

Appendix C

Operational Hazards and Risk Management Plan (OHRMP) [ARTC Safety Management Plan, ARTC Incident Management Manual TA 44, ARTC Risk Management Procedure RM-01]



AUSTRALIAN RAIL TRACK CORPORATION LTD

SAFETY

MANAGEMENT

PLAN

SMP-01
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Amendments Register

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1-0	2.7	18/2/04	Reference to SP-02-05 added. RIC references A05-00-N082, A05-00-N115 moved to end of Section 4.	
1-0	2	18/2/04	Reference to SP-02-05 removed after any relevant material incorporated into SMP.	
1-0	1,2	18/2/04	Reference to Track Safety Descriptions, TSD-00 and TSD-01 removed after any relevant material incorporated into SMP.	
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1-0	All	30/4/04	Reference to RIC Documentation removed.	
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Issue	Section	Date	Detail	Authority
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2-1	2.8	2.6.2005	Changes to clarify changes in CRNMA management responsibility in relation to Management review of SMS	
2-1	3.1	2.6.2005	Changes to clarify changes in CRNMA management responsibility in relation to Risk identification	
2-1	6.1	2.6.2005	Changes to reflect accountability changes for CRNMA in relation to ownership of engineering and operational standards for CRN	
2-2	Entire Document	1	Changes to comply with AS4292.1 2006	ARTC Safety Committee
2-3	Various	18-12-2006	Changes to reflect Safety Committee discussion of 06-12-2006	ARTC Safety Committee
2.4	2.2	07-03-2007	Changes to Rail Safety Management Policy to reflect changes to AS4292 (2006).	ARTC Safety Committee
2.5	All	11/05/09	Correct links, update titles to reflect current organisational structure	CEO
2.6	All	10/08/09	Updated to incorporate QLD operations	Risk & Safety Committee

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Section 1: Scope and General

1.1 Scope

This document outlines the practices and procedures that the Australian Rail Track Corporation (ARTC) will apply to meet its rail safety objectives as required by its accreditation status with the states and territories within which it operates.

ARTC's operation includes track owned and managed in WA, SA, NSW (west of Broken Hill), leased track in QLD, Victoria and NSW and contract managed track in the NSW Country Regional Network, and all associated activities.

Occupational Health, Safety and Rehabilitation issues are not specifically covered by this plan. The ARTC's management systems for compliance with relevant legislative and other requirements for OHS&R are detailed in project specific OHS&R plans and generic ARTC wide policies and procedures. References are included within this document to project specific plans, as required.

Where reference is made to plans, descriptions and procedures, these are contained in separate, stand-alone documents subject to document control.

The format of Australian Standard 4292 2006 Railway Safety Management Part 1 General Requirements has been followed in preparation of this Safety Management Plan.

1.2 Objective

The objective of this document is to detail the practices and procedures that will enable the Australian Rail Track Corporation to fulfil its rail safety obligations with respect to legislative and regulatory requirements relevant to the states and territories within which it operates with intent to adequately control risk by adherence to safety principles set out in clause 1.6.

1.3 Application

This document, whilst it is written as a stand-alone plan, is intended to be used with the referenced Plans, Descriptions and Procedures as a means of demonstrating compliance with the AS 4292 Series of Standards.

In the NSW Country Regional Network (CRN), ARTC will manage and operate the rail network including safety on behalf of Rail Infrastructure Corporation in accordance with the agreed Country Regional Network Management Agreement

1.4 Referenced Documents

The following documents are referenced in this plan:

AS 4292 - Railway Safety Management, Parts 1-5
AS 4292 – Railway Safety Management, Part 7 Railway Safety Investigation
AS 4360 - Risk Management

See Appendices for ARTC Referenced Documents

1.5 Definitions

Terms used in this Plan are as defined in AS 4292.1 except for the following additional definitions:

- Engineering:* Engineering is the application of scientific method to the specification, design, development, construction, testing, operations, and maintenance of complex products.
- Infrastructure:* Infrastructure consists of the civil, track, electrical, signalling and telecommunications systems and equipment.
- Operational Systems:* Operational systems are the installed track, civil, signals and communications technical systems, which interface with the train operator's rolling stock and the network controllers.
- Safety Principle:* The broad requirements for the management of safety.
- Safety Practice:* The actions taken to put the safety principles into practice.
- Safety Audit:* A planned, formal and structured activity used to verify by checking and sampling that the current or past status of either systems, procedures, processes, worker competence, products, control documents or records comply with the specified requirements.

1.6 Safety Principles

1.6.1 General Management Principles

The underlying safety management principles are used as a basis that will enable ARTC to satisfy its rail safety obligations.

All ARTC safety practices and procedures are developed from the following principles:

- identification and management of risk
- management of occurrences and emergencies

- definition and management of interfaces with other organisations and contractors
- protection of passenger, employee, contractor and public safety
- protection of property from damage

1.6.2 Implementation

ARTC is responsible for the implementation of these principles within the following aspects:

- Operational aspects
- Infrastructure aspects
- Rolling stock aspects
- Interfaces with other transport modes
- Interfaces with other rail network
- Human factors management

1.7 Adoption of existing practices:

ARTC will undertake necessary assessments and implement any additional controls prior to adopting existing practices from other railway organisations.

Section 2: Safety Management System

2.1 General

ARTC will establish, document, implement and maintain a safety management system as a means of conforming to this Standard.

The Safety Management System comprises of:

- *Rail Safety Management Policy*
- *Allocation of responsibility and accountabilities for safety management*
- *A system for risk management and maintenance of a risk register*
- *Policy and procedures for safety documentation, information and data control*
- *Procedures for personnel management*
- *Procedures for goods and services procurement*
- *Procedures for asset management*
- *Procedure for interface management*
- *Procedure for change management*
- *Procedures for disseminating information within the organisation*
- *Procedures for emergency management*
- *Process for occurrence notification, investigation, analysis, developing safety actions*
- *Process for establishing key safety performance indicators and performance monitoring*
- *Procedures for management review and auditing*
- *Security Management Plan*
- *Process for safety culture development and maintenance*

The ARTC suite of Safety Documents consists of a Safety Management Plan, the Safety Procedures and Process Control Procedures. ARTC Operations and Engineering Procedures are referenced from these documents.

The Document hierarchy is:

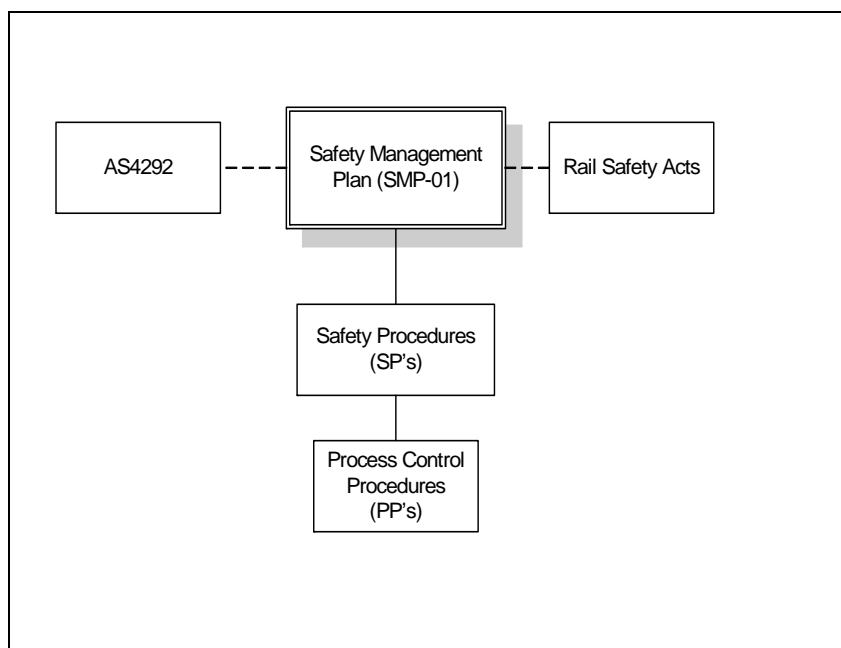


Figure 1: ARTC Safety Document Hierarchy

These documents have been prepared so that there is direct traceability available to AS4292.

The safety documentation includes but is not limited to

AS4292.1 Safety Documentation	ARTC Reference
a) definition of the general safety objectives to be attained	SMP-01
b) the specific allocation of responsibilities and authorities for railway safety within the Australian Rail Track Corporation	SP-02-02
c) the specific safety procedures and methods to be applied	SP Series
d) testing, inspection, examination, recording and audit requirements for all safety related activities	PP Series and ARTC Standards
e) the procedure for changing and modifying the safety documentation as circumstances require	SP-02-06 PP-118
f) any other measures needed to meet the safety objectives	SP Series
g) the identification, preparation and retention of railway safety records	SP-02-06
h) Operating Rules	ARTC Network Rules & Procedures, Code of Practice
i) Personnel Management procedures	HR Series

Table 1: Traceability Matrix, Safety Management Aspects, AS4292 Section 2.4 to ARTC Safety Documents

ARTC SMS Document Reference:

Refer 1, SMP-01 above.

2.2 Safety Management Policy

2.2.1 ARTC Safety Policy

RAIL SAFETY MANAGEMENT POLICY

ARTC is committed to the achievement of railway safety within its internal operations, its infrastructure contractors and authorised train operators by the application of the safety principles and practices of the Australian Standard AS4292 – Section 1.6 and including human factors principles, open communications and a safety culture characterised by personal responsibility and empowerment.

ARTC has identified corridor General Managers to be responsible in conjunction with the Chief Operating Officer, and accountable to the Chief Executive Officer for the overall safety of the network; for the engineered rail infrastructure and for the operational safeworking of trains respectively.

Rail Safety is both an individual and a shared responsibility and everyone employed or contracted by the Corporation must ensure that their jobs are performed as safely as reasonably possible.

ARTC will implement a risk based Safety Management Plan as required by the Rail Safety Acts and governing legislation in the various jurisdictions in which we operate. Risk assessments and hazard analyses have been performed to provide a basis for the implementation of engineering standards and process procedures for infrastructure safety, safeworking procedures for train operations safety, and work skills and safety competency training and certification for safety workers.

ARTC Safety Management Policy is communicated through the Safety Management Plan, which will be issued to all internal areas, contractors and train operators as applicable.

Chief Executive Officer	Date
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2.2.2. Rail Safety Aspects

This ARTC Safety Management Policy covers the following aspects of Safety:

- Prudence
- Protection of people and property
- Pre-emptive strategy
- Safety interfacing
- Assessment of potential risks
- Risk controls
- Incident Management
- Control Procedures
- Verification of control for assurance

These aspects form the requirements of Safety Management.

ARTC SMS Document Reference:

SP-02-01 Safety Management Policy

2.3 Management and Governance

The General Manager, Risk and Compliance ARTC is the nominated officer for the oversight and meta processes of ARTC Safety Management System. This officer has the authority and responsibility to ensure that;

- (a) ARTC produces, maintains and reviews railway safety management system documentation covering procedures and instructions for the management of safety
- (b) This documentation is effectively implemented
- (c) Safety system controls are effective and auditable
- (d) The control and accuracy of rail safety related documentation within ARTC is properly monitored
- (e) Systems are in place to provide those responsible for oversight of the organisation with appropriate information to enable them to properly manage safety risks.

2.4 Responsibilities and Authorities

Figure 1 provides an overview of the major safety organisational interfaces.

ARTC SMS Document Reference:

SP-02-02 Safety Management Responsibility

Responsibilities

The overall responsibility for Rail Safety resides with the Chief Executive Officer.

The General Managers are responsible and accountable for the implementation of safety within their respective divisions.

Safety Responsibilities and Structures

The responsibility and authority of persons who manage, perform and verify work affecting rail safety is vested with the following ARTC officers:

- Chief Executive Officer
- Chief Operating Officer
- Corridor General Managers, (East/West, North/South, Hunter Valley)
- General Manager, Risk & Compliance
- General Manager, Corporate Affairs
- General Manager CRN / Services
- Chief Financial Officer
- Executive manager, Standards, Systems and Performance
- General Manager, Communications & Control Systems
- General Manager, Commercial

The above list constitutes the ARTC Risk & Safety Committee.

The following table, including the Risk & Safety Committee members and other delegated managers, defines those who are responsible for the management of the Safety Management aspects as defined in Section 2.2.2. Rail Safety Aspects.

