



SYDNEY TRAMWAY MUSEUM

INCIDENT/ACCIDENT MANAGEMENT NOTIFICATION, INVESTIGATION AND REPORTING PROCEDURE

MAY 2016~~3~~

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2. Version History:

Version Number	Date	Reason/Comments
1.0	14/01/2007	Initial issue
1.1	15/08/2007	Added details about the reporting of an accident
1.2	08/05/2008	Added reference to Drug and Alcohol testing
1.3	06/09/2008	Added reference to Incident Report (STM6033)
1.4	18/10/2008	Changed the title of Technical Services Manager to Tramcar Maintenance/Workshop Manager
1.5	27/03/2009	Clarified when to report to OTSI and added some web sites for reporting purposes.
1.6	19/06/2009	Added definitions of Running Lines and Other Lines and changed the definitions of Categories as per the Rail Safety Act 2008.
1.7	4/08/2009	Amended the definition of Running line
2.0	31/10/2009	Amended the procedure from comments from G Holliday (ITSRR) and the last ITSRR audit meeting.
2.1	08/03/2010	Updated the process for preparing accident reports.
2.2	18/07/2010	Amended the ITSR name
2.3	17/05/2011	Improved the procedure to explain the process for reporting minor incidents in STM6067 Occurrence Report Corrective Action Register.
2.4	02/06/2011	Updating the Occurrence Register Details
2.5	15/10/2011	Improve the procedure to state that Customer complaints should be covered by this procedure.
3.0	31/5/2013	Major amendments to reflect the new structure of National Rail Safety Regulator and to remove duplication with STM6034
3.1	14/05/2016	Amended Distribution List format

Approved by **Signature & Date**

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3. Distribution List

Position	Date	Location of Documents
Rail Safety Manager		Original held on GOOGLE secure Website
STM WEB SITE		Updated regularly and put onto the STM Web site.
STM Office		STM Office Computer
STM Office		STM Office cupboard

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1. Purpose

The purpose of this procedure is to describe the steps that are to be followed when a major incident or accident occurs at the Sydney Tramway Museum. The procedure covers:

- a) Managing the incident or accident;
- b) Notifying the relevant people of an incident or accident; and
- c) Investigating and reporting on the incident or accident.

2. Scope

This procedure shall apply to all STM staff involved in management and response, notification, and investigation of accidents or incidents.

3. Responsibilities

STM personnel are responsible for reporting any incidents or accidents to the relevant authorities and recording the details on the Occurrence Report Form (STM6033) as soon as possible. They will also be involved with the response to the incident or accident and the subsequent investigation.

4. References

Corrective Action Report Form (STM6078)
Drug and Alcohol Program (STM6066)
Emergency-Evacuation Procedure (STM6034)
Occurrence Report & Corrective Action Register (STM6067)
Occurrence Report Form (STM6033)
Latest Occupational Health & Safety Act
Rail Safety Act 2008
Rail Safety (General) Regulation 2008
Register of Accident Reports (STM6173)
The Rail Safety Investigation Report format (STM6077A)

5. Definitions

- a) **An incident** is any occurrence that results in adverse consequences to people, the environment, property/plant, or a combination of these, resulting in a near miss situation with no injuries and/or only minor damage. Also covered are unsafe actions of persons caused by ignorance or negligence of safety procedures or principles creating a risky outcome. Customer complaints will result in the raising of an Occurrence Report form.
- b) **An accident** is an unexpected event causing injury and/or damage. The basic causes of such accidents are, in general, unsafe conditions or machinery, equipment or surroundings and the unsafe actions of persons that are caused by ignorance or negligence of safety procedures or principles.
- c) **An incident reporter** is the person who reports the incident/accident.
- d) **An investigation** is a detailed review of the incident/accident including, how it happened, when it happened, the root causes of why it happened, leading to a set of corrective actions and learnings to be communicated where relevant.
- e) **ATSB** Australian Safety Transport Bureau

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- f) **Category A Occurrence (As per the Rail Safety (General) Regulations 2008)**
See the reporting forms for ATSB and other details can be found in STM6034 for the full list of occurrences
- g) **Category B Occurrence (As per the Rail Safety (General) Regulations 2008)**
See the reporting forms for ATSB and other details can be found in STM6034 for the full list of occurrences
- h) **Near Miss** *Any occurrence where the driver of a moving train takes emergency action, or would have if there was sufficient time, to avoid impact with a person, vehicle or other obstruction and no collision occurred. Emergency action includes continuous audible warning and/or brake application (from National Guidelines for the Reporting of Notifiable Occurrences).*
- i) **ONRSR** Office of the National Rail Safety Regulator
- j) **Other Lines** refers to all of the tracks in Depot Yard and Cross Street.
- k) **RSM** – Rail Safety Manager
- l) **RSMT** - Rail Safety Management Team
- m) **Running Lines** refers to the main lines running through Tramway Avenue to both The Royal National Park station and to Sutherland. Also it covers the Depot Main that runs from Depot Junction, north to the loading platform in Lakewood Park.
- n) **STM-** Sydney Tramway Museum, a trading name of South Pacific Electric Railway Co-Operative Society Limited.
- o) **The nominated investigator** is the person nominated to investigate the incident/accident.
- p) **The sign-off** is the formal acceptance that the incident/accident is sufficiently documented and investigated. The sign-off includes a review to ensure: the root causes are established, potential consequences and likelihood are correctly ranked, corrective actions are determined and assigned and that key learnings have been identified.
- q) **The close-out** is the formal acknowledgement that, through an audit or review, all corrective actions have been completed and found to be effective
- r) **The supervisor** is the person who is directing activities at the time of the incident.

