure or rollingstock by external agents which causes or has the potential to cause an accident.

Standard ON-S-2

PERFORMANCE NORMALISING DATA (INCLUDING INJURY SEVERITY, PROPERTY DAMAGE AND ADDITIONAL INFORMATION)

1 Purpose

To ensure that occurrence data is processed to provide statistical information normalised in a consistent manner to allow useful comparisons to be made for trend analysis and benchmarking.

2 Performance Normalisers

Reported every calendar month according to the following.

- 2.1 Per Million Passenger Journeys "Passenger Journeys" are calculated as follows:
Urban areas - on a point to point journey irrespective of the number of vehicles or mode used for the trip. Non-urban - a point to point journey but each change of vehicle along the route is a separate journey.
- 2.2 Per Million Population
- 2.3 Per Thousand Employees
2.3.1 Breakdown by Grade
Grades to include are driver, drivers assistant, guard, shunting staff, examiner, station staff, on board staff, office staff, technical staff, infrastructure staff, workshop staff, freight centre staff.
- (Note: It is recognised that not all railways currently collect data regarding their employees according to the categories in 1.3.1. Also, as a consequence of multi-skilling, some employees perform the functions of more than one of the identified grades. Consequently, pending further discussion with the rail industry, only total numbers of employees will be collected.)
- 2.4 Per Million Train Kilometres
2.4.1 By Passenger Train and Freight Train
Work trains (eg ballast/rail/sleeper) to be recorded as freight train kilometres and track vehicle kilometres (track machines/inspection vehicles etc.) are not required.
- 2.5 Per Thousand Kilometres of Track
All operational track should be counted. In multiple track areas the total would be the total kilometres multiplied by the number of operational tracks for running lines only.
- 2.5.1 By Passenger Train
2.5.2 By Freight Train
2.5.3 Total

3 Injury Severity

3.1	Passenger	A person who is joining, on, or alighting from a train (includes employees not travelling in the course of their duties).
	3.1.1 Fatal	A loss of life as a direct result of an accident.
	3.1.2 Serious Personal Injury	Injury that results in admission to hospital.
3.2	Employee	A person other than a contractor or volunteer who does work for or at the direction of a railway owner or operator.
	3.2.1 Fatal	
	3.2.2 Serious Personal injury	
3.3	Contractor	A person, and any employee of that person, who has a contract of service to carry out work for a railway owner or operator.
	3.3.1 Fatal	
	3.3.2 Serious Personal Injury	
3.4	Volunteer	A person who works for a railway owner or operator or works on railway property on a voluntary or unpaid basis.
	3.4.1 Fatal	
	3.4.2 Serious Personal Injury	
3.5	Trespasser	A person unlawfully on railway property.
	3.5.1 Fatal	
	3.5.2 Serious Personal Injury	
3.6	Public/Other	Persons not included in any other category.
	3.6.1 Fatal	
	3.6.2 Serious Personal Injury	

*If loss of life occurs within 30 days of accident and the Accreditation Authority is advised statistics will be adjusted.

4 Property Damage

- 4.1 Nature of Event
- 4.2 Estimated Value
 - 4.2.1 Not assessed
 - 4.2.2 Low
 - 4.2.3 Moderate
 - 4.2.4 High
 - 4.2.5. Extreme

(Note: The category "Not assessed" recognises that, for whatever reason, there may be circumstances where an assessment is not made of the extent of property damage resulting from an incident. Nevertheless, railways should endeavour to assess damage in as many incidents as practicable.)

5 Additional Information

- | | |
|-----------------------------------|---|
| 5.1 Alcohol and Drugs | The result of any alcohol or other drug test, which has been called for to ascertain whether these substances were involved in an accident or incident. 0.02 grams or more per 100ml. of blood. Below 0.02 grams per 100ml. of blood. |
| 5.1.1 Positive | |
| 5.1.2 Negative | |
| 5.2 Type of Train 5.2.1 Passenger | A train designed and used for carrying passengers. |
| 5.2.1 (a) Suburban | Any train which travels within designated Metropolitan areas ie. areas where commuter trains, as opposed to long distance trains, operate). |
| 5.2.1 (b) Non-suburban | Any train which travels outside designated metropolitan areas. |
| 5.2.2 Freight | A train designed and used for conveying freight, such as coal and minerals, grain, fuel, livestock and containers. |
| 5.2.3 Other | Anything which does not fit one of the above categories - provide description. |
| 5.3 Type of Traction | The type of power unit hauling a train. |
| 5.3.1 Electric | |
| 5.3.2 Diesel | |
| 5.3.3 Steam | |
| 5.3.4 Other | |