SAFETY MANAGEMENT		
REQUIREMENT	RESPONSIBILITY	FUNCTIONAL DESCRIPTION OF REQUIREMENT
Prudential Policy	Risk & Safety Committee	The ARTC Chief Executive Officer and General Managers are responsible for ARTC's on-going compliance with the Conditions of Accreditation.
Protection of people and property	Risk & Safety Committee	The protection of people from injury and property from damage is the ARTC's prime safety objective which will be achieved by the assurance of a Fit for Purpose Infrastructure, Operational Safe Working Practices and Workplace Occupational Health and Safety
Pre-Emptive Strategy	Risk & Safety Committee	It is a requirement of the Rail Safety Regulators and ARTC that Train Operators and External Contractors and Maintainers implement comprehensive, structured and systematic Rail Safety Management.
Pro-active Safety Interface	<ul style="list-style-type: none"> - General Managers - Engineering, Corridor, Delivery & Project Managers - Network Control/ Train Transit / Operations Managers - Property Managers - Human Resources Manager - Procurement and Contracts Manager - Safety Interface Manager - National Incident & Investigations Manager - National Rules Manager - Environment Health and Safety Manager - Risk Manager 	<p>ARTC has nominated its Engineering and Corridor Managers, Train Control / Operations Managers, Procurement, Project, and Property Managers as Safety Interface Officers for its Train Operators, Contractors (construction projects), Maintainers and Suppliers in a safety assurance verification role.</p> <p>ARTC uses internal audit resources; compliance records & external auditors to ensure safety management systems are effective.</p>
Assessment of Potential Risks	<ul style="list-style-type: none"> - General Managers - Engineering, Corridor, Delivery & Project / Procurement and Contracts Manager - Train Transit Managers / Operations Managers - Risk Manager - Safety Interface Manager - Environment Health and Safety Manager - National Incident & Investigations Manager - National Rules Manager 	The ARTC responsible managers are to use the Risk Management Procedure RM-01 in assessing potential risks.

SAFETY MANAGEMENT		
REQUIREMENT	RESPONSIBILITY	FUNCTIONAL DESCRIPTION OF REQUIREMENT
Development of Preventive Risk Controls	<ul style="list-style-type: none"> - General Managers - Engineering, Corridor, Delivery & Project Managers - Procurement and Contracts Manager - Human Resources Manager - Executive Manager – Standards, Systems & Performance - Engineering Performance Manager - Property Managers - Operations Managers / Train Transit Managers - Safety Interface Manager - Environment Health and Safety Manager - National Incident & Investigations Manager - National Rules Manager 	<p>The ARTC responsible managers are to ensure that Maintainers and Contractors document and apply safety standards, procedures and certifications particular to their work based on ARTC Engineering Standards and Specifications and Operations Code of Practice.</p>
Practised Plans for Incidents and Emergencies	<ul style="list-style-type: none"> - National Incident & Investigations Manager - Infrastructure, Delivery & Project Managers - Train Transit Managers / Operations Managers 	<p>The ARTC responsible managers are to ensure that Maintainers and Contractors prepare and implement incident and emergency response plans that are compatible with the ARTC Incident Management Plan TA 44.</p>
Implementation of Procedures for Control	<ul style="list-style-type: none"> - General Managers - Infrastructure, Delivery & Project Managers - Train Transit Managers - Safety Interface Manager - Environment Health and Safety Manager - National Incident & Investigations Manager - National Rules Manager - Human Resources Manager - Procurement and Contracts Manager - Property Managers 	<p>The ARTC responsible managers are to verify that Maintainers and Contractors develop and maintain Incident and Emergency Reporting Records that are compatible with ARTC Faults Processing system.</p> <p>ARTC has nominated its Engineering Performance team, Risk & Compliance team, Corridor Management, Compliance Team and external auditors to provide assurance of an effective safety management system through audits.</p>

SAFETY MANAGEMENT		
REQUIREMENT	RESPONSIBILITY	FUNCTIONAL DESCRIPTION OF REQUIREMENT
Proof of Control for Assurance	<ul style="list-style-type: none"> - Engineering Corridor, Delivery & Project Managers - Engineering Performance Manager - Procurement and Contracts Manager - Property Managers - Train Transit Managers / Operations Managers - CRN Managers - Human Resources Manager - National Interface Manager - Environment Health and Safety Manager - National Incident Investigations Manager - Senior Audit Manager - Safety Interface Manager 	<p>The ARTC responsible managers are to verify that the Safety Controls implemented by ARTC employees and contractors and external parties are effective by a planned program of monitoring, inspection, assessment and auditing.</p> <p>ARTC has nominated its Engineering Performance team, Risk & Compliance team, Corridor Asset Management Compliance Team and external auditors to provide assurance of an effective safety management system through audits.</p>

Table 2: Safety Responsibilities

The internal verification procedures include inspection, testing and monitoring of design, commissioning and maintenance of safety related systems, and independent audits of the safety management system and processes.

ARTC SMS Document Reference:

SP-02-03 Safety Management Structure

The ARTC Intranet should be referenced for detailed organisational and committee charts showing the formal relationship between ARTC Managers and between various committees and the Executive.

2.5 Resource Management

2.5.1 Financial Capacity

The Australian Rail Track Corporation Limited is a Company created under the provisions of the Corporations Act wholly owned by the Commonwealth Government and has the financial capacity to sustain safe railway operations, including ability to comply with the safety management system, meet public liability claims and has provided for dealing with foreseeable emergencies and catastrophic events. Risk financing by external insurance is negotiated annually on the basis of loss history and takes into account other risk management initiatives in place.

(a) General Liability claim exposure

The General Liability exposure of ARTC is limited in respect of claims which exceed a predetermined excess, by insurance maintained by the GM Risk and Compliance.

(b) Property damage loss exposure

The property damage exposure of ARTC is limited in respect of claims which exceed a predetermined excess (varying depending on the nature of the loss) through insurance in the form of Industrial Special Risks Policies, details of which are maintained by the GM Corporate Risk and Compliance.

ARTC SMS Document Reference:

Nil

2.5.2 Resource Allocation

ARTC Corporate Planning Process has long term and short term business planning components which cascade to divisional business plans that identify the tasking ahead and allow for provision of adequate resources including people and equipment with which to operate and maintain a railway, and to implement, manage and maintain the safety management system.

2.6 Regulatory Compliance

2.6.1 Rail Safety Compliance

ARTC's Safety Management Plan, in conjunction with its established policies and procedures outlines the Corporation's methodology for managing rail safety, and commitment to, compliance with the relevant legislation and regulation within the States that it operates.

ARTC maintains a computer database "Accreditation Requirements Register" which is primarily used to capture regulatory requirements in a centralised database "register" and record those requirements.

In the NSW Country Regional Network (CRN), ARTC will manage rail safety compliance in accordance with CRN Management Agreement.

Applicable Rail Safety Acts:

- SA - Rail Safety Act 2007
- WA - Rail Safety Act 1998
- NSW - Rail Safety Act 2008
- VIC - Transport (Rail Safety) Act 2006
- Qld - Transport Infrastructure Act 1994

ARTC SMS Reference:

SP-02-13 Accreditation Requirements Register

2.6.2 Occupational Health and Safety Compliance

Australian Rail Track Corporation is committed to ensuring, so far as is reasonably practicable, that its business is conducted in a safe environment without risks to the health or well being of employees, contractors, customers or members of the public.

The management of Australian Rail Track Corporation recognises that the health, safety and welfare of employees is of primary importance, and ranks it equally with all other financial and operational considerations.

ARTC Workplace

ARTC's workplace OH&S is managed by reference to the requirements of the;

- Commonwealth - Occupational Health and Safety Act 1991

And, to the extent required, the:

- SA - Occupational Health, Safety and Welfare Act 1986
- WA - Occupational Safety and Health Act 1984
- NSW - Occupational Health and Safety Act 2000
- VIC - Occupational Health and Safety Act 2004
- Qld – Workplace Health & Safety Act 1995.

Contractor's Workplace

ARTC employees and contractors are required to implement OH & S plans commensurate with their work scopes.

Construction safety compliance

ARTC's maintenance staff and contractors engaged in major maintenance or capital works projects are required to comply with the applicable requirements of the Construction Safety Acts (or equivalent) which are not already covered by the Rail Safety and OH & S Acts.

2.6.3 Environmental Protection Compliance

ARTC has prepared an Environmental Management Plan, which is the basis for achieving compliance with the Environmental Protection Acts of the States within which it currently operates.

In the NSW Country Regional Network (CRN), ARTC will manage environmental compliance in accordance with CRN Management Agreement.

Applicable Environmental Protection Acts:

Environment Protection and Biodiversity Conservation Act 1999 (Cth)
Protection of the Environment Operations Act 1997 (NSW)
Environment Protection Act 1993 (SA)
Environmental Protection Act 1986 (WA)
Environmental Planning And Assessment Act 1979 (NSW)
Environment Protection Act 1970 (Vic)
Environmental Protection Act 1994 (Qld)

ARTC has prepared Environmental Management Plans, which form the basis for achieving compliance with the relevant Environmental Protection Acts.

ARTC Document Reference:

“Environmental Policy and Management Plan for SA, VIC & WA”

“Environment Plan Q30P for NSW”

Note: Until further notice, these documents also apply to ARTC’s operations in Queensland

ARTC Engineering Process Procedure Reference

PP-155 Environmental Duty of Care

Note: Until further notice, this document also applies to ARTC’s operations in Queensland

2.6.4 Compliance Responsibility

The following ARTC Managers have a custodial responsibility for ensuring regulatory compliance to:

Rail Safety Acts

- General Manager, Risk & Compliance

Environmental Protection Acts

- Chief Financial Officer

Occupational Health and Safety Acts

- General Manager, Risk & Compliance

All Managers are responsible for compliance with relevant legislation.

2.7 Document and Data Control

2.7.1 General

All ARTC Safety Management documentation and data and ‘documents and data’ are controlled in accordance with the Safety Procedure, “Document and Data Control” (SP-02-06).

2.7.2 Accuracy, Clarity and Language

Documents are prepared in plain English and conform to the requirements of aforementioned document control system. Understanding of the documents is verified during ongoing training and assessment of staff.

2.7.3 Document and Data Approval and Issue

Corporation wide Safety documentation and data are approved and issued in accordance with the Document and Data Control procedure.

ARTC has developed Inter and Intra Net sites that contain, in part, information relating to safety. This information includes, but is not limited to, the Safety Management Plan and Safety Procedures, ARTC Code of Practice, Route Standards and Incident Management Plans.

ARTC staff, all of whom have access to ARTC’s computer network, are obliged to ensure that they are aware of the current content of the web sites. ARTC utilises e-mail, notice boards and formal and informal meetings to ensure that staff are made aware of most recent information.

ARTC currently records information that is used by the Operators on ARTC’s network in WA, SA and Victoria in its RAMS system. This includes information concerning safeworking matters, covering speed restrictions, track warnings, track possessions, safeworking notices, network service plan amendments and heat related speed restrictions. ARTC records this detail as a train notice and it is updated on a daily basis prior to a set time [18:00 Central Standard Time]. The Operators access the current information via a fax back system and can obtain the most recent information. Train Notices that provide permanent amendments to safety documents are also stored on the ARTC website.

ARTC currently records similar information that is used by the Operators on ARTC’s NSW and QLD network in its NRAMS system. ARTC will establish an ARTC Train Notice [ATN] system. This system will incorporate the current SAFE Notices, TOC Waivers and Special Train Notices. Each of these notices will be distributed as an ATN and recorded in a central registry. These notices will be distributed via fax and email as per current practice and will additionally be stored centrally on ARTC’s website.

2.7.4 Document and Data Changes

Changes to safety documentation and data are controlled in accordance with the Document and Data Control procedure.

ARTC SMS Document Reference:

SP-02-06 Safety Documentation and Data Control

2.7.5 Retention of Safety Records

ARTC is obliged, as a Commonwealth Government owned Corporation, to retain its records as specified under the Archives Act 1983.

SP-02-06 incorporates specific procedures for retention of safety records.

2.8 Key Safety Performance Indicators and Performance Monitoring

ARTC's strategic planning process establishes Key Performance indicators for the Organisation. These KPI's are then cascaded to divisional KPI's which include Safety KPI's. Regular Management Reporting and the annual performance review process monitors the achievement of performance at various levels.

ARTC Document Reference: HR-08P-001 Performance Management System

2.9 Safety Management System Review

The ARTC Risk & Safety Committee has the responsibility for the ongoing management review of the continuing suitability and effectiveness of the Safety Management System. Reviews include consideration of matters arising from audits, incidents or any related matters.

Records are kept and maintained of such events.

These reviews are conducted in accordance with Safety Procedure "Safety Management Review" (SP-02-07).

In the CRN, ARTC conducts management system reviews on behalf of Rail Infrastructure Corporation in accordance with ARTC's Safety Management Plan, and its obligations under the Country Regional Network Management Agreement.

Records of the safety management system reviews are maintained in accordance with Safety Procedure "Safety Management Review SP-02-07.

2.10 Railway Safety Audit

2.10.1 General

The responsibility for, and the implementation of these external and internal audits is defined in the Safety Procedure "Safety Management Audit" (SP-02-08).