6. Actions

The main steps with an incident or accident are:

- Manage the response to an incident or accident as per *Emergency Management Procedure STM6034*;
- Notify the relevant people about the incident or accident as per *Emergency Management Procedure STM6034*; and
- Investigating and reporting on the incident or accident.

7. Procedure

7.1 Manage The Incident or Accident

To procedure to manage the incident or accident and the initial internal notification and documentation, is described in the procedure STM6034 – Emergency Management Procedure.

However if the occurrence is of a minor nature or as a result of a complaint, then the only action to be taken is that the Occurrence Report (STM6033) must be completed and the form

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passed to the Secretary, with copies to the Rail Safety Manager and any other relevant manager. The RSM will table the minor occurrences in the RSM Monthly report to the Board or if it is a customer complaint at the next Board meeting for a decision on the action to be taken.

The Register of Injury form (STM6069) must also be completed if there are any injuries. These completed forms must be passed to the Rail Safety Manager for submitting to the Board.

7.2 Completion of Occurrence, Hazard and Corrective Action Report (STM6067)

The Rail Safety Manager (RSM) or his nominee will collect all completed Occurrence Report Forms (STM6033) and the RSM will record the details in the Occurrence Report & Corrective Action Register (STM6067). This report will be used by the RSM to follow up the occurrences to ensure they are actioned and closed. If required a Corrective Action Report (STM6078) is to be raised, the RSM will organise for it to be completed.

The Occurrence Report & Corrective Action Register (STM6067), which is kept in the STM Office, is updated with the details from the Occurrence Reporting form and the RSM allocates an Occurrence Number when updating the Occurrence Report & Corrective Action Register. The format for the Occurrence number is yynnn where yy is the year and nnn is a sequential number starting from 1 at the beginning of each year.

Also the RSM will ensure that the Register of Injury form (STM6069) is tabled at the next Board meeting and the forms filed in the appropriate folder.

7.3 Notifications To External Authorities

Refer to STM6034 Emergency Management Procedure for the **Reporting category A and B occurrences**. Copies of the ONRSR notification forms can be found in the OIC Manual, which is kept in the safe in the Traffic Office.

When an **incident, accident or “Near Miss”** occurs either the tram crew or the OIC must complete an Occurrence Report (STM6033) as soon as possible. Depending on the incident or accident, it may have to be notified to the RSM immediately or at the end of the operating day.

Specific types of derailments are dealt with in sections 7.3.1 and 7.3.2.

7.3.1 Derailment on Running Lines – Category A

Refer to Appendix D of STM6034 Emergency Management Procedure

7.3.2 Derailment on Other Lines – maybe Category A or B

If the derailment does NOT involve death or serious injury of a person, then only ONRSR needs to be notified and this will usually be done by one of the managers or directors in accordance with Section 7.3 and 7.3.1 above.

ATSB will only need to be notified if:

- a) a fire or explosion on or in rail infrastructure or rolling stock that affects the safety of railway operations or that endangers one or more people, or
- b) any accident or incident involving a significant failure of a safety management system that could have caused death, serious injury or significant property damage

After permission is received from the ATSB investigator (if notified), the RSM and Police (if applicable), the OIC will arrange for the recovery of the tram and will coordinate the removal

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of obstructions. The Infrastructure Manager will arrange for damage to the track to be assessed and repaired. The damaged tram, if possible, will be declared unfit for service and removed to the depot for later inspection by the maintenance staff.

All members of the crew must be stood down from traffic until after the investigation has been completed. The STM driver or drivers must be tested as per section 6.3 of the Drug and Alcohol program (STM6066).

7.4 Investigation and Reporting Procedures

The accident investigation procedure aims to establish the sequence of events that actually occurred and compares these events to what should have occurred. The comparison will then highlight the changes that need to be implemented to prevent a recurrence.

An incident/accident investigation must:

- a) be systematic
- b) be done in the spirit of co-operation and involvement
- c) not to seek blame (i.e. not to be a witch hunt)

In investigating the accident the Infrastructure, the track, the overhead, the tramcar operations and the crew must be examined.

Investigations of the Infrastructure will cover the inspections performed over the past 12 months and any maintenance or other work carried out on the area of the accident.

Investigations of the Overhead will cover the inspections performed over the past 12 months and any maintenance or other work carried out on the area of the accident.

Investigations of the tramcar or tramcars will cover the inspections performed over the previous 12 months and any maintenance or other work carried out on the tramcar (s).

