
GENERAL NOTICES • ALGEMENE KENNISGEWINGS

DEPARTMENT OF TRANSPORT

NOTICE 162 OF 2020

NATIONAL RAILWAY SAFETY REGULATOR ACT, 2002 (Act

No.16 OF 2002)

REGULATIONS REGARDING THE CATEGORY AND TYPE OF ALL NOTIFIABLE RAILWAY OCCURRENCES TO BE REPORTED TO THE CHIEF EXECUTIVE OFFICER OF THE RAILWAY SAFETY REGULATOR ,2020

PUBLICATION FOR COMMENTS

The Minister of Transport, in terms of section 50(3)(a) of the National Railway Safety Regulator Act, 2002 (Act No. 16 of 2002) (this Act), hereby publish for comments the draft regulations on the Category and Type of all Railway Occurrences to be reported to the Chief Executive Officer of the Railway Safety Regulator in terms of this Act.

Interested persons are invited to submit comments on the said draft Regulations to the Director General, Department of Transport, within 60 days from the date of publication of this notice, for the attention of:

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DEPARTMENT OF TRANSPORT

NATIONAL RAILWAY SAFETY REGULATOR ACT, 2002 (Act

No.16 OF 2002)

REGULATIONS REGARDING THE CATEGORY AND TYPE OF ALL NOTIFIABLE RAILWAY OCCURRENCES TO BE REPORTED TO THE CHIEF EXECUTIVE OFFICER OF THE RAILWAY SAFETY REGULATOR, 2020

The Minister of Transport herewith, under section 37 of the National Railway Safety Regulator Act, 2002 (Act No. 16 of 2002) intends to make the Regulations set out in the Schedule.

SCHEDULE

Part A: GENERAL PROVISIONS

1. DEFINITIONS

In these Regulations, any word or expression to which a meaning has been assigned in the Act has the meaning so assigned and, unless the context indicates otherwise:

“emergency” means a sudden, urgent, usually unexpected occurrence or event requiring immediate action;

“leading indicators” means a measurable precursor to major events such as an accident. The indication of a precursor 'leads', or comes before, the actual event itself. Lagging indicators are the opposite;

“railway occurrence” means railway occurrence as defined in the National Railway Safety Regulator Act, 2002 (Act No. 16 of 2002);

2. PURPOSE

- 2(1) The purpose of this Regulation is to ensure that notifiable railway occurrences are adequately managed within the operator's Safety Management System and include:
- (a) the reporting of notifiable railway occurrences to the Chief Executive Officer, within the manner required in the Regulations
 - (b) management of all notifiable occurrences;
 - (c) the provision of all the information required by the Chief Executive Officer as per this Regulation;
 - (d) the management of the scene of a notifiable occurrence and the preservation of evidence where reasonably practicable;

3. SCOPE

- 3(1) This regulation outlines the mandatory notifiable railway occurrences to be managed by the Operators as well as the railway occurrences that must be reported to the Chief Executive Officer in accordance with this Regulation.
- 3(2) This Regulation is intended to be read in conjunction with the SANS 3000 series of standards as well as the Railway Safety Regulator standards.
- 3(3) The following types of railway operators shall put into place systems and procedures for the reporting of notifiable occurrences:
- (a) Network Operators,
 - (b) Train Operators,
 - (c) Station Operators; or
 - (d) A combination of network, train and station operator.
- 3(4) Notifiable occurrences that happen on, or in relation to the operator's railway premises or railway operations, must be reported by the operator to the Chief

Executive Officer in the form, format and within the specified timeframes as prescribed by this Regulation.

Part B: MANDATORY NOTIFIABLE OCCURRENCES

- 4 Notifiable railway occurrences which are reportable to the Chief Executive Officer include the following:
- (a) Operational railway safety occurrences;
 - (b) Security related railway occurrences;
 - (c) Railway occurrences related to the Transportation of Dangerous goods;
 - (d) Crowd related railway occurrences;
 - (e) Industrial Action related railway occurrences;

Operational Railway Occurrences

5. Operational railway occurrences shall be recorded and reported to the Chief Executive Officer in the categories A to O as per Appendix A (Table 1). These railway occurrences shall reflect the number of occurrences and not the consequences thereof, which are to be reported as indicated in regulation 8.

Security Related Railway Occurrences

6. Security related railway occurrences shall be reported to the Chief Executive Officer in the categories 1 to 11 as per Appendix A (Table 2). These reports shall reflect the number of incidents and not the consequences thereof.

Precursors/Leading Indicators

7. In addition to the reporting of railway occurrences as required in Table 1, the precursors or leading indicators of railway occurrences shall be reported in the

categories and sub-categories as required in Appendix A (Table 3) and reported in the quarterly reports as required in regulation 14.

Fatalities and Injuries

- 8(1) The operator shall report fatalities and injuries resulting from railway occurrences that are recorded in the categories and sub-categories A to O (see Table 1), in the categories as required in the Appendix (Table 4), in accordance with the requirements of regulations 11, 12, 13 and in accordance with the relevant national occupational health and safety legislation.
- 8(2) In addition to those fatalities and injuries resulting from railway occurrences that are recorded in the categories and sub-categories A to O, the operator shall report all fatalities and injuries to safety critical and safety related grades, including contractors and sub-contractors which occurred during the normal execution of their duties, including slips, trips, fall from height, electric shocks, service road accidents on the operator's premises.