The external audits will be at the level of compliance with system safety and safe working rules. The internal audits will be at the level of system and procedure compliance, compliance to safe working rules and record management.

2.10.2 Schedule

ARTC will schedule and perform audits of employees and contractors and internal systems and practices, on the basis of the status and importance of the activity and associated risks

The scheduling of these audits is carried out in accordance with the procedure SP-02-08.

2.10.3 Reporting

Status reports on audits conducted against schedule and close out of audit findings are submitted for Risk & Safety committee review on a quarterly basis. Results of audits are documented and distributed to the audited organisation / divisions in accordance with SP-02-08.

ARTC SMS Document Reference:
SP-02-08 Safety Management Audit

ARTC Engineering Process Procedure Reference
PP-131 Conduct of Engineering Audits

2.11 Change Management

2.11.1 General

ARTC has established procedures for ensuring safety risks associated with change are identified and controlled for changes pertaining to:

- a) infrastructure
- b) procedures, processes and systems
- c) organisational structures
- d) job roles and responsibilities
- e) changes external to the organisation and changes to interfaces coming to the attention of the railway organisation

2.11.2 Requirements

ARTC has an established procedure to document the change, check to see if the change conforms with relevant legislation, consultation with affected stakeholders, risk assessment and identification of suitable controls.

2.11.3 Safety Validation

ARTC's procedure for change management details the protocols for internal approval of the change proposal prior to implementation of any change which affects safety related activities such as:

- a) control of the movement of trains
- b) track and civil infrastructure
- c) signalling, operational systems and telecommunication infrastructure
- d) interface with other engineering and operating systems, equipment and infrastructure including roadways
- e) personal workplace safety
- f) safeworking systems and procedures

2.11.4 Sign off

ARTC has processes to validate changes for safety prior to changes are introduced, and as part of the change project management, independent safety validation may be proposed if the proposed change has a significant impact on safety.

ARTC SMS Document Reference:

SP-02-12 Regulatory Notification Procedure for Change Management
RM-01 Risk Management

ARTC Engineering Process Procedure Reference

PP-158 Rail Network Configuration Management

2.12 Human Factors

ARTC's Safety Management System takes into consideration human factor issues in all rail safety related tasks and equipment, and ensures that the principles of human factors are integrated into all aspects of rail safety to ensure a safe, comfortable and effective work environment for employees.

ARTC Safety Management processes will ensure that interfaces between people and tasks exhibit tolerance to human error, and encourage and empower employees to monitor the results of their actions and recover from their own errors, by providing timely feedback and controls through update of processes.

2.13 Security Management

Network security is considered as a key input in the development and maintenance of safety management system standards and procedures.

ARTC Incident Management Manual details the process of managing all incidents including security incidents in ARTC managed rail network.

ARTC's Security Management Plan ensures that the system can provide a secure environment with consideration for the security of workers and the public.

ARTC Document Reference:

TA44 – ARTC Incident Management Manual
ARTC Security Management Plan



AUSTRALIAN RAIL TRACK CORPORATION LTD

ARTC Passenger Security & Safety Policy

ARTC is committed to the achievement of railway safety within its internal operations, its infrastructure contractors and authorised train operators by the application of the safety principles and practices of the Australian Standard AS 4292 –Section 1.1 by all parties.

As part of this commitment ARTC recognises passengers using the network must be afforded secure and safe passage when using services operated by ARTC customers across the Network.

Through its Access Agreement, each Operator is required to operate in a safe manner and is required to be Accredited to operate having regard to the nature of its activities.

ARTC expects each Operator, as part of its Accreditation to have demonstrated adequate policies and processes to ensure the security and safety of passengers in so far as they relate to the Operator's services including embarking, transit, disembarking and passenger management in the event of an incident.

In line with the above, ARTC policy requires direct responsibility for the welfare of passengers to be undertaken by the Operators of the services as an inherent part of meeting its obligations of operating safely as required by the Access Agreement and their Accreditation.

2.14 Safety Culture

ARTC endeavours to achieve a positive safety culture by having processes that ensure;

- a) that employees and stakeholders, are well informed of what is going on in ARTC, which is accomplished by any of the following means:
 - (i) Company Newsletter
 - (ii) Publication of corporate plans and strategies in the website
 - (iii) On-going “orientations” for ARTC employees promulgating ARTC culture
 - (iv) Publication of safety results and outcomes.
- b) that employees are encouraged to look out for potential risks to deal with problems as they emerge before they can escalate to serious occurrences.
- c) that the processes promote a ‘just culture’ that acknowledges human error and the need to manage it by supporting systems and practices that promote learning from past errors or mistakes
- d) that the organisation is capable of adapting effectively to meet changing demands
- e) that the organisation continues to improve learning from its employees own experience and making effective use of data information from corporate databases.

ARTC initiates periodic safety culture surveys as part of the organisational culture survey exercises and the feedback obtained are reviewed and actioned by the General Managers.

Section 3: Risk and Incident Management

3.1 Identification and Assessment of Railway Safety Risks

Risk procedure RM-01 and associated Work Instructions deal with the identification of safety risks which are applicable to ARTC staff, Contractors, train operators and other interfacing stakeholders in relation to the ARTC network.

In the NSW Country Regional Network (CRN), ARTC will manage and operate the CRN including risk and incident management in accordance with its Safety Management Plan, and its obligations under the Country Regional Network Management Agreement.

Trend analysis is carried out to determine potential problem areas.

Risk procedure RM-01 provides a method of qualitatively identifying the likelihood and consequences of potential incidents.

ARTC's risk management system requires detailed examination of 'change specific' risks and this procedure serves as a guide to risk identification and allocation.

The processes stated above ensure that the following key risks are considered and managed:

- risks associated with contractors, visitors or other people that have been provided access to ARTC railway property
- security risks arising from trespass, vandalism, terrorism, criminal acts and violence to railway safety workers
- change management risks
- human factors risks
- risks associated with emergency response and occurrence management
- risks associated with Asset Management, Procurement, Communications, Fire prevention and control, and interfaces.

ARTC SMS Document Reference:

Risk Management Policy

RM-01 Risk Management Procedure

3.2 Risk Control Measures

Relevant ARTC personnel have been allocated responsibility for the following risk mitigation measures.

- Issue of Engineering safety standards to be applied in ARTC network
- Implementation of safe-working procedures for infrastructure maintainers and contractors.
- Safe-working competency training and certification for infrastructure maintainers and contractors personnel.
- Complying with Safety Interface agreements

- Complying with safety procedures, engineering process procedures and maintenance standards.
- Safe-working procedures for train transit managers and network controllers.
- Safety competency training and certification for train transit managers and network controllers.
- Complying with safety and operations procedures.

The General Manager Risk and Compliance is responsible for the following risk mitigation measures.

- Management of the safe-working codes of practice applicable to the ARTC network.
- Development and maintenance of agreements with all interfacing parties who have an interface with ARTC.
- Management of incident investigation, analysis of trends, and mitigation of identifiable safety deficiencies.
- Compliance auditing of effective implementation of the Safety Management System.

The Chief Financial Officer is responsible for the following risk mitigation measures.

- Quality Assurance of materials / services procured by ARTC and safe delivery of material / services to ARTC.
- Monitoring of implementation of Contract Management processes.

The Chief Operating Officer is responsible for the following risk mitigation measures.

- Compliance to procedures in Corridor operations and infrastructure management activities.

The engineering standards, operational safe-working and system rules which are identified for the mitigation of hazard contributing factors are further analysed and incorporated in specific safety procedures and/or instructions for ARTC rail safety workers.

Risks identified as the responsibility of other infrastructure owners shall be the prime responsibility of that organisation, subject to consultation with ARTC's Risk & Compliance team and joint mitigation effort where deemed appropriate by the ARTC Risk & Safety Committee.

Where necessary, safety instructions shall be issued to train operators, maintainers and contractors in the context of access agreements and maintenance contracts.

Safety training will be initiated or supplemented where required.

ARTC SMS Document Reference:

RM-01 – Risk Management Procedure
SP-03-08 Incident Management
ARTC NSW Network Rules & Procedures
Defined Interstate Rail Network Code of Practice
TA20 - Victorian Network Rules.
Engineering Standards (Code of Practice)

Section 4: Personnel Management

4.1 General

ARTC's Human Resources Policies and Procedures Manual describe the personnel management systems applied to ensure all employees carrying out railway safety work have:

- (a) the physical and mental fitness to do the work
- (b) an adequate sense of responsibility to be entrusted with the work
- (c) the necessary capacity including communication, technical skills, and knowledge to perform the work

4.2 Rail Safety Worker Competence

The Training and Development Procedures included in the Human Resources system ensure that employees carrying out railway safety work have the following:

- (a) competence, training and qualifications in accordance with regulatory requirements, with re-qualification periods defined and entered on personnel records.
- (b) training received from qualified and accredited trainers
- (c) competence and qualification requirements determined in accordance with the ARTC Code of Practice TA02 – Network Interface Coordination Plan and SP-05-02 – Competency / Communication Protocol for Entering Rail Corridor.
- (d) ARTC will ensure that persons selected for positions where competence in the English oral language and in the ability to comprehend the written word are required to have the appropriate language and literacy skills.

Records of competence are maintained in the appropriate files.

ARTC SMS Document Reference:

HR04-001 – Training & Development Policy

TA-02 – Network Interface Coordination Plan

SP-05-02 – Competency / Communication Protocol for Entering Rail Corridor

4.3 Health and Fitness

The Medical Examination Procedures included in the Human Resources system ensure that:

- health and fitness requirements for each position are determined.
- workers are employed to meet the determined requirements.

- Confidential records of medical health and fitness examinations are maintained.

ARTC's system for health and fitness of employees is compliant to the National Standard for Health and Fitness of Rail Safety Workers.

ARTC Document Reference:

HR 04 001 Training & Development Policy; HR07-004 Medical Standards & Health Assessment Policy; HR-05-011 Employee Records Policy

4.4 Drug and Alcohol Control

Australian Rail Track Corporation is committed to providing a safe, healthy and productive working environment for all employees free from the deleterious effects of Drugs and alcohol.

Australian Rail Track Corporation will ensure that the Drug & Alcohol Policies and Procedures are implemented and reviewed in consultation with representatives from the workforce and will ensure that employees are aware of and apply the policy and supporting procedures.

Compulsory Drug and Alcohol testing will occur in the following circumstances:

- at Pre-Employment Medical Assessments;
- at subsequent Periodic Medical Assessments, or where requested;
- at Australian Rail Track Corporation's sole discretion, Australian Rail Track Corporation may administer breath analysis or request urine or blood samples from any Australian Rail Track Corporation Employee.
- Post incident testing

Australian Rail Track Corporation ensures that drug and alcohol testing is conducted by professional organisations with expertise in test sample collection and interpretation of results. Breath tests are also administered by employees nominated by Australian Rail Track Corporation who are qualified to administer such tests. The qualifications to nominate a testing officer are in accordance with the guidelines from the relevant state legislation and results of such tests are kept confidential.

ARTC SMS Document Reference:

HR07-003 Drug & Alcohol Policy;
HR07P-030 Drug & Alcohol Testing Procedure.

4.5 Fatigue Management

ARTC has established a Fatigue Management Plan and Program for managing the risks presented by the adverse effects of fatigue to rail safety workers resulting from significant physical and mental exertion, extended wakefulness, reduced or disturbed sleep as a result of shift work or extended hours, adverse out-of-hours activities or other contributing factors.

ARTC employees and contractors are made aware of the fact that management of work related fatigue is a responsibility to be shared by both ARTC to implement practical fatigue control measures and the employees to present for duty in a fit and well rested condition.

ARTC has also established an external employment policy that ensures that any authorised external employment is taken into consideration while planning work rosters.

ARTC Document Reference:

HR07-005 Fatigue Management Policy

HR06-004 External Employment Policy

Section 5: Goods and Services Procurement

5.1 Procurement Process

ARTC has implemented procedures for contract management and purchasing, including monitoring, auditing and review of these procedures and assessment of risk.

5.2 Contract Management

5.2.1 General

ARTC's Contract Management Procedure FCCC-001 describes the established and maintained system that is applied to all ARTC contracts.

Tenders received are reviewed against the documented evaluation criteria.

The ARTC standard contract obliges the Contractor to comply with:

- 1) Relevant legislation including the Rail Safety Acts and the OH&S Acts and Regulations
- 2) Relevant ARTC Rail Safety Management procedures.

These contractual obligations extend to all subcontractors. ARTC has the right to decline the engagement of any subcontractor that it believes will not undertake the work in a safe manner.

Contractors can subcontract work, subject to the approval of ARTC, but they remain responsible for ensuring the safety obligations of their contract with ARTC are met.