7.4.1 Areas of Investigation

Investigations of the crew and the tramcar operations will cover:

- the qualifications of the crew;
- the speed of the tram at the time of the accident;
- the weather conditions;
- the visibility of the area;
- the operating requirements of the tram;
- the results of any testing of the crew (drug and alcohol);
- the experience of the crew;
- the past history of the crew; and
- the statements from any witnesses.

7.4.2 Investigation Team

The investigation team to seek the most appropriate remedy in consultation with relevant personnel; e.g. Tramcar Maintenance/Workshop Manager, Infrastructure Manager, Operations Manager, etc. The Investigation team will compile the report.

The investigation team is to complete all necessary paperwork involved for rectification of the problem and to sign off the investigation.

The investigation team will follow up and evaluate effectiveness and acceptability of remedies suggested.

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The Investigation team will be made up of one or more of the following personnel:

- a) Infrastructure Manager;
- b) Workshop Manager;
- c) Overhead Supervisor;
- d) The Chief Engineer;
- e) Operations Manager; or
- f) Traffic Manager.

Appointed and co-ordinated by the Rail Safety Manager who may co-opt other persons to take part in the investigation team. If considered desirable, the Board may take control of a particular investigation and exercise the RSM's powers of appointment and/or co-ordination.

7.4.3 Rail Safety Investigation Report Details

The investigation team will look at the unsafe acts and conditions one at a time (remember not to seek blame or make it a witch hunt). Consider all possible remedies. The investigation team will recommend remedial action if required. Also other similar hazards are to be considered. The report will be reviewed and approved by the investigating team before the Rail Safety Manager passes it to the Board.

Some of the details to be included in the Investigation Report are:

- a) Qualifications and/or experience of each member of the investigating team;
- b) Details of the accident - Trace back the sequence of events identifying all contributing unsafe acts and conditions – human, machine or environment factors;
- c) Any witness statements;
- d) All details of any injuries;
- e) Authorities contacted, including ATSB & ONRSR;
- f) Any environmental factors (e.g. track conditions, weather conditions, day or night time, etc);
- g) Statements from the Traffic staff;
- h) Any sketches and/or photos of the accident;
- i) A map of the site where the accident occurred;
- j) The results of the review of the Risk Register to ascertain if:
 - i. More risks need to be identified; and
 - ii. All of the current risks have been correctly rated;
- k) Copies of the following documents:
 - i. *Tramcar Pre-operation and Stabling Inspection Checklist* f(STM6031) or all trams involved;
 - ii. *Attendance Sheet – Operations*, for the day (STM6070) for the day;
 - iii. *Starter's Journal* (STM6019) for the day – ensure it is completed and signed by the OIC;
 - iv. All inspections records of the trams;
 - v. Look at previous *Attendance Sheet – Operations and Works*, to check for excessive hours (fatigue) and note the hours and days in the final report for each crew member;
 - vi. Copies of any Safety Notices which are significant to the tramcars or the event;
 - vii. Copies of any *Tramcar History Records* and relevant maintenance records; and
 - viii. Copies of any *Operators Manuals*.
- l) Recommendations for improvements (if required) including:
 - i. Any modifications to procedures and operating instructions;
 - ii. Any additional risks identified; and
 - iii. Any further Safety Notices which may be issued.

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A suggested proforma for the Rail Safety Investigation Report is shown in STM6077A. Photos of the accident, etc. should also be included if possible.

If the period between the accident and the final report is quite some time, it is suggested that a Preliminary report of the accident which includes the results of the initial investigation should be issued as soon as possible with a Final report to follow once all details have been ascertained and actions taken.

7.4.4 Review Risk Register

During the investigation, the report co-ordinator must review the Risk Register to ensure that all risks were identified and if not, then new risks are to be added to the register and rated. The review of the Risk Register must then be completed at the next RSMT meeting.

7.4.5 Registering Accident Reports

The Rail Safety Manager must record all accident reports in the Register of Accident Reports (STM6173). The details to be recorded are:

- a) Report Number – format is STMRNNN where NNN is a sequential number;
- b) Report Title – the title given to the accident report;
- c) The name of the person co-ordinating the report;
- d) Status – the current status of the report – IN PROGRESS or COMPLETE (the reason for IN PROGRESS is that a copy of the accident register should be given to the Board each month); and
- e) Report – whether the report is a PRELIMINARY or FINAL report.

7.4.6 The Investigation report is to be distributed to:

- a) Infrastructure Manager;
- b) Workshop Manager;
- c) Overhead Supervisor;
- d) The Chief Engineer;
- e) Operations Manager;
- f) Traffic Manager; and
- g) The board of directors.
- h) The Rail Safety Management Team

7.4.7 Procedure for issue of Investigation Report:

When investigation report is completed and signed off by the investigation team it will be forwarded to the Board.

The Investigation Report will be distributed to the Directors for review and presented to the Board by the Rail Safety Manager. Once approved it will be filed and made available to ONRSR.

The Board will ensure all recommendations have been completed and found to be effective and acceptable at which time it will close out the investigation.

All completed relevant paperwork will be filed in the office.

8. Documentation

The reporting forms for ATSB and other details can be found in STM6034.

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