Part C: RAILWAY OCCURRENCE REPORTING

General

- 9(1) Operators shall ensure that procedures for reporting of railway occurrences are established, developed or adopted, implemented and maintained in compliance with this regulation.
- 9(2) In the event of more than one operator being involved in a railway occurrence, all affected operators shall report the occurrence to the Chief Executive Officer.
- 9(3) The operators shall further track railway occurrences in order to assist them in assessing their own safety performances. These include incidents that could serve as leading indicators that could be used to identify shortcomings in procedures or products, or they could be used to identify specific problem areas.

Immediate telephonic notification (within 15 minutes)

- 10(1) Railway occurrences (see categories A to O as provided in Table 1) that result in injuries or fatalities to people, or significant damage to property and the environment shall be reported telephonically by the operator to the Chief Executive Officer within 15 minutes from the time the operator becomes aware of the occurrence.
- 10(2) These occurrences include extensive damage to rolling stock and infrastructure, threats to nearby communities, including the environmental impact resulting from a release or spillage of dangerous goods, major train disruptions that affect normal train operations as a result of unforeseen circumstances or any other railway occurrence that may affect or threaten the safety of railway operations and passengers.

Immediate written notification (within 12 hours)

- 11(1) Railway occurrences (see categories A to O as provided in Table 1) that have been notified in terms of regulation 10 shall be confirmed in writing to the Chief Executive Officer within 12 hours from the time of an occurrence.
- 11(2) The written notification shall provide at least the following information, which may be supplemented with any other additional information relevant to the railway occurrence:
- a) the safety permit number;
 - b) the name of the operator;
 - c) the physical address of the operator;
 - d) the date of reporting the occurrence;
 - e) the date of the occurrence;
 - f) the time of the occurrence;
 - g) the place of the occurrence;
 - h) the province of the occurrence;

- i) a short description of the occurrence;
- j) details of dangerous goods involved, including details of the consignor, the quantity spilled, the shipping name, the United Nations (UN) number and also damage to property, assets and the environment;
- k) the name and contact details of the reporting person;
- l) the contact details of the Railway Incident Commander; and
- j) the number of injured passengers and fatalities at the time of reporting.

The Daily Occurrence Report

- 12(1) The Chief Executive Officer shall receive daily reports of all the occurrences (Tables 1, 2 and 4) that occurred in the prevailing period 00:00 to 23:59 by 11:00 on the following day, except for weekends or holidays in which case the reports shall be provided by 11:00 on the next working day.
- 12(2) These reports shall include fatalities and injuries that emanate from attempted suicides or people struck by trains whilst trespassing on the railway reserve.
- 12(3) The daily reports shall include the immediate reportable occurrences as described in regulation 10(1).
- 12(4) The daily reports shall provide at least the following information:
- a) the safety permit number;
 - b) the name of the operator;
 - c) the name of the reporting person;
 - d) the physical address of the operator;
 - e) the date of reporting the occurrence;
 - f) the date of the occurrence;
 - g) the time of the occurrence;
 - h) the place of the occurrence;
 - i) the province of the occurrence;

- j) a short description of the occurrence;
- k) the railway occurrence category and sub-category;
- l) the operator's occurrence reference number.
- m) details of dangerous goods involved, including details of the consignor, the quantity spilled, the shipping name, the UN number and also damage to property, assets and the environment; and
- n) the names of the persons contacted.

Ad Hoc Reports

13. In addition to the information to be provided in terms of regulations 10, 11 and 12, the Chief Executive Officer may request additional information, such as:
 - a) the exact location of the occurrence (i.e. the kilometre point or mast pole(s) number(s)),
 - b) the train number(s) involved,
 - c) the type of train (i.e. passenger, freight, tourism, or mixed trains, inspection trolleys and on-track maintenance machinery),
 - d) the type of braking system (i.e. vacuum or air brake),
 - e) the gradient at the point of occurrence,
 - f) the type of power (i.e. 3 kV dc, or 25 kV ac, or 50 kV ac,) or non-electrified,
 - g) the classification of the line (i.e. light rail, heavy rail (N1, N2, N3 or S1), or monorail),
 - h) the motive power (locomotives, whether electric multiple units (EMUs) or diesel multiple units (DMUs),
 - i) the name of the network operator (if different from that of the train operator),

- j) the name of the station operator (if different from that of the train operator),
- k) the content of the load of the freight train (if applicable),
- l) the names of train personnel involved,
- m) the weather conditions (at the time of the occurrence),
- n) a description of the immediate natural and built environment,
- o) the method of train authorization,
- p) normal or abnormal train working,
- q) the possible cause of the incident, and
- r) the number of injuries and fatalities.

Part D: ADDITIONAL OCCURRENCE INFORMATION TO BE SUBMITTED

Quarterly Reports

14(1) Quarterly reports shall be submitted not later than the end of the month following the quarter under review (Appendix B). The quarters shall follow the cycle:

- a) April to June,
- b) July to September,
- c) October to December, and
- d) January to March.