Tender evaluation criteria include the assessment of the ability to meet relevant railway safety requirements, including inter alia review of:

- Any accreditations held and their safety record.
- Experience with rail work
- Existence of OHS&R and Safety Management Plans.

The tendering process follows strict probity requirements ensuring the most appropriate Contractor or Supplier is awarded the contract. Records of the tender evaluation process are retained and stored.

ARTC supplier selection criteria will continue to include review as to whether suppliers are:

- Financially secure
- Direct manufacturers or authorised agents
- Technically capable and have competent staff
- Quality Systems Certified
- Safety conscious and internal health and safety systems are in place
- Willing to reduce transaction costs

- Aligned to working with customers to improve performance
- Holding and willing to maintain the relevant insurances

ARTC Document Reference

FCCC-001 – Contracts Management

5.2.2. Contractor management

ARTC maintains reference records of Contractors and Suppliers, detailing their compliance or otherwise with ARTC's tender evaluation criteria, which include railway safety requirements. These records of ARTC tenderers are available for review at any time by ARTC personnel.

In any new tender assessment, Contractors and Suppliers who have successfully tendered and met the ARTC tender evaluation criteria previously (including those referred to in 5.1.1 above) are required to re-affirm their compliance with such tender criteria on an ongoing basis.

As part of its tender documents, ARTC requires that during conduct of the work activity both Contractors and Suppliers consent to undergo or undertake internal and/or external audits to ensure compliance with contract documents. Audits can be undertaken by ARTC. Contractors are also expected to undertake their own internal audits.

Copies of the audit reports are forwarded to the Project Manager for review and any required amendments to practices are followed up and notified to the contracts administrator who will ensure, where appropriate, amendments are made to the ARTC Contractor and Supplier reference records.

Internal audits undertaken by ARTC are reported to the ARTC Risk & Safety Committee in the same way as any other internal audit.

ARTC procedures require a contractor to demonstrate that all relevant life cycle stages of the product or construction activity undertaken by the contractor are considered as part of contractor management and review. ARTC establishes performance measures with contractors including specifying applicable standards which specify the conditions that a contractor must work to including competency standards and retention of safety related records that can be accessible for review at all times. ARTC management system ensures that agreed performance is achieved, with action to remedy matters if the work quality, safety and other engineering standards are not being met.

ARTC Document Reference

FCCC-001 – Contracts Management

5.2.3. Assessment of contractors and sub contractors

ARTC has established procedures for the selection, control and ongoing review of contractors and sub contractors for safety related work, including coordination of these activities across all parts of the organisation. The type and extent of control exercised is dependent upon the type of service and where appropriate on the records of contractor's and sub contractor's previously demonstrated competency and capability and safety performance.

5.3 Purchasing

ARTC standard supplier's contract places obligation on a supplier to supply materials in accordance with the tender documents, supply schedule, technical specification quality assurance schedule and the safety, quality and environmental plan schedules.

Tender evaluation criteria will include Supplier's ability to demonstrate traceability of supplied safety critical materials.

The ARTC maintainer or contractor and the ARTC Project Manager will be provided with the copies of the supply schedule and contract schedules to verify and approve supplied materials and/or service.

The ARTC Inventory Controller, Maintainer / Contractor or Infrastructure Management staff record and keep track of materials received including: location & quantity of stockpiles and stock usage & location. ARTC undertakes spot audit checks and reporting of acceptance documents and inventory control records. Where appropriate, or specified the requirement for traceability of manufacture through batch or other identification is documented.

The relevant ARTC Provisioning Centre Team Manager, Project Engineer, Maintainer or Contractor tracks and records materials installed or consumed (quantity and location) from each stockpile location.

ARTC Document Reference

- FPPP-001 Purchasing Materials Procedure
- FPPP-002 Inventory Management Procedure
- FPPP-003 Major Material Planning Procedure
- FPPP-005 Inventory Stocktakes Procedure
- FPPP-006 Non Conforming Vendor & Materials Procedure

5.4 Monitoring

ARTC has established procedures that describe an effective monitoring strategy of the railway safety performance of contractors and supplies that includes –

- a) a proactive monitoring system such as auditing of the contractor's safety management system,
- b) a reactive monitoring system such as reviewing safety / quality performance in periodic contract review meetings, with particular emphasis on occurrences and other reported events of quality non-conformances.

5.5 Audit Process

ARTC has established procedures for auditing the management and performance of contractors. The scope of these audits covers ARTC's system for management of contractors and the contractor's management systems' capability to verify compliance and alignment with specified requirements.

5.6 Review Process

For major construction / maintenance contracts, ARTC procedures requires a periodic review process of contractor performance, and involves the contractor in the review process with arrangements for dissemination of outcomes and recording lessons learned and identifying improvement actions.

Section 6: Engineering and Operational Systems Safety

6.1 General

ARTC has structured sets of Engineering and Operational Systems safety standards that cover the relevant aspects of:

Track and Civil Safety
Track Infrastructure Rollingstock Interfaces
Signalling and Communication Systems
Operations and train control Systems
Interfacing with other railway infrastructure and other transport modes

ARTC SMS Document Reference:

TA-02 Network Interface Coordination Plan
ARTC NSW Standards
NSW Train Operation Conditions Manual
ARTC Engineering Standards

6.2 Process Control

All safety related engineering work performed by ARTC staff is required to be carried out in accordance with the relevant process procedures that are listed in the ARTC Process Procedures Index PP-109. This work typically is of a Project Management nature and is monitored in the form of Internal Audits to ensure that standards and procedures are being observed.

All safety engineering work that is carried out by ARTC Infrastructure Managers, construction and maintenance contractors is required to be carried out in accordance with the specified standards and relevant procedures. ARTC ensures that these standards and procedures are kept up to date and ARTC Infrastructure Managers, construction and maintenance contractors are advised and furnished with current documents. ARTC monitors conformance by conducting audits. The audits themselves are subject to process control.

ARTC Engineering Process Procedures Reference

PP-100 to PP-109 General Management and Administration
PP-110 to PP-111 Strategic Planning
PP-115 to PP-139 Engineering Services
PP-140 to PP-169 Asset Management
PP-176 to PP-186 Contracts and Supply

6.3 Engineering Design

ARTC ensures that all design and development work performed on its behalf meets the safety standards of the ARTC specifications.

Where appropriate, verification and validation of design integrity is carried out by an independent third party.

ARTC procedure PP-121 Verification and Validation of Design for Safety Critical Systems ensures that there is a standard approach to the verification of the integrity of safety related systems.

ARTC Engineering Process Procedure Reference

PP-120 Development of Infrastructure Standards

PP-121 Verification and Validation of Design for Safety Critical Systems

PP-122 New Equipment and Systems Approval

PP-123 Judgement of Significance

PP-124 New Rollingstock Approval

PP-129 Control of Configuration for Signalling and Communications Systems

PP-130 Control of Software Configuration for Signalling and Communications Systems

6.4 Construction and Installation

6.4.1 General Requirements

ARTC ensures that procedures are established internally or by the contractor for all aspects of construction and implementation of new or modified equipment and systems including ensuring controls are applied for maintenance of safe railway operations during installation, and procedures for appropriate access control and protection.

6.4.2 Factors to be considered

ARTC ensures that standards and procedures are established taking into consideration documentation requirements for system installation and that there is no ambiguity on type of safe working in force.

ARTC contracts specify the individual requirements for inspection and testing of Infrastructure and Operational Systems relevant to the jurisdiction. The contracts reference a suite of documents that may include external documents such as Australian Standards, National Code of Practice documents and State or Federal Legislation. Internal documents, such as ARTC standards and procedures may also be referenced.

ARTC Document Reference

SP-05-02 Competency & Communications Protocols for entering ARTC Rail Corridor

6.5 Implementation and Commissioning

6.5.1 General Requirements

System Inspection and Testing activities may be performed by ARTC staff, as a standalone contract or as a component of a contract.

In either case procedures for inspecting and testing of safety related systems are specified in the relevant ARTC Standards. These standards are compiled and maintained by the Executive Manager Standards, Systems and Performance.

The procedures define the location, method, level of detail and frequency of inspection and testing.

The procedures identify the need for inspection and testing on both a scheduled basis and on a basis of defined events.

The maintainer or contractor is responsible for the control, calibration and maintenance of their inspection and testing equipment. They are also responsible for the correct selection of equipment type and operating personnel.

Where the safety part of the system cannot be verified prior to use, specified in-service monitoring will be performed to the ARTC Standards by the maintainer or contractor.

6.5.2 Inspection and test plan

Formal frequency schedules for the regular inspecting and testing of the safety related system components are defined in the ARTC Standards.

Inspection frequencies may be varied in response to observed trends or incidents; recommendations for such variations will be submitted by the relevant Infrastructure Manager to the Executive Manager Standards, Systems and Performance for review and approval prior to implementation.

6.5.3 Monitoring unverified equipment

ARTC will ensure that where a part of a system cannot be verified prior to commissioning or re-entry into service, associated risks are identified and treated in an appropriate manner.

6.6 Monitoring and Maintenance

6.6.1 General

ARTC has procedures for monitoring the condition of the assets and initiating corrective actions when the assessed safety condition of any elements of the assets managed requires such action.

6.6.2 Monitoring and Maintenance requirements

ARTC Process Procedure PP166 Asset Maintenance Works Management details the process used for monitoring the assets, identification of defects and appropriate corrective actions.

ARTC utilizes external standards and internally established and maintained procedures for assessing the condition and deterioration of safety related systems. (PP-143 to PP-149)

The response procedure, so that railway safety is not compromised, for actions required by the maintainer or contractor as a result of an inspection or test is defined in the ARTC Standards.

Corrective action mechanisms to rectify product defects, revise work procedures or retrain safety workers shall be carried out by the contractors or ARTC in response to the following:

- Non-conformance reporting from Infrastructure Maintainers/Contractors
- Defect reports from the Track Condition Monitoring Contractor
- Quality and safety audit reports by the ARTC Signalling and Track Auditors.

The maintainer or contractor is required to establish and maintain inspection and test records as specified by ARTC standards. For contractors these records are provided to ARTC on a contractually agreed basis. For ARTC maintenance staff these records must be kept and controlled in accordance with the ARTC document control procedures.

The inspection and test status of any system item is identified in databases held by ARTC and its contractors.

ARTC Engineering Process Procedure Reference

PP 166 Asset Maintenance Works Management
PP-143 Collection of Track and Civil Condition Data
PP-144 Collection of Signalling System Condition Data
PP-145 Collection of Communications System Condition Data
PP-146 Track Condition Monitoring
PP-147 Track Faults Management
PP-148 Signals Fault Management
PP-149 Communications Fault Management
ARTC NSW Standards
ARTC Code of Practice
ARTC Standards

6.7 System Operation

6.7.1 Train Management

Train management on the ARTC managed rail network is the responsibility of Rail Operators who operate in the ARTC network in accordance with their access agreement.

6.7.2 Traffic Management

Safety standards and procedures exist within ARTC for the following:

- Infrastructure Engineering
- Operational Systems
- Interstate Operation

Route Designation

ARTC Routes are provided for passenger and freight operators and network infrastructure maintainers based on their track access agreements.

ARTC maintains safe working / operating rules and procedures that are applied by those responsible for the control of trains. ARTC has established competency training processes that ensure its staff responsible for control of trains possess:

- system knowledge including routes and layouts
- train knowledge
- route occupancy knowledge
- hand-over protocols to other control areas
- communication protocols
- failure and emergency procedures.

ARTC Document Reference:

ARTC NSW Network Rules and Procedures
ARTC Code of Practice
TA-20 Victorian Network Rules
TA-02 Network Interface Coordination Plan
ARTC NSW Standards
NSW Train Operating Conditions Manual

6.8 Modification

ARTC has established procedures for the modification of safety related systems, which include as appropriate, the effects of the proposed modification, implementation and commissioning of all or part of the modified system and the need to record and promulgate changes and modifications. Risks are managed as per ARTC Risk Management Processes detailed under Section 2 and Section 3 of this Safety Management Plan.

ARTC Document Reference:

PP158 Rail Network Configuration Management
SP-02-12 Regulatory Notification Procedure for Change Management
SP-03-11 Safe Notice Preparation and Distribution
ARTC NSW Network Rule – Infrastructure Booking Authority

6.9 Decommissioning and Disposal

ARTC has established standards and processes for decommissioning and if required disposal of safety related equipment and systems, which take into consideration the following:

- need to maintain safe railway operations during decommissioning and disposal
- need to ensure that no ambiguity exists regarding the type of safe working system in force at any one location or time
- need to ensure that decommissioned equipment is clearly identified as such
- need to prevent inappropriate re-use of decommissioned asset prior to disposal.
- need to minimise so far as is reasonably practicable any public hazard associated with decommissioning equipment.

ARTC Document Reference:

PP158 Rail Network Configuration Management
SP-03-11 Safe Notice Preparation and Distribution
FPPP-031 Disposal Procedure
ARTC NSW Network Rule – Infrastructure Booking Authority

Section 7: Interface Management

7.1 General

ARTC has established “IA00 Procedure for preparation of Interface Agreements” that details the documented process for interface management in respect of safety issues at its interface with the activities of another railway organisation or another party.

7.2 Application

ARTC’s interface management process deals with rail safety interface issues which could result in a risk to safety to establish whether specific controls are needed.

Typical interface matters considered are:

- a) interfaces between ARTC and other railway organisations
- b) interfaces between ARTC and other non-railway organisations or infrastructure as follows:
 - grade separation
 - at-grade crossings
 - joint and alternative use facilities and shared transport corridors
 - utilities
 - terminals, yards and stations

7.3 Interface Coordination

Safety Interface Agreements (Interface Coordination Plans) implemented by ARTC identify the relevant responsibilities of each party, identify the functional and physical interface between the interfacing parties and contain procedures for review of the interface coordination plan and procedures for access by either parties.

ARTC Document Reference:

IA00 Procedure for preparation of Safety Interface agreements

7.4 Safety Management of the Interfaces

7.4.1 General Requirements

ARTC has appropriate documents in place with operators and adjoining track managers and private siding owners to ensure that the interfaces are managed safely.

Railway operations that are conducted in WA, SA and Victoria will be in accordance with the ARTC Code of Practice TA02 – Network Interface Coordination Plan.

Operations conducted in NSW and QLD will be in accordance with the ARTC NSW Standards and Common Standards.

Train operators are required to manage the “above-rail” integrity so that train path entitlement can be met.

ARTC SMS Document Reference:

TA-02 Network Interface Coordination Plan

ARTC NSW Engineering Standards

NSW Train Operating Conditions (TOC) Manual

7.4.2 Common essential Requirements

a) Rollingstock

		Responsibility	Addressed by
(i)	Vehicle and load dimension including clearance	ARTC	TA-02. TOC Manual
(ii)	Roadworthiness of vehicle	Operator	Access Agreement
(iii)	Permissible speed limit of vehicles	ARTC	Access Agreements TA-02 TOC Manual
(iv)	Size, shape, gauge, and gauge tolerance of wheels	Operator	Access Agreements TA-02 TOC Manual
(v)	Limits on wheel flange thickness, shape and wheel defects	Operator	Access Agreements TA-02 TOC Manual
(vi)	Coupling types, height and maintenance limits.	Operator	Access Agreements TA-02 TOC Manual
(vii)	Braking system, including train performance parameters	Operator	Access Agreements TA-02 TOC Manual
(viii)	Vehicle equipment	Operator	Access Agreements TA-02 TOC Manual

		Responsibility	Addressed by
(ix)	Vehicle maintenance standards and procedures	Operator	Access Agreements TA-02 TOC Manual
(x)	Vehicle recognition, including bogie types	Operator	Access Agreements & ARTC Standards
(xi)	Electrical resistance tolerances between wheel to rail contact faces on the same axle.	Operator	Access Agreements TA-02 TOC Manual
(xii)	Electrical compatibility between traction systems, and signalling and communication systems	Operator	Access Agreements TA-02 TOC Manual
(xiii)	Effectiveness of vigilance controls	Operator	Access Agreements TA-02 TOC Manual

(b) Track and Civil Infrastructure

		Responsibility	Addressed by
(i)	Structure clearances	ARTC	ARTC Code of Practice ARTC NSW Standards
(ii)	Track gauge and tolerance	ARTC	ARTC Code of Practice ARTC NSW Standards
(iii)	Capacity of track and civil infrastructure	ARTC	ARTC Code of Practice ARTC NSW Standards
(iv)	Track & crossing work geometry	ARTC	ARTC Code of Practice ARTC NSW Standards

(c) Electric Traction Infrastructure (Only applicable at interface points with adjoining RailCorp network)

		Responsibility	Addressed by
(i)	Fault protection	RailCorp	ARTC NSW Standards
(ii)	Power supply parameters	RailCorp	ARTC NSW

		Responsibility	Addressed by
			Standards
(iii)	Electrical clearances and approach distances	RailCorp	ARTC NSW Standards
(iv)	Spatial location of conductors	RailCorp	ARTC NSW Standards
(v)	Safety switching and isolation procedures	RailCorp	ARTC NSW Standards
(vi)	Earthing and bonding	RailCorp	ARTC NSW Standards

(d) Train Control

		Responsibility	Addressed by
(i)	Train control	ARTC	ARTC Code of Practice. ARTC NSW Standards.
(ii)	Safe-working	ARTC Operator	ARTC Code of Practice. ARTC NSW Safe-working Rules. Access Agreements
(iii)	Signalling and telecommunications systems	ARTC	ARTC Code of Practice. ARTC NSW Standards.
(iv)	Train communication to Train Control	Operator	Access Agreement

(e) Operations

		Responsibility	Addressed by
(i)	Availability and suitability of route	ARTC	TA-02 TOC Manual
(ii)	Train performance	ARTC Operator	TA-02 TOC Manual Access Agreement
(iii)	Indication of track speed limits	ARTC	ARTC Code of Practice. ARTC NSW Standards.

		Responsibility	Addressed by
(iv)	Axle loads	ARTC Operator	TA-02 TOC Manual Access Agreement
(v)	Securing of loads	ARTC Operator	TOC Manual Access Agreement
(vi)	Emergency procedures	ARTC Operator	ARTC Incident Management Plan Access Agreement. Operator must have Incident Management Plan
(vii)	Crew competence	ARTC Operator	TOC Manual Competency Certificates. Fatigue Management. Access Agreement
(viii)	Fatigue	ARTC Operators	ARTC Policy State Legislation, Access Agreement
(ix)	Drug and Alcohol Control	ARTC Operator	ARTC Drug & Alcohol Procedure State Legislations Access Agreement
(x)	Medical Fitness	ARTC Operator	ARTC Medical Standards and Health Assessment Policy State Legislations Access Agreement

Section 8: Occurrence Management

8.1 Occurrence Notification and Management

8.1.1 Procedures for notification of occurrences

ARTC has established procedure for identification, documentation and regulatory notification of occurrences as agreed to with Rail Safety Regulators and Rail Safety Investigators.

8.1.2 Recording and analysis

ARTC records all rail safety occurrences including those occurrences involving contractors and sub-contractors in a computer database, which provides for collection, indexing, and close out of these occurrence reports. ARTC occurrence records are legible and identify the organisation involved in the occurrence.

ARTC regularly reviews the occurrence database, analyses and reports on rail safety performance which is reviewed as part of ARTC Safety Management System Review.

The safety procedure SP-03-09 “Train Control Report” covers the steps from the creation of the basic TCR by the Train Controller to the analysis of incident trends by the National Incident & Investigations Manager.

8.1.3 Investigation

The various State Rail Safety Acts provide in part that an accredited person must inquire into and report to the Rail Safety Regulator on any railway accident or incident that may affect the safe construction, operation or maintenance of a railway in respect of which the person is accredited.

Investigations into the cause of railway safety accidents and incidents are conducted in accordance with AS 4292.7 “Railway Safety Investigation”.

8.1.4 Review and rectification procedures

ARTC Safety Procedure SP-03-09 “Train Control Report” details the procedures for analysis and close out of an occurrence report.

8.2 Emergency Response

ARTC document TA-44 “Incident Management Plan” details the procedures to be taken from the initial response to an incident to the initiation of a preliminary investigation. TA44 and associated procedures categorise incidents taking into account the seriousness of the emergency and the potential danger, and provides details including:

- allocation of roles and responsibilities within and between organisations
- train and arrangements to maintain competence in emergency response
- initial response procedures
- call-out procedures
- on-site management of the occurrence
- liaison with relevant emergency services
- arrangement for effective communications and co-operation throughout the emergency response
- recovery procedures
- initiation of investigations

ARTC actively participates in emergency exercises organised by emergency services organisations.

8.3 Preservation of Evidence

ARTC Incident Management Plan TA44 identifies responsibilities for preservation of evidence at an incident site, appointment of a site manager, site security, and the process of communication between site manager and an internal or external investigator.

ARTC SMS Document Reference:

TA-44 Incident Management Plan
SP-03-09 Train Control Report
SP-03-08 Incident Management
SP-03-12 SPAD Management
SP-03-13 Investigation Report Review Procedure

ARTC Engineering Process Procedure Reference

PP-159 Recovery of Incident Costs
PP-152 Train Control Report Close out

APPENDIX: ARTC Documents

ARTC Safety Procedures

ARTC Intranet.

ARTC Risk Management Procedures

ARTC Intranet

ARTC Human Resources Policy & Procedures

ARTC Intranet

ARTC Incident Management Plan

ARTC Intranet

ARTC Interface Plans & Procedures

ARTC Intranet

ARTC Environmental Procedures

ARTC Intranet

ARTC Engineering Process Procedures

ARTC Intranet

ARTC NSW Standards

ARTC Intranet / ARTC website - <http://www.artc.com.au/nsw/engineering-standards.htm>

ARTC NSW Operational Standards

ARTC Intranet / ARTC website - <http://www.artc.com.au/nsw/nsw-operations.htm>

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AUSTRALIAN RAIL TRACK CORPORATION LTD

Incident Management Manual

Document TA 44

Version 4.3
27 November 2006

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EMERGENCY PHONE NUMBERS	
ADELAIDE TRAIN CONTROL CENTRE	08 8217 4540
BROADMEADOW TRAIN CONTROL CENTRE	02 4902 9410
JUNEE TRAIN CONTROL CENTRE	02 6924 9412
	02 9289 4826
ORANGE TRAIN CONTROL	02 6391 4242
	02 6391 4230
EMERGENCY SERVICES	000

This document is to be classified as "uncontrolled" when printed

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November 2006	Change from AS5022 to AS4292.7	Pages 2, 24 and 25 were amended to reflect the new Australian Standard	ARTC Safety Committee

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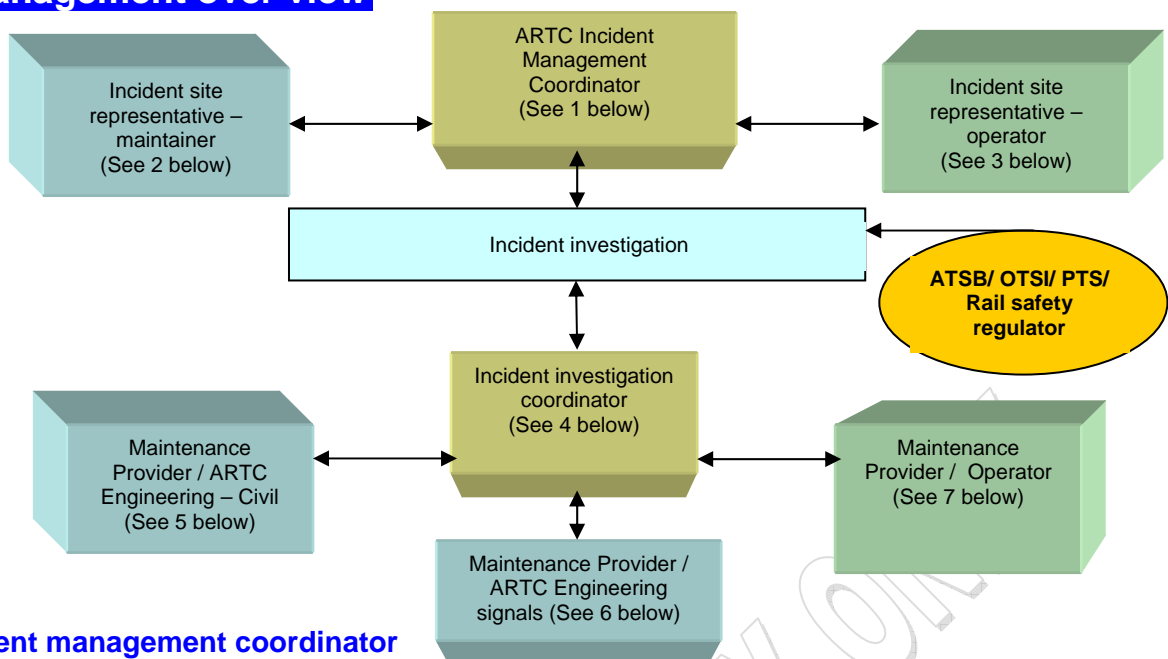
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Site management over view



1. Incident management coordinator

ARTC nominated person responsible for the site co-ordination unless Emergency Services are present when they will take charge. Where Emergency Services are present this is the “railway person” to whom the Emergency Services report. When Emergency Services hand back the site they hand it back to this person.

2. Incident site representative - Maintainer

The Maintenance representative at the site who reports to the Incident Site Coordinator and obtains approval to carry out maintenance tasks. This person will then direct maintenance personnel in their role at the scene. This person will be the maintenance representative at all site meetings during the incident.