14(2) In addition to the railway occurrence recording, notification and reporting required in regulations 10, 11 and 12, operators shall submit to the Railway Safety Regulator, quarterly railway occurrence reports and security related railway occurrence reports that shall comprise a summary of the following:

- a) The railway occurrences in accordance with the sub-categories listed in categories A to O as described in regulation 5 and Appendix A (Table 1);

- b) Security related railway occurrences in accordance with the sub-categories listed in the categories 1 to 11 as described in regulation 6 and Appendix A (table 2).
- c) The precursors and leading indicators as described in regulation 7 and Appendix A (Table 3); and
- d) Fatalities and injuries as described in regulation 8 and Appendix A (Table 4).

14(3) Quarterly reports shall also provide the following management information:

- a) Explanations of significant changes in trends in each category and sub-category;
- b) Recommendations that are proposed and accepted to address the trends in sub regulation (a);
- c) Actions taken to address any adverse trends;
- d) Actions that lead to favourable results and lessons learned; and
- e) Traffic information, in order to normalize occurrence trends.

OFFENCES AND PENALTIES

15. An operator who fails to comply with any provision of these Regulations commits an offence and is, on conviction liable to pay a fine or penalty determined by the Minister in terms of the Penalty Fees Regulations made under section 45A of the Act.

SHORT TITLE

16. These regulations shall be called Regulations regarding the category and type of all notifiable railway occurrences to be reported to the Chief Executive Officer, 2020.

APPENDIX A: RAILWAY OCCURRENCES

Table 1: Operational Occurrences

Category	Category Type and Description
Category A	Collisions During Movement of Rolling Stock
A-a	Collision between rolling stock on a running line;
A-b	Collision of rolling stock with an obstruction on a running line (including road vehicles that collide with rolling stock);
A-c	Collision of rolling stock with a stop block on a running line;
A-d	Collision between rolling stock other than on a running line;
A-e	Collision of rolling stock with an obstruction other than on a running line; and
A-f	Collision of rolling stock with a stop block other than on a running line.
Category B	Derailments During Movement of Rolling Stock
B-a	Derailment of rolling stock on a running line
B-b	Derailment of rolling stock on a line other than a running line
B-c	Derailment during tippler activities
Category C	Unauthorized Movements (Rolling Stock Movements Exceeding the Limit of Authority in Respect of Position)
C-a	Signal passed at danger (SPAD) on a running line
C-b	Signal passed at danger (SPAD) on any other line
C-c	Authority (Verbal or written) exceeded on a running line; and
C-d	Authority (Verbal or written) exceeded on any other line
Category D	Level Crossing Occurrences
D-a	Collision between rolling stock and a road vehicle(s) (including motor vehicles, bicycle or animal-drawn vehicles) at a recognized level crossing on a running line
D-b	Collision between rolling stock and a road vehicle(s) (including motor-powered, bicycle or animal-drawn vehicles) on any line other than a running line (including yards, sidings and private sidings) at a recognized level crossing
Category E	Persons Struck During Movement of Rolling Stock
E-a	Occurrence where a member of the public is struck by rolling stock on a running line
E-b	Occurrence where an employee is struck by rolling stock on a running line
E-c	Occurrence where a contractor or contractor's employee is struck by rolling stock on a running line
E-d	Occurrence where a member of the public struck by rolling stock on a line other than a running line
E-e	Occurrence where an employee is struck by rolling stock on a line other than a running line
E-f	Occurrence where a contractor or contractor's employee is struck by rolling stock on a line other than a running line

Category F	People Related Occurrences: Trains Outside Station Platform Areas (In Section)
F-a	Occurrence where a passenger fell or was pushed from inside a moving or stationary train
F-b	Occurrence where an employee fell or was pushed from inside a moving or stationary train
F-c	Occurrence where a contractor or contractor's employee fell or was pushed from inside a moving or stationary train
Category G	Passenger Related Occurrences: Travelling Outside Designated Passenger Area
G-a	These occurrences cover the number of occurrences as a result of passengers travelling outside the designated passenger area of the train
Category H	People Related Occurrences: Station Platform-Train Interchange
H-a	Occurrence where a passenger fell between the train and the platform whilst entraining/detraining a stationary or moving train
H-b	Occurrence where a passenger fell on the platform whilst entraining/detraining a stationary or moving train
H-c	Occurrence where an employee fell between the train and the platform whilst entraining/detraining a stationary or moving train
H-d	Occurrence where an employee fell on the platform whilst entraining/detraining a stationary or moving train
H-e	Occurrence where a contractor or contractor's employee fell between the train and the platform whilst detraining a stationary or moving train
H-f	Occurrence where a contractor or contractor's employee fell on the platform whilst entraining/detraining a stationary or moving train
Category I	People Related Occurrences at Stations (This Category Includes All Injuries at Stations, Including Those Resulting from Slips, Trips And Falls At Public Area Of Stations, Station Concourse Or Revenue Area Of The Station. (The Scope Includes Overhead Pedestrian Bridges, Subways, Stairs, Travellators, Escalators, Elevators, Turnstiles, and Electric Sliding Doors).
I-a	Occurrence resulting in injuries and fatalities to members of the public in the public area of the station
I-b	Occurrence resulting in injuries and fatalities to passengers in the passenger area of the station
I-c	Occurrence resulting in injuries and fatalities to an employee in the public area of the station
I-d	Occurrence resulting in injuries and fatalities to an employee in the passenger area of the station
I-e	Occurrence resulting in injuries and fatalities to a contractor or contractor's employee in the public area of the station
I-f	Occurrence resulting in injuries and fatalities to a contractor or contractor's employee in the passenger area of the station
Category J	Electric Shock Occurrences
J-a	Electrical shock to a member of the public on the network infrastructure
J-b	Electrical shock to an employee on the network infrastructure

J-c	Electrical shock to a contractor or contractor's employee on the network infrastructure
J-d	Electrical shock to the member of the public including passengers whilst on or in rolling stock
J-e	Electrical shock to an employee whilst positioned on or part of rolling stock
J-f	Electrical shock to a contractor or contractor's employee whilst positioned on or part of rolling stock
J-g	Electrical shock to a member of the public whilst on unauthorised part of the network infrastructure.
Category K	Spillage, Leakage or Release of Dangerous Goods
K-a	Spillage or leakage of dangerous goods (solids and liquids) en route;
K-b	Release of dangerous goods (gases) en route;
K-c	Spillage or Leakage of dangerous (solids and liquids) whilst staged;
K-d	Release of dangerous goods (gases) whilst staged;
K-e	Spillage or Leakage of dangerous goods (solids and liquids) during shunting operations;
K-f	Release of dangerous goods (gases) during shunting operations;
Category L	Fires and Explosions
L-a	Fires on a fixed operational asset impacting on operational safety;
L-b	General freight fires;
L-c	Technical fault rolling stock fires;
L-d	Veld fires that threaten operational safety.
L e	Dangerous goods fires
L-d	Dangerous goods explosions
Category M	Procedural Irregularities (And Near Misses)
M-a	Averted collisions and derailments on running line; and
M-b	Averted collisions and derailments on any line other than a running line.
M-c	Hard Coupling
M-d	Points run through
M-e	Wrong train authorization issued
Category N	Pantograph Hook-Up's
N-a	Pantograph Hook-up
Category O	Passenger Related Occurrences: On-Board
O-a	Slips, trips or fall on-board a train
O-b	Passengers injured on-board due to falling foreign objects while on-board
O-c	Death due to natural causes on-board train

Table 2: Security Related Occurrences

Category	Category Type and Description
Category 1	Theft of Assets Impacting on Operational Safety
1-a	Theft of rolling stock components in section
1-b	Theft of rolling stock components in yards and sidings
1-c	Theft of civil infrastructure components in section
1-d	Theft of civil infrastructure components in yards and sidings
1-e	Theft of overhead traction equipment in section
1-f	Theft of overhead traction equipment in yards and sidings
1-g	Theft of train authorization, control and telecommunication systems and equipment in section;
1-h	Theft of train authorization, control, and telecommunication systems and equipment in yards and sidings;
1-i	Theft of ancillary equipment, including public address (PA) systems, information boards and closed-circuit television (CCTV);
1-j	Theft of freight, including dangerous goods in section; and
1-k	Theft of freight, including dangerous goods in yards and sidings.
Category 2	Malicious Damage (Vandalism) of Assets Impacting on Operational Safety
2-a	Malicious damage (vandalism) of rolling stock components in section
2-b	Malicious damage (vandalism) of rolling stock components in yards and sidings
2-c	Malicious damage (vandalism) of civil infrastructure components in section
2-d	Malicious damage (vandalism) of civil infrastructure components in yards and sidings
2-e	Malicious damage (vandalism) of overhead traction system equipment in section
2-f	Malicious damage (vandalism) of overhead traction equipment in yards and sidings
2-g	Malicious damage (vandalism) of train authorization and control, and telecommunication systems and equipment in section;
2-h	Malicious damage (vandalism) of train authorization and control, and telecommunication systems and equipment in yards and sidings; and
2-i	Malicious damage (vandalism) of ancillary equipment including, PA systems, information boards and CCTV.
Category 3	Threats of Operational Safety
3-a	A bomb threat to network
3-b	A bomb threat to station
3-c	A bomb threat to rolling stock
3-d	Threats due to electrical power outages
3-e	Threats other than bomb and power outage threats
Category 4	Unauthorised Control of Trains
4-a	Unauthorised person taking control of passenger trains
4-b	Unauthorised person taking control of freight trains
4-c	Unauthorised person taking control of other rolling stock

Category 5	Crowd-Related Incidents
5-a	Crowd related incidents and includes stampede action
Category 6	Industrial Action
6-a	Industrial action that causes a threat to safe railway operations
Category 7	Personal Safety on Trains
7-a	Murder
7-b	Attempted murder
7-c	Rape
7-d	Compelled rape;
7-e	Assault
7-f	Indecent assault
7-g	Sexual assault
7-h	Compelled sexual assault
7-i	Aggravated robbery
7-j	Ordinary robbery
7-k	Theft
7-l	Bomb explosions
Category 8	Personal Safety on Stations
8-a	Murder
8-b	Attempted murder
8-c	Rape
8-d	Compelled rape;
8-e	Assault
8-f	Indecent assault
8-g	Sexual assault
8-h	Compelled sexual assault
8-i	Aggravated robbery
8-j	Ordinary robbery
8-k	Theft
8-l	Bomb explosions
Category 9	Personal Safety Outside Station Platform Area (In Section Between Stations, Including Yards, Sidings and Depots)
9-a	Murder
9-b	Attempted murder
9-c	Rape
9-d	Compelled rape;
9-e	Assault
9-f	Indecent assault

9-g	Sexual assault
9-h	Compelled sexual assault
9-i	Aggravated robbery
9-j	Ordinary robbery
9-k	Theft
9-l	Bomb explosions
Category 10	Human Bodies Found Within the Railway Reserve
10-a	A body of a dead person found within the railway reserve and clear of the railway line; and
10-b	A body of dead person found on the railway line.