3. Incident site representative - Operator

The Operators representative at the site who reports to the Incident Site Coordinator and obtains approval to carry out maintenance tasks. This person will then direct maintenance personnel in their role at the scene. This person will be the operator’s representative at all site meetings during the incident. Any recovery staff engaged by the Operator at the site will work under the direction of this representative.

4. Site investigation coordinator

This position only exists where a separate site investigation team is established. If there is no separate investigation team the task will be undertaken by the Incident Site Coordinator. If there is a separate investigation team this person will report to and take direction from the Incident Site Coordinator. This person has the right to request evidence not be touched or quarantined for further investigations.

5. Maintenance Provider / ARTC Engineering - Civil

Reports to and works under the direction of the Site Investigation Coordinator. Has the right to request evidence not be disturbed.

6. Maintenance Provider / ARTC Engineering - Signals

Reports to and works under the direction of the Site Investigation Coordinator. Has the right to request evidence not be disturbed.

7. Maintenance provider - Operator

Reports to and works under the direction of the Site Investigation Coordinator. Has the right to request evidence not be disturbed.

1. Purpose of this incident management plan.

To provide, in a systematic manner a work procedure for managing recovery, investigation and reporting of incidents occurring on the ARTC track corridor.

To comply with the requirements of Australian Standard 4292 – Rail safety management.

2. References.

Australian Rail Track Corporation – Addendum to the National Code of Practice.

Rule books applicable to the New South Wales rail network.

TA 20 Victorian main line operations.

Australian Standard 4292 1 – 6 (Rail safety management).

Australian Standard 4292.7 (Guide lines for rail safety investigation).

Rail Safety Legislation of the relevant states.

3. Definitions and abbreviations.

Access agreement

A contract giving an Operator access to the Australian Rail Track Corporation network.

ARTC General Manager Risk and Safety

The ARTC officer responsible for approving incident management.

ARTC

Australian Rail Track Corporation.

ATSB

Australian Transport Safety Bureau, responsible for investigations on the defined interstate network, but who may delegate this authority.

Board of Inquiry

A panel of persons, nominated by ATSB, Department of Transport or rail organisations convened to inquire into rail incidents.

Dangerous Goods

Any substance or article prescribed as dangerous goods under the Dangerous Goods Act 1975 (as amended).

Rail Safety Regulator

- | | |
|-------------------------|---|
| ❖ In Queensland | Department of Transport, Queensland. |
| ❖ In New South Wales: | Independent Transport Safety and Reliability Regulator. |
| ❖ In Victoria: | Department of Infrastructure. |
| ❖ In South Australia: | Department of Transport, SA. |
| ❖ In Western Australia: | Department of Transport, WA. |

Disaster

A term used commonly to describe a particularly serious event.

Emergency Operations Centre

A control centre established by the Emergency Operations Controller.

Emergency Operations Controller

A senior member of the Police service in charge at the site.

Emergency

An incident which requires a significant and co-ordinated response.

Emergency Services Organisation

Means the Police Service, Fire Brigades, Country Fire Authorities, Ambulance Service, State Emergency Service, Volunteer Rescue Association or any other agency which manages or controls an accredited rescue unit. **NOTE** - Some names may change from State to State.

Employees

Persons employed by a rail organisation, including directors, agents and other relevant persons, including volunteers and contractors for whom the organisation is liable under statute or at common law as employer also includes seconded staff.

General Manager Risk and Safety

The person required to provide custodianship of ARTC's Safety Management System and manage ARTC's overall safety compliance with the requirements of AS 4292.1 and ARTC's conditions of accreditation. The position has the authority to initiate safety investigations.

Incident Investigation Co-ordinator

A person nominated by ARTC to co-ordinate the gathering of evidence, and the testing of vehicles or infrastructure involved, immediately following an incident. This person shall report to and take direction from the Incident Management Co-ordinator. In some instances this person may be the Incident Management Co-ordinator.

Incident Site Investigation Representative

A person nominated by an organisation involved in an incident to assist in the gathering of evidence, and the testing of vehicles or infrastructure involved, immediately following an incident who will work under the direction of the Incident Investigation Co-ordinator.

Incident Management Co-ordinator (ARTC)

A person nominated by, but not necessarily from, ARTC to take control, or to form the liaison point with Emergency Services Organisations taking control, of an incident site.

Incident Management Manual

This manual and its appendices

Incident Management Plan

Procedures prepared in response to this Manual which set out how the responsibilities of each Operator, Service Provider or Maintenance Provider / ARTC Engineering are to be implemented.

Incident Management Team

The group, comprising the Incident Site Representatives and chaired by the Incident Management Co-ordinator, formed on site to manage the recovery and service restoration processes.

Incident Response Co-ordinator

The person or persons nominated by a rail organisation to provide a 24 hour, 7 day point of contact and to provide incident response initiation within that organisation.

Incident Site Representative

The person nominated by a rail organisation to attend the incident site and manage all site activities of that organisation under the direction of the Incident Management Co-ordinator.

Incident

An occurrence, as defined in AS4292 Part 1 Appendix C, involving or affecting operations on the Network, which has resulted in, or has the potential to cause:

- ❖ Death or injury
- ❖ Property damage

- ❖ Disruption to train services; or
- ❖ Adverse environmental consequences.

Infrastructure owner

The body responsible by reason of ownership, control or management, for the construction and maintenance of track, civil and electrical traction infrastructure or the construction, operation or maintenance of train control and communication systems, or a combination of these, or a person or body acting on its behalf. (AS 4292)

Joint inquiry or Investigation

A formal inquiry into the cause of an incident initiated by the ATSB or the relevant Department of Transport.

Joint report

An inquiry into the cause of an incident initiated by two or more of the involved organisations.

Maintenance Provider / ARTC Engineering

An organisation contracted to perform maintenance of ARTC infrastructure assets.

Network

All or any part of the rail infrastructure facilities controlled, owned, leased or managed by the Australian Rail Track Corporation.

In New South Wales the network consists of the following rail corridors,

The Leased Network

- ❖ Border Loop tunnel to Islington Junction
- ❖ Macarthur to Albury
- ❖ Moss Vale to Unanderra
- ❖ Cootamundra to Goobang Junction via Stockinbingal
- ❖ Goobang Junction to Broken Hill
- ❖ Goobang Junction to Werris Creek via Narromine, Dubbo, Marrygoen, Binnaway and Gap

The Country Regional Network

- ❖ Bowenfels to Goobang Junction (via Wallerawang, Blayney, Orange Jct and Molong)
- ❖ Wallerawang to Gulgong (via Kandos)
- ❖ Blayney to Demondrille (via Cowra)
- ❖ Koorawatha to Greenethorpe
- ❖ Orange Junction to Dubbo
- ❖ Werris Creek to Dumaresq
- ❖ Gap to North Star
- ❖ Narrabri Junction to Walgett
- ❖ Burren to Merrywinebone
- ❖ Moree to Moree Agripark
- ❖ Camurra to Weemelah
- ❖ Binnaway to Gwabegar
- ❖ West Tamworth to Westdale
- ❖ Dubbo to Coonamble
- ❖ Narromine to Nyngan Junction
- ❖ Nevertire to Warren
- ❖ Nyngan Junction to Cobar
- ❖ Bogan Gate to Tottenham
- ❖ Picton to Hill top
- ❖ Mittagong Jct. - Braemar
- ❖ Joppa Junction to Queanbeyan
- ❖ Queanbeyan to Canberra
- ❖ Stockinbingal to Griffith (Via Temora)

- ❖ Temora to Ungarie
- ❖ Barmedman to Rankin Springs
- ❖ West Wyalong to Burcher
- ❖ Ungarie to Naradhan
- ❖ Ungarie to Lake Cargelligo
- ❖ Junee to Griffith (via Narrandera and Yanco)
- ❖ Griffith to Hillston
- ❖ Yanco to Willbriggie
- ❖ The Rock to Boree Creek

In Victoria the network consists of the following rail corridors

- ❖ From, but not including Albury to the Dudley St. overpass at Spencer St. Melbourne
- ❖ From Tottenham to the Victoria / South Australia Border

In South Australia the network consists of the following rail corridors

- ❖ From the Victoria / South Australia Border to the South Australia / Western Australia border
- ❖ From Dry Creek to Pelican Point except for the section Port Adelaide Junction to Glanville
- ❖ Crystal Brook to but not including Broken Hill,
- ❖ From Port Augusta to, but not including Whyalla

In Western Australia the network consists of the following rail corridors

- ❖ From the South Australia / Western Australia Border to but not including Kalgoorlie

Reference to “The Network” throughout this document refers to the definition of “Network” as shown above.

Operator

The organisation owning the path of the train involved in an incident.

Service contract

A contract between a Service Provider or an Operator and ARTC.

Service provider

An organisation contracted to an Operator to provide locomotives, wagons and crews or other service to enable the operation of the train on the Network.

Site coordination centre

A facility, incorporating communications, provided on an incident site as required by the Incident Management Co-ordinator.

Track Safety Awareness

Training in the risks present and safety measures necessary when a person is on or near track.

Train Control

The control and regulation of all train movements to ensure the safe, proper and efficient operation of the Network.

Train Controller / Area Controller / Signaller / Area Controller / Signaller

A person charged with the duty of providing train control.

Train Transit Manager / Train Control Centre Manager or nominee

A person charged with the duty of providing over sight of Train Control and Customer Service provisions on behalf of the Australian Rail Track Corporation over the ARTC Network.

NOTE: This document has been prepared for use throughout the ARTC Network and as such will be used in the States New South Wales, Victoria, South Australia and Western Australia.

4. Overview.

4.1. ARTC Incident Management Policy

ARTC shall, in conjunction with Operators, Service Providers and Maintenance Provider have effective incident management procedures established to ensure:

- a) That each organisation involved in an incident is aware of its individual responsibilities.
- b) That procedures to manage these responsibilities are documented and tested to provide the best possible response.
- c) That the procedures established to manage each organisation's responsibilities effectively address the following:
 - ❖ A rapid and appropriate response.
 - ❖ The protection of life, property and the environment.
 - ❖ The safety of persons involved in, and responding to, an incident.
 - ❖ The continued protection of property involved in, and during the response to, an incident
 - ❖ Minimisation of delays.
 - ❖ The interaction between organisations and agencies involved in the incident are managed effectively.
 - ❖ Compliance and integration with legislation and State Emergency Plans.
 - ❖ Timely and effective investigation of the incident cause.
 - ❖ Identification of training and resource requirements.

4.2. Scope of the Incident Management Manual

The Incident Management Manual details the policy and responsibilities for the management of rail incidents, which either occurs within, or impact upon the Network.

The Manual's objective is to ensure that ARTC, Operators, Service Providers and Maintenance Providers have established an integrated strategy for the response to, and management of, rail incidents as follows:

- ❖ Reporting and classification of the incident.
- ❖ Recovery procedures.
- ❖ Train management of restricted services.
- ❖ Human and physical resource management.
- ❖ Communications and the media.
- ❖ Restoration of the track and infrastructure.
- ❖ Resumption of access and other services.
- ❖ Minimisation of adverse environmental impacts.
- ❖ Initiation of investigations or inquiries.
- ❖ Training and exercises.

4.3. Organisation Incident Management Plans

The ARTC Incident Management Manual is a high level document which details key organisational responsibilities. The procedures to manage these are the responsibility of the individual organisations.

The Incident Management Plans developed by each Operator, Service Provider and Maintenance Provider shall detail the procedures and resources with which the organisation will respond to and manage incidents.

Each plan will form part of an Access Agreement or Service Contract with ARTC and will be complementary to this Manual.

The plans must address but are not limited to the following types of incidents:

- ❖ Derailment and collision, fire and life safety, bomb threat equipment, rolling stock or infrastructure failure, environmental issues, dangerous goods spill.

The plans must consider:

- ❖ Training of staff, provision of resources, response in remote or difficult access locations, interfaces with other organisations, interface with the State DISPLAN related to incident management.
- ❖ A controlled copy of the Incident Management Plans are to be provided to ARTC, who shall provide a consolidated set as appropriate to the Train Transit Manager / Train Control Centre Manager or nominee and other ARTC staff requiring same.

Operator's plans should include such items as critical details of the features and operation of rolling stock relevant to incident management. Typically, this shall include such information as the location of emergency exits from passenger cars; vehicle dimensions and mass, vehicle lifting points and fuel cut off points and will include diagrams as appropriate.

Maintenance Provider / ARTC Engineering's plans shall contain such items as details of road and personnel access to all areas, location of emergency equipment, fire hydrants, electric isolation points and communication facilities. Plans are to include diagrams, maps or photographs that can be readily referred to in an emergency.