Table 3: Quarterly Reportable Precursors and Leading Indicators per occurrence category

Category:	Category Description
1. Track and Civil Infrastructure related	The category of track and civil infrastructure failures, including deviation from the standard or rule covers the following: a) rail breaks; b) kick-outs; c) track geometry, including slacks, twists and cants (super elevations); d) gauge widening; e) wash away; f) defective points and crossings; g) structural failure (bridges, culverts, tunnels and overhead traction equipment; h) cuttings or embankment failure; i) rock fall, j) sinkholes k) level crossing warning system failures; l) lack of track-side indicators; and m) structure clearances
2. Signalling Failures	The category of signalling failures covers the following: a) signal equipment defects; b) electromagnetic interference
3. Operational Train Working Irregularities	The category of operational irregularities covers the following deviations from the standard/rule/norm: a) loading profile irregularities; b) exceedance of speed limits; d) shunting irregularities; e) uncontrolled movement of rolling stock (runaway rolling stock); f) authorizing of conflicting train movements; g) illegal occupation (trespassing and illegal crossing); h) train overshooting platform; i) inadequate protection of work area; k) disregard of track-side indicators and hand signals;
4. Rolling Stock Related	The category of rolling stock failures and deviation from the standard covers the following: a) broken axle;

	b) braking system failure; c) coupler failure; d) wheel profile including a sharp wheel flange; e) hot axle boxes; f) defective couplers; g) cracked wheels; h) loose tyres; i) defective handbrakes j) defective steps; and k) defective train doors.
5. Station Related	Deviations at Stations from standards include the following: a) unavailability or malfunctioning (or both) of PA systems and CCTV; b) unscheduled changes to platform working; c) safety-related complaints; d) failure of Automatic Fare Collection e) failure of access control f) failure of lifts or escalators
6. Externalities	The category of externalities covers the following: a) power outages; b) adverse weather conditions; c) non-compliance with signage;
7. Wrong Side Failures	Wrong Side equipment failure of safety critical equipment include the following: a) Wrong side signal failure b) Wrong side door failure

Table 4: Fatalities and Injuries

Category	Category Description
Members of the Public	The number of members of the public: a) fatally injured, b) seriously injured, and c) that suffered minor injuries shall be recorded and reported as specified in section 6.2
Employees	The number of employees a) fatally injured, b) seriously injured, and c) that suffered minor injuries. shall be recorded and reported as specified in section 6.2
Contractors and Subcontractors	The number of contractor or contractor employees a) fatally injured, b) seriously injured, and c) that suffered minor injuries shall be recorded and reported as specified in section 6.2
Passengers	The number of passengers a) fatally injured, b) seriously injured, and c) that suffered minor injuries shall be recorded and reported as specified in section 6.2

APPENDIX B: QUARTERLY REPORTING TEMPLATE

QUARTERLY REPORTING

(TO BE COMPLETED BY RAILWAY OPERATORS)

REPORTING PERIOD: QUARTER NUMBER: 1

OPERATOR DETAILS	
NAME OF OPERATOR	:
PERMIT NUMBER	:
CONTACT PERSON	:
CONTACT TELEPHONE NUMBER	:
E-MAIL ADDRESS	:
OPERATOR'S OPERATIONAL SITE ADDRESS	
PHYSICAL ADDRESS:	POSTAL ADDRESS:
CODE	CODE
PROVINCE:	
OPERATOR HEAD OFFICE ADDRESS	
PHYSICAL ADDRESS:	POSTAL ADDRESS:
CODE	CODE
PROVINCE:	

Table 1: Operational Occurrences		Month	Month	Month	TOTAL
Category	Category Type	Number of Occurrences			
Category A	Collisions During Movement of Rolling Stock				
A-a	Collision between rolling stock on a running line;				
A-b	Collision of rolling stock with an obstruction on a running line (including road vehicles that collide with rolling stock);				
A-c	Collision of rolling stock with a stop block on a running line;				
A-d	Collision between rolling stock other than on a running line;				
A-e	Collision of rolling stock with an obstruction other than on a running line; and				
A-f	Collision of rolling stock with a stop block other than on a running line.				
Category B	Derailments During Movement of Rolling Stock				
B-a	Derailment of rolling stock on a running line				
B-b	Derailment of rolling stock on a line other than a running line				
B-c	Derailment during tippler activities				
Category C	Unauthorized Movements (Rolling Stock Movements Exceeding the Limit of Authority in Respect of Position)				
C-a	Signal passed at danger (SPAD) on a running line				
C-b	Signal passed at danger (SPAD) on any other line				
C-c	Authority (Verbal or written) exceeded on a running line; and				
C-d	Authority (Verbal or written) exceeded on any other line				