Plans are to be kept current and updates forwarded regularly to ARTC.

4.4. Train Control

ARTC provides its own train control services on its Network. ARTC Train Control Centres are located at Mile End, Broadmeadow, Sydney, Junee and Orange. ARTC also provides train control services to Pacific National for the Northern Power Station (Port Augusta) to Coalfield (Copley) rail line, and to the Melbourne Port Corporation port at Appleton Dock, Melbourne.

The following train control boards are located within the Adelaide Train Control Centre

- ❖ Albury – Control of the Tottenham to Albury line.
- ❖ ASW – Control of the Tottenham to but not including Pyrenees line.
- ❖ Central Board – Control of the ARTC Adelaide metropolitan area.
- ❖ Kalgoorlie Board – Control of, but not including Tarcoola to but not including Kalgoorlie
- ❖ Melbourne – Control of signalling from Tottenham loop to but not including Spencer St, and from Dock Links Rd to Melbourne Ports Corporation facilities at Appleton Dock.
- ❖ North Board – Control of the Crystal Brook to Broken Hill line.
- ❖ South Board – Control of the Mile End to Pyrenees line.
- ❖ Tarcoola Board – Control from Pt. Augusta to Tarcoola, Port Augusta to Whyalla.
- ❖ West Board – Control from Dry Creek to Port Augusta.

NOTE: At certain times the boards may be split or amalgamated to cater for varying workloads.

The following train control boards are located within the Broadmeadow Train Control Centre

- ❖ Adamstown (relief lines) inclusive to Mt Owen (inclusive).
- ❖ Mt Owen (exclusive) to Aberdeen (exclusive).
- ❖ Muswellbrook (inclusive) to Dubbo (exclusive).
- ❖ Maitland (exclusive) to Gloucester (inclusive).
- ❖ Gulgong (inclusive) to Mudgee (inclusive).
- ❖ Aberdeen (inclusive) to Werris Creek.
- ❖ Werris Creek to Dumaresq.
- ❖ Werris Creek to Moree.
- ❖ Werris Creek to Merrygoen (exclusive).
- ❖ Binnaway to Gwabegar.
- ❖ Narrabri West to Walgett.
- ❖ Burren Junction to Merrywinebone.

- ❖ Moree to North Star.
- ❖ Camurra to Weemelah.
- ❖ West Tamworth to Westdale.
- ❖ Gloucester (exclusive) to Loadstone (exclusive).
- ❖ Casino to Murwillumbah.

The following train control boards are located within the Junee Train Control Centre

- ❖ Macarthur to Joppa Junction (Main line)
- ❖ Joppa Junction to Canberra
- ❖ Moss Vale to Unanderra
- ❖ Goulburn (exclusive) to Albury.
- ❖ Junee to Griffith via Narrandera.
- ❖ Cootamundra to Temora.
- ❖ Stockinbingal to Parkes (exclusive).
- ❖ Demondrille to Cowra (inclusive).
- ❖ Koorawartha to Greenthorpe.
- ❖ The Rock to Boree Creek.
- ❖ Yanco to Willbriggie.
- ❖ Temora to Griffith.
- ❖ Temora to Lake Cargelligo.
- ❖ Griffith to Hillston.
- ❖ Barmedman to Rankin Springs.
- ❖ Wyalong to Burcher.
- ❖ Ungarie to Naradhan.
- ❖ All train operating requirements for all connecting RIC lines and sidings within these areas.

The following train control boards are located within the Orange Train Control Centre

- ❖ Bowenfells (exclusive) to Orange (inclusive).
- ❖ Blaney to Cowra (exclusive)
- ❖ Parkes (inclusive) to Narromine.
- ❖ Dubbo to Cobar and Elura.
- ❖ Dubbo to Coonamble.
- ❖ Nevertire to Warren.
- ❖ All train operating requirements for all connecting RIC lines and sidings within these areas.
- ❖ Orange East Fork (exclusive) to Parkes (exclusive).
- ❖ Parkes (exclusive) to Broken Hill.
- ❖ Bogan Gate to Tottenham.
- ❖ Orange (exclusive) to Dubbo (exclusive via Wellington).
- ❖ All Train operating requirements for all connecting RIC lines and sidings within these areas.

4.5. Natural Disasters

The requirements for track workers to patrol lines for natural disasters such as floods and bush fires is contained within the Code of Practice / Rule Books applicable to the Network, in the event of a major natural disaster the details as contained in this Incident Management Plan shall be implemented.

4.6. Parallel Rail Lines

Should there be any incident on the above lines immediate action shall be taken to warn the train control centre for the location(s) and in turn action taken to advise all approaching trains. On being advised of an incident on another owner's line the ARTC Train Controller / Area Controller / Signaller shall take immediate action to advise any approaching trains on the ARTC network.

Refer to appendix "B" for further information.

4.7. Interface locations

If an operational incident occurs at an interface location, it is the responsibility of the Incident Management Coordinator and the Corridor Manager to refer to the applicable interface control agreement.

The incident shall be controlled by the organisation on whose geographic area the incident occurred.

Refer to appendix “B” for further information.

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5. Incident reporting and assessment.

5.1. Incident reporting

5.1.1. Incidents reported by the public

Incidents may be reported directly by the public to Train Control, the nearest Operator, Service Provider, Maintenance Provider / ARTC Engineering or Emergency Service.

When an incident is reported by a member of the public, all relevant information, including full details of the incident, name, address and contact phone number of the person reporting the incident is to be recorded.

The employee informed of the incident shall be responsible for advising Train Control of the full particulars in relation to the reported incident. The Train Controller / Area Controller / Signaller shall, on receipt of this advice take immediate action to notify, in order, any approaching trains which may impact on the incident including trains on parallel lines under another Train Controller / Area Controller / Signaller, Emergency Services if required, and the Train Transit Manager / Train Control Centre Manager or nominee.

The Train Controller / Area Controller / Signaller shall immediately advise the Train Transit Manager / Train Control Centre Manager or nominee. The Train Transit Manager / Train Control Centre Manager or nominee shall be responsible for advising other Train Control locations.

5.1.2. Incident reported by employees

When an employee of ARTC, Operator, Service Provider or Maintenance Provider / ARTC Engineering becomes aware of an actual or potential incident, that employee is to take all necessary steps to ensure that the incident site is protected and that Emergency Services are contacted where required.

The employee is to immediately advise the Train Controller / Area Controller / Signaller of the nature and location of the incident and provide all relevant details. The Train Controller / Area Controller / Signaller shall immediately advise the Train Transit Manager / Train Control Centre Manager or nominee.

The Train Transit Manager / Train Control Centre Manager or nominee shall be responsible for advising other Train Control locations.

The employee is to immediately implement any directions given by the Train Controller / Area Controller / Signaller and take all necessary steps to lessen the impact of the incident and to protect the incident site.

5.2. Incident definition

For the purposes of this document, incidents occurring within, or impacting upon, the Network will be categorised and defined as follows:

NOTE: The following categorisation of incidents refers to incident management only, it may not necessarily equate with the incident definition and reporting classifications contained in AS 4292 part 1 (2006)

5.2.1. Level 3 incident

This shall mean an occurrence where minor injury, disruption, damage or environmental impact to the Network, has occurred.

Level 3 incidents will typically include infrastructure irregularities, such as signalling, track or equipment failures which do not significantly affect train operations.

These incidents are to be reported to the Train Controller / Area Controller / Signaller who will ensure that relevant details are recorded and that a Level 3 response has been implemented and is adequate.

These incidents will not require a sustained response from other organisations or outside resources and will be managed and investigated by the line manager of the organisation involved.

Incidents which are totally under the control of an Operator and do not impact on the Network will be included within the scope of this incident level. This will include incidents such as:

- ❖ Persons falling on a platform or within station confines, failure of an organisation's rolling stock or equipment, doors not closing on passenger trains, dangerous goods spillage where the vehicle concerned can be isolated in a yard etc.

NOTE: With the exception of the provisions for the notification of the relevant organisation by Train Control, this Manual does not apply to Level 3 incidents.

5.2.2. Level 2 incident

This shall mean an occurrence, involving or affecting operations on the Network, which has resulted in, or has the potential to result in one or more of the following:

- ❖ The death or serious injury of persons, the health or safety of persons being affected, significant damage to property or infrastructure significant disruption to train services.
- ❖ Significant environmental impact, external resources and control required on site.
- ❖ And a sustained co-ordinated response is required.

The incident may or may not originate on the Network; however, any off site incident which affects or threatens access to the Network will be treated as falling within the scope of this incident level. This will include incidents such as:

- ❖ Gas leak, bomb threat, bush fire, any death or serious injury.

5.2.3. Level 1 incident

This shall mean an occurrence which has been classified as an emergency, requiring a sustained response, by State Emergency Services. Unless otherwise noted a Level 1 incident will be treated as for a Level 2 incident within this Manual.

5.3. Incident assessment

The Train Transit Manager / Train Control Centre Manager or nominee shall determine the level of the incident and will implement the appropriate response in accordance with the requirements of this Manual.

6. Organisational responsibilities.

6.1. Australian Rail Track Corporation

The ARTC shall specify the role and responsibilities for Operators, Service Providers and Maintenance Provider / ARTC Engineering to effectively and efficiently co-ordinate the response to and management of incidents affecting the Network. ARTC will respond to an incident as follows:

6.1.1. Media

The co-ordination of the dissemination of information to organisations concerned and the Media shall be provided by ARTC.

6.1.2. Investigation

Where necessary, ARTC shall ensure that an investigation of the evidence at the incident site is initiated, providing resources and co-ordination as required.

6.1.3. Dispute resolution

Conflict resolution with regard to the allocation of changed train paths, or the conduct of the on site incident investigation process, shall be provided by ARTC.

6.2. Train Control

ARTC shall provide the train control function during all phases of an incident including the restoration process. This may involve the issue of a Local Possession to facilitate the process.

6.2.1. Response initiation

The initiation of the response to reported incidents shall be the responsibility of the Train Transit Manager / Train Control Centre Manager or nominee. This function shall include, but not be limited to, providing a central point of contact and ensuring that incident management is performed within the requirements of the relevant safe working procedures. The check list, forming Appendix "C" to this document lists the persons and organisations that shall be notified.

The Train Transit Manager / Train Control Centre Manager or nominee from the information reported, shall in conjunction with other ARTC Management, determine the level of the incident, the level may, on receipt of further information, be amended.

The initiation of the response to a Level 1 or 2 Incident shall be the responsibility of the Train Transit Manager / Train Control Centre Manager or nominee.

6.2.2. Overall co-ordination

The Train Transit Manager / Train Control Centre Manager or nominee shall ensure the overall co-ordination of Operators, Service Providers and Maintenance Provider / ARTC Engineering personnel associated with the restoration of services or implementation alternate modes of transport. Initial co-ordination will commence with a telephone conference call at a time determined by the Train Transit Manager / Train Control Centre Manager or nominee to enable an assessment of the situation to be obtained. The telephone conference will be chaired by an ARTC representative and will determine the time for "follow up" telephone conference call. This shall be an ongoing process until such time as services are resumed.

6.2.3. Reporting

The Train Transit Manager / Train Control Centre Manager or nominee shall ensure that a report of the incident is generated in accordance with relevant safe working standards.

6.2.4. Site coordination

Site management, to oversee and co-ordinate all aspects of the recovery and restoration in conjunction with site representatives of each of the involved organisations, shall be the responsibility of a person nominated by ARTC.

This person will be termed the Incident Management Co-ordinator. The Coordinator selected will be a senior person capable of co-ordinating the various functions of the incident site and will have the necessary levels of competence to perform the duties of this position.

The nomination is to be approved by the ARTC General Manager Risk and Safety

In the initial phase of the emergency the site co-ordinator will, in all probability, be a member of the train crew at the site.

All communications from the site to train control and Emergency Services shall be through the site co-ordinator.

When an incident involves a parallel rail line under the control of another track owner, the track owner on whose line the incident occurred shall provide the site co-ordinator. See Appendix B

EXCEPTION:

When the overhead power supply for suburban trains is involved Connex / Rail Corp shall take charge of the site until such time as the overhead is de-energized and site made safe in respect of electrical power.

The Train Transit Manager / Train Control Centre Manager or nominee shall ensure that the name of the current Site Co-ordinator, and the name of any relief Site Co-ordinator, if known, is conveyed to all site attendees.

6.3. The operator

The Operator is to respond to the incident as set out in this Manual, or as directed by ARTC under the conditions of its Access Agreement, as follows:

6.3.1. Response coordination

Each Operator is to nominate a person, or persons, to co-ordinate that organisation's response to incidents. For each incident this person shall be termed the Incident Response Co-ordinator for that organisation. An Incident Response Co-ordinator is to be available for call on a 24 hour per day, seven days per week basis.