Category D	Level Crossing Occurrences				
D-a	Collision between rolling stock and a road vehicle(s) (including motor vehicles, bicycle or animal-drawn vehicles) at a recognized level crossing on a running line				
D-b	Collision between rolling stock and a road vehicle(s) (including motor-powered, bicycle or animal-drawn vehicles) on any line other than a running line (including yards, sidings and private sidings) at a recognized level crossing				
Category E	Persons Struck During Movement of Rolling Stock				
E-a	Occurrence where a member of the public is struck by rolling stock on a running line				
E-b	Occurrence where an employee is struck by rolling stock on a running line				
E-c	Occurrence where a contractor or contractor's employee is struck by rolling stock on a running line				
E-d	Occurrence where a member of the public struck by rolling stock on a line other than a running line				
E-e	Occurrence where an employee is struck by rolling stock on a line other than a running line				
E-f	Occurrence where a contractor or contractor's employee is struck by rolling stock on a line other than a running line				
Category F	People Related Occurrences: Trains Outside Station Platform Areas (In Section)				
F-a	Occurrence where a passenger fell or was pushed from inside a moving or stationary train				
F-b	Occurrence where an employee fell or was pushed from inside a moving or stationary train				
F-c	Occurrence where a contractor or contractor's employee fell or was pushed from inside a moving or stationary train				

Category G	Passenger Related Occurrences: Travelling Outside Designated Passenger Area				
G-a	These occurrences cover the number of occurrences as a result of passengers travelling outside the designated passenger area of the train				
Category H	People Related Occurrences: Station Platform-Train Interchange				
H-a	Occurrence where a passenger fell between the train and the platform whilst entraining/detraining a stationary or moving train				
H-b	Occurrence where a passenger fell on the platform whilst entraining/detraining a stationary or moving train				
H-c	Occurrence where an employee fell between the train and the platform whilst entraining/detraining a stationary or moving train				
H-d	Occurrence where an employee fell on the platform whilst entraining/detraining a stationary or moving train				
H-e	Occurrence where a contractor or contractor's employee fell between the train and the platform whilst detraining a stationary or moving train				
H-f	Occurrence where a contractor or contractor's employee fell on the platform whilst entraining/detraining a stationary or moving train				
Category I	People Related Occurrences at Stations (This Category Includes All Injuries at Stations, Including Those Resulting from Slips, Trips And Falls At Public Area Of Stations, Station Concourse Or Revenue Area Of The Station. (The Scope Includes Overhead Pedestrian Bridges, Subways, Stairs, Travellators, Escalators, Elevators, Turnstiles, and Electric Sliding Doors).				
I-a	Occurrence resulting in injuries and fatalities to members of the public in the public area of the station				
I-b	Occurrence resulting in injuries and fatalities to passengers in the passenger area of the station				

I-c	Occurrence resulting in injuries and fatalities to an employee in the public area of the station				
I-d	Occurrence resulting in injuries and fatalities to an employee in the passenger area of the station				
I-e	Occurrence resulting in injuries and fatalities to a contractor or contractor's employee in the public area of the station				
I-f	Occurrence resulting in injuries and fatalities to a contractor or contractor's employee in the passenger area of the station				
Category J	Electric Shock Occurrences				
J-a	Electrical shock to a member of the public on the network infrastructure				
J-b	Electrical shock to an employee on the network infrastructure				
J-c	Electrical shock to a contractor or contractor's employee on the network infrastructure				
J-d	Electrical shock to the member of the public including passengers whilst on or in rolling stock				
J-e	Electrical shock to an employee whilst positioned on or part of rolling stock				
J-f	Electrical shock to a contractor or contractor's employee whilst positioned on or part of rolling stock				
J-g	Electrical shock to a member of the public whilst on unauthorised part of the network infrastructure.				
Category K	Spillage, Leakage or Release of Dangerous Goods				
K-a	Spillage or leakage of dangerous goods (solids and liquids) en route;				
K-b	Release of dangerous goods (gases) en route;				
K-c	Spillage or Leakage of dangerous (solids and liquids) whilst staged;				
K-d	Release of dangerous goods (gases) whilst staged;				

K-e	Spillage or Leakage of dangerous goods (solids and liquids) during shunting operations;				
K-f	Release of dangerous goods (gases) during shunting operations;				
Category L	Fires and Explosions				
L-a	Fires on a fixed operational asset impacting on operational safety;				
L-b	General freight fires;				
L-c	Technical fault rolling stock fires;				
L-d	Veld fires that threaten operational safety.				
L e	Dangerous goods fires				
L-d	Dangerous goods explosions				
Category M	Procedural Irregularities (And Near Misses)				
M-a	Averted collisions and derailments on running line; and				
M-b	Averted collisions and derailments on any line other than a running line.				
M-c	Hard Coupling				
M-d	Points run through				
M-e	Wrong train authorization issued				
Category N	Pantograph Hook-Up's				
N-a	Pantograph Hook-up				
Category O	Passenger Related Occurrences: On-Board				
O-a	Slips, trips or fall on-board a train				
O-b	Passengers injured on-board due to falling foreign objects while on-board				
O-c	Death due to natural causes on-board train				

Table 2: Security Related Occurrences		Month	Month	Month	TOTAL
Category	Category Type	Number of Occurrences			
Category 1	Theft of Assets Impacting on Operational Safety				
1-a	Theft of rolling stock components in section				
1-b	Theft of rolling stock components in yards and sidings				
1-c	Theft of civil infrastructure components in section				
1-d	Theft of civil infrastructure components in yards and sidings				
1-e	Theft of overhead traction equipment in section				
1-f	Theft of overhead traction equipment in yards and sidings				
1-g	Theft of train authorization, control and telecommunication systems and equipment in section;				
1-h	Theft of train authorization, control, and telecommunication systems and equipment in yards and sidings;				
1-i	Theft of ancillary equipment, including public address (PA) systems, information boards and closed-circuit television (CCTV);				
1-j	Theft of freight, including dangerous goods in section; and				
1-k	Theft of freight, including dangerous goods in yards and sidings.				
Category 2	Malicious Damage (Vandalism) of Assets Impacting on Operational Safety				
2-a	Malicious damage (vandalism) of rolling stock components in section				
2-b	Malicious damage (vandalism) of rolling stock components in yards and sidings				
2-c	Malicious damage (vandalism) of civil infrastructure components in section				
2-d	Malicious damage (vandalism) of civil infrastructure components in yards and sidings				
2-e	Malicious damage (vandalism) of overhead traction system equipment in section				
2-f	Malicious damage (vandalism) of overhead traction equipment in yards and sidings				
2-g	Malicious damage (vandalism) of train authorization and control, and telecommunication systems and equipment in section;				

2-h	Malicious damage (vandalism) of train authorization and control, and telecommunication systems and equipment in yards and sidings; and				
2-i	Malicious damage (vandalism) of ancillary equipment including, PA systems, information boards and CCTV.				
Category 3	Threats of Operational Safety				
3-a	A bomb threat to network				
3-b	A bomb threat to station				
3-c	A bomb threat to rolling stock				
3-d	Threats due to electrical power outages				
3-e	Threats other than bomb and power outage threats				
Category 4	Unauthorised Control of Trains				
4-a	Unauthorised person taking control of passenger trains				
4-b	Unauthorised person taking control of freight trains				
4-c	Unauthorised person taking control of other rolling stock				
Category 5	Crowd-Related Incidents				
5-a	Crowd related incidents and includes stampede action				
Category 6	Industrial Action				
6-a	Industrial action that causes a threat to safe railway operations				
Category 7	Personal Safety on Trains				
7-a	Murder				
7-b	Attempted murder				
7-c	Rape				
7-d	Compelled rape;				
7-e	Assault				
7-f	Indecent assault				

7-g	Sexual assault				
7-h	Compelled sexual assault				
7-i	Aggravated robbery				
7-j	Ordinary robbery				
7-k	Theft				
7-l	Bomb explosions				
Category 8	Personal Safety on Stations				
8-a	Murder				
8-b	Attempted murder				
8-c	Rape				
8-d	Compelled rape;				
8-e	Assault				
8-f	Indecent assault				
8-g	Sexual assault				
8-h	Compelled sexual assault				
8-i	Aggravated robbery				
8-j	Ordinary robbery				
8-k	Theft				
8-l	Bomb explosions				
Category 9	Personal Safety Outside Station Platform Area (In Section Between Stations, Including Yards, Sidings and Depots)				
9-a	Murder				
9-b	Attempted murder				
9-c	Rape				
9-d	Compelled rape;				
9-e	Assault				
9-f	Indecent assault				
9-g	Sexual assault				

9-h	Compelled sexual assault				
9-i	Aggravated robbery				
9-j	Ordinary robbery				
9-k	Theft				
9-l	Bomb explosions				
Category 10	Human Bodies Found Within the Railway Reserve				
10-a	A body of a dead person found within the railway reserve and clear of the railway line; and				
10-b	A body of dead person found on the railway line.				

Table 3: Quarterly Reportable Precursors and Leading Indicators per occurrence category		Month	Month	Month	TOTAL
Category	Category Type	Number of Occurrences			
1. Track and Civil Infrastructure related	The category of track and civil infrastructure failures, including deviation from the standard or rule covers the following: a) rail breaks; b) kick-outs; c) track geometry, including slacks, twists and cants (super elevations); d) gauge widening; e) wash away; f) defective points and crossings; g) structural failure (bridges, culverts, tunnels and overhead traction equipment; h) cuttings or embankment failure; i) rock fall, j) sinkholes k) level crossing warning system failures; l) lack of track-side indicators; and m) structure clearances				
2. Signalling Failures	The category of signalling failures covers the following: a) signal equipment defects; b) electromagnetic interference				
3. Operational Train	The category of operational irregularities covers the following deviations from the standard/rule/norm: a) loading profile irregularities;				

Working Irregularities	b) exceedance of speed limits; d) shunting irregularities; e) uncontrolled movement of rolling stock (runaway rolling stock); f) authorizing of conflicting train movements; g) illegal occupation (trespassing and illegal crossing); h) train overshooting platform; i) inadequate protection of work area; k) disregard of track-side indicators and hand signals;				
4. Rolling Stock Related	The category of rolling stock failures and deviation from the standard covers the following: a) broken axle; b) braking system failure; c) coupler failure; d) wheel profile including a sharp wheel flange; e) hot axle boxes; f) defective couplers; g) cracked wheels; h) loose tyres; i) defective handbrakes j) defective steps; and k) defective train doors.				
5. Station Related	Deviations at Stations from standards include the following: a) unavailability or malfunctioning (or both) of PA systems and CCTV; b) unscheduled changes to platform working; c) safety-related complaints; d) failure of Automatic Fare Collection e) failure of access control f) failure of lifts or escalators				
6. Externalities	The category of externalities covers the following: a) power outages; b) adverse weather conditions; c) non-compliance with signage;				
7. Wrong Side Failures	Wrong Side equipment failure of safety critical equipment include the following: a) Wrong side signal failure b) Wrong side door failure				

Table 3: Total Number of Injuries		Month	Month	Month	TOTAL
Category	Category Type	Number of Occurrences			
Members of the Public	The number of members of the public seriously injured				
Employees	The number of employees which are seriously injured				
Contractors and Subcontractors	The number of contractor or contractor employees That are seriously injured				
Passengers	The number of passengers that are seriously injured,				

Table 4: Total Number of Fatalities		Month	Month	Month	TOTAL
Category	Category Type	Number of Occurrences			
Members of the Public	The number of members of the public fatally injured,				
Employees	The number of employees fatally injured.				
Contractors and Subcontractors	The number of contractor(s) or contractor employees fatally injured.				
Passengers	The number of passengers that fatally injured,				

APPENDIX C: 12 HOUR REPORTING TEMPLATE**12 HOUR OCCURRENCE REPORT**

Doc Ref No:	
DATE: DD/ MONTH /YEAR:	
AT (TIME):	
OPERATOR PERMIT NUMBER:	
INCIDENT:	
TYPE/ LEVEL:	
AREA/ PLACE/ SECTION:	
TRAIN NO:	
TRAIN CONTROL SYSTEM:	
SECTION/ KM/ POINT/ YARD/ STATION:	
SINGLE/DOUBLE LINE:	
REGION/PROVINCE:	
TYPE OF TRAIN (METRORAIL/ SHOSHOLOZA):	
VACUUM / AIRBRAKE TRAIN:	
MOCC / NOC/ JOC NOTIFIED:	

1. Type of Occurrence (SPAD, derailment, collision, level crossing accident, averted collision, hotbox, etc.)				
2. Personnel Involved Details				
	Name	Grade	Employee no	Injuries
Train driver				
Metro Guard				
T.C.O				
3. History/ Description of Incident				
4. Passengers (empty coaches)				
5. Number of motor coaches/ locomotives directly involved in occurrence				
6. Motor coach/ Locomotive Numbers				

7. Description of Damage (Infra / Rolling stock)			
8. Basic cause and contributing factors			
9. Immediate action taken at accident site			
10. Alternative transport for passengers directly involved in occurrence:			
11. Weather conditions			
12. Description of terrain / surroundings for level crossings:			
a) Sight distance			
b) Rail and road signage			
c) Speed over level crossings			
d) Booms or flashlights			
e) Approach to crossing: tarred or gravel			
13. Passenger Fatalities/ Injuries			
14. Third parties / Private property involved			
15. <u>Stakeholders / Authorities Informed</u>			
<u>Name</u>	<u>Designation</u>	<u>Tel / Cell</u>	<u>Time:</u>
16. RIC/ROE staff on scene (and their cell numbers):			
<u>Name</u>	<u>Designation</u>	<u>Tel / Cell</u>	<u>Time:</u>
17. Reaction time of emergency teams to scene:			
18. Disruptions/ Expected time of re-opening the line			

19. Trains affected and Plan "B's"			
Train	Type	Plan "B"	Date
20. Trains Cancelled			
21. Line Re-opened (date & Time)			
22. General Information			

CALL 0800 444 888 REPORT TO THE RSR WITHIN 12 HOURS OR
EMAIL: ASSURANCE@RSR.ORG.ZA

APPENDIX D: IMMEDIATE REPORTING TEMPLATE

**IMMEDIATE REPORTING TO THE RAILWAY SAFETY REGULATOR ON OCCURRENCE(S)
(CATEGORY A-O) IN TERMS OF THE REQUIREMENT OF ACT 16**

SAFETY PERMIT NUMBER:

PHYSICAL ADDRESS:

NAME OF OPERATOR:

DATE

POSTAL CODE:

DATE	TIME	PLACE	PROVINCE	SHORT DESCRIPTION OF OCCURRENCE (NATURE OF OCCURRENCE, e.g. DERAILMENT/ COLLISION/ SPAD/HOTBOX/ETC.)

STEP	1	TICK	2						TICK	3	TICK	4	TICK	5		NUMBER		6		TICK	7		TICK
Code	Occurrence type (tick)		Nature thereof (tick)							Train type (tick)		Where (tick)		Who (tick)	INJURIES	FATAL	Consequences	During					
A	Collisions during movement of rolling stock		Collision between rolling stock		Collision with an Obstruction		Collision with a stop block		Passenger		Running Line		Local Employ ee			Damage to assets		Averted					
B	Derailments during movement of rolling stock		Derailment of rolling stock						Dangerous goods		Marshalling yard		Internat ional employ ee			Damage to the environment		Shunting					
C	Unauthorized movements		SPAD		Physical token		Verbal authority	Writte n authori ty	General freight		Exchange yard		Public Internat ional			Business interruption		Train in motion					
D	Level crossings		Rolling stock and road vehicle		A person				Passenger & freight		Siding		Public Local					Train Stationary					
E	Persons Struck During Movement of Rolling Stock		Member of public struck		Employee struck		Contractor or contractor's employee		Container only		Station		Contrac tor or contract or's employ ee					Tippler activities					
F	People Related Occurrences: people injured from inside a moving or stationary train		Person fell or pushed		Employee fell or pushed		Contractor or contractor's employee		Ore only		Other line												

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