Each Operator shall provide to the ARTC Train Transit Manager / Train Control Centre Manager or nominee, either full details of the nominees' business and after hours contact numbers, or a 24-hour telephone number.

6.3.2. Site restoration

The Operator shall be responsible for arranging recovery of its damaged or disabled vehicles and arranging for alternative transport or transhipment of its passengers or freight. The Operator shall also be responsible for the welfare of passengers and train crewmembers, their agents, contractors and other invitees.

Should the Operator be transporting dangerous goods or environmental sensitive substances, the Operator shall be responsible for promptly informing the Fire Brigade or other Emergency Services of that fact and supplying such information as is necessary for their response.

Where a sustained co-ordinated response is required on site, each involved Operator shall nominate a person to attend the incident site to represent the organisation.

This person will be termed the organisation's Incident Site Representative who shall report to and take direction from the Incident Management Co-ordinator.

The Incident Site Representative is to have the appropriate level of authority to manage site issues and is to be able to fully commit the resources of the organisation.

6.3.3. Incident site management

Each Operator shall report to the Incident Management Co-ordinator for approval of action plans.

6.4. Maintenance provider / ARTC Engineering

The Maintenance Provider / ARTC Engineering shall respond to the Incident as set out in this Manual, or as directed by ARTC under the conditions of the maintenance contract.

NOTE: In the New South Wales Network, ARTC Engineering shall assume the responsibilities associated with the position of maintenance provider.

6.4.1. Response coordination

Each Maintenance Provider / ARTC Engineering shall nominate a person or persons to co-ordinate the organisation's response to incidents. For each incident this person shall be termed the Incident Response Co-ordinator for that organisation. An Incident Response Coordinator shall be available for call on a 24 hour per day, seven days per week basis.

Each Maintenance Provider / ARTC Engineering shall provide to the Train Transit Manager / Train Control Centre Manager or nominee either full details of the nominees' business and after hours contact numbers, or a 24-hour telephone number.

6.4.2. Site restoration

The Maintenance Provider / ARTC Engineering shall arrange restoration and maintenance of the infrastructure and the provision of facilities required to support those managing the incident site.

Where a sustained co-ordinated response is required on site, the Maintenance Provider / ARTC Engineering shall nominate a person to attend the site to represent the organisation.

This person shall be termed the organisation's Incident Site Representative who shall report to and take direction from the Incident.

Management Co-ordinator, the Incident Site Representatives shall have the appropriate level of authority to manage site issues and shall be able to fully commit the resources of the organisation.

6.4.3. Incident site investigation

Each Maintenance Provider / ARTC Engineering shall nominate a person or persons capable of carrying out testing, examination and data collection immediately following an incident. This person(s) will be termed the organisation's Incident Site Investigator.

A representative (s) should be nominated for each engineering discipline.

The representative (s) nominated for each incident shall be a person or persons who is or are appropriate to the role and who will have the required competence for the level of investigation to be undertaken.

The representative (s) shall be responsible for the co-ordination of any materials or components identified to be quarantined, including safe handling, processing and storage so as not to be affected by the environment.

6.5 Emergency Services Organisations

Representatives of Emergency Services Organisations may be in attendance depending on the nature and size of the incident.

These Services may take charge of an incident site. Where more than one Emergency Service attends, the site will be under the overall command of the relevant police Service, except for a dangerous goods spill where the Fire Service will take charge. ARTC, Operators, Service Providers and Maintenance Provider / ARTC Engineering shall work with these services and as directed by them.

6.6. Media personnel

In all instances, including those where external control has been exercised, each rail organisation shall only comment to the extent that the incident has affected its own operation and on the measures implemented to minimise these effects.

Media officers from all affected organisations should confer prior to discussing any aspects of the incident with the media.

Organisation representatives must not comment on, or speculate on, the cause of the incident, or the response to the incident.

The Incident Management Co-ordinator shall be responsible for providing full details of actions being taken, forecast restoration times and other details as requested, to the ARTC, who will make available this information to each of the organisations involved.

When external agency control has been activated media communication is to be co-ordinated through the nominated media liaison officer as appointed by the Emergency Operations Controller.

7. Roles and responsibilities of incident management representatives.

7.1. Train Controller / Area Controller / Signaller

Upon receipt of notification of an incident the Train Controller / Area Controller / Signaller shall,

- ❖ Advise any approaching movements.
- ❖ Advise other Train Controller / Area Controller / Signallers where their area of control may be involved.
- ❖ Advise Emergency Services if required.
- ❖ Advise the Train Transit Manager / Train Control Centre Manager or nominee.
- ❖ Determine the circumstances and severity of the incident and initiate a response in accordance with the directions of the Train Transit Manager / Train Control Centre Manager or nominee.

7.2. Train Transit Manager / Train Control Centre Manager or nominee

Upon receipt of notification of an incident the Train Transit Manager / Train Control Centre Manager or nominee shall:

- ❖ Advise the relevant Train Controller / Area Controller / Signaller if that person has not been the source of the initial information and seek information as to the circumstances and severity of the incident.
- ❖ Ensure any other affected train control centre has been advised.
- ❖ Direct and assist the Train Controller / Area Controller / Signaller to initiate a response to the incident in terms of Emergency Services.
- ❖ Implement the requirements of this manual in relation to the notification of ARTC, Operators and Service and Maintenance Provider / ARTC Engineering.
- ❖ Ensure that the Incident Response Co-ordinator for each Operator, Service Provider and Maintenance Provider / ARTC Engineering involved, or potentially involved, is advised of all applicable details in relation to the incident. This will be an initial phone call followed by a telephone conference call at a predetermined time or other arrangements as agreed.
- ❖ Ensure that alternative or modified train operations are implemented, in conjunction with Operators involved, taking into consideration their customer service requirements or any directions from ARTC.
- ❖ Ensure that all event safe working requirements are met, including the removal of overhead power as required.
- ❖ Ensure that the ARTC General Manager, Operations and Customer Services is provided with regular progress reports in relation to the restoration of services.
- ❖ Seek written authorisation and indemnity from the Operator and Service Provider(s) (where applicable) for the implementation of the recovery plan including, where necessary, the provision of a break down consist.
- ❖ Maintain a record of any advice given and the time it was provided on the prescribed form.

7.3. Incident response coordinator

It shall be the responsibility of each organisation's Incident Response Co-ordinator to:

- ❖ Initiate and implement incident response within that organisation in accordance with the organisation's Incident Management Plan.
- ❖ Ensure that only those persons with an active role in the incident management attend the site
- ❖ Arrange the attendance of specialist personnel as required.
- ❖ Ensure that the relevant Rail Safety Regulator, and other Statutory Authorities, are notified in accordance with the requirements of the organisation's Accreditation and the relevant Acts.

7.4. Incident management coordinator

The major role of this "on site" position shall co-ordinate the restoration activities of the Operator, Service Provider and Maintenance Provider / ARTC Engineering.

The person nominated shall promptly attend the incident site. In the interim, the Train Transit Manager / Train Control Centre Manager or nominee will arrange for the nearest suitable qualified person to assume the duties of Incident Management Co-ordinator. This person shall perform the duties of this position under the directions of the Train Controller / Area Controller / Signaller, until the nominated person arrives on site.

The Incident Management Co-ordinator shall be the authority to direct the resources of Operators, Service Providers and Maintenance Provider / ARTC Engineering involved and to utilise external resources as required to facilitate restoration of the Network. This authority will be exercised in consultation with the appropriate organisation and in accordance with the conditions of its contract.

In instances where the Police Service assumes overall command the Incident Management Co-ordinator shall,

- ❖ Act as the representative for the rail organisations, liaison with and assisting Emergency Services as required until such time as the control of the incident is returned.

Upon being delegated the task the Incident Management Co-ordinator shall,

- ❖ Advise Train Control of expected arrival time at the site.
- ❖ Obtain from Train Control all relevant details in relation to the incident.
- ❖ Establish with Train Control that representatives of the organisations involved have been notified and their expected times of arrival.
- ❖ Establish if Emergency Services are in attendance, or will be attending and their expected times of arrival.

7.4.1. Site management

After arrival on site the Incident Management Co-ordinator shall be responsible for,

- ❖ Ensuring that the site is protected in accordance with current safe working requirements.
- ❖ Confirming attendance of Incident Site Representatives.
- ❖ Convening an initial meeting of the Incident Management Team.
- ❖ Ensuring that appropriate recovery and re-railing equipment has been arranged.
- ❖ Liaising with Emergency Response organisations if in attendance and establish lines of communication and control.
- ❖ Providing the single point of contact between the organisations attending, Train Control and Emergency Services.
- ❖ Acting as the co-ordinator for all rail organisations where the incident site is under external control.
- ❖ Ensuring a Site Co-ordination Centre is established.
- ❖ Ensuring that each organisation controls its workforce and the safety of its activities.
- ❖ Ensuring that a forecast of restoration or partial restoration is made promptly and reviewed regularly with the Train Transit Manager / Train Control Centre Manager or nominee and or Train Control.
- ❖ Ensuring that unauthorised persons are not permitted access to the incident site.
- ❖ Coordinating the recovery actions of each of the organisations attending.
- ❖ Exercising, where necessary, the right to direct actions or resources of the rail organisations involved ensuring that all relevant details, including numbers of injuries/deaths, damage to infrastructure or rolling stock or adjoining property, access routes and vehicle marshalling areas are promptly established.
- ❖ Ensuring that evidence, including data recorder records, is protected or quarantined.
- ❖ Ensuring that Rail Safety Workers involved have been tested for alcohol or drugs in accordance with the relevant Rail Safety Act and procedures.
- ❖ Ensuring, in conjunction with the Incident Investigation Co-ordinator, that a preliminary investigation into the evidence at the site is conducted.

- ❖ Resolving, by referring to the ARTC General Manager, Risk and Safety if necessary, requests made by the Incident Investigation Co-ordinator which may impact adversely on the service restoration process.
- ❖ Organisations, when arriving at an incident site shall initially report to the Incident Management Co-ordinator.

7.4.2. Site management meetings

The Incident Management Co-ordinator shall establish and chair an Incident Management Team, formed by the Incident Site Representatives, to co-ordinate engineering and operational functions and to establish procedures for recovery, restoration and, if necessary, co-ordination with external organisations.

An initial site meeting is to be held between the available team members as soon as possible after the arrival on site of the Co-ordinator. Further site meetings shall be held regularly as deemed necessary by the Co-ordinator.

Each team member must ensure that the team is advised of any substitution to be made for relief or other reasons.

Meetings with external organisations shall be held on an as required basis.

7.4.3. On site updating

The Incident Management Co-ordinator shall establish contact with the Train Transit Manager / Train Control Centre Manager or nominee as soon as practical after arrival at the site and arrange for regular updates from the site to be given.

The Train Transit Manager / Train Control Centre Manager or nominee may arrange for a telephone conference to be held in conjunction with the reports from the site. At the time of any update an agreed time for a further site report shall be established.

7.4.4. Off site management

Off site management and co-ordination, if required, shall be handled through the Train Transit Manager / Train Control Centre Manager or nominee in conjunction with the Incident Management Co-ordinator.

7.5. Incident site representative - Maintenance Provider / ARTC Engineering

Site co-ordination of the infrastructure restoration works shall be the responsibility of the Maintenance Provider / ARTC Engineering. The Maintenance Provider / ARTC Engineering's Incident Site Representative shall be responsible for attending the incident site promptly, and for implementing, where required, procedures as follows:

- ❖ Advising the Incident Management Co-ordinator of expected times of arrival of representatives and resources.
- ❖ Reporting to the Incident Management Co-ordinator upon arrival or en-route if possible.
- ❖ Participating in Incident Management Team meetings and observing and implementing agreed actions or directions from the Incident Management Co-ordinator.
- ❖ Taking overall control of site safety (OH&S) to ensure the protection of all persons and property involved unless a Local Possession is in place then work under the direction of the supervisor detailed in that possession.
- ❖ Arranging for the necessary isolation, protection or removal of electrical traction or domestic supplies, overhead wiring system components, signalling equipment, track components and structures to permit rescue, recovery and restoration work.
- ❖ Ensuring that equipment is protected from further damage during recovery work.
- ❖ Managing any environmental issues which may arise during recovery or restoration of the site.
- ❖ Advising the Incident Management Co-ordinator of any operating restrictions which may apply during restoration.

- ❖ Protecting evidence of the cause of the incident assisting, where required, the Maintenance Provider / ARTC Engineering's Incident Investigation Representative.
- ❖ Providing a Site Coordination Centre with power, furniture, lighting and communications equipment as determined by the Incident Management Co-ordinator.
- ❖ Arranging a First Aid centre with adequate provisions and qualified staff.
- ❖ Providing lighting if night work is required.
- ❖ Providing road vehicle access to suit the recovery vehicles, including cranes, earthmoving equipment and re-railing group trucks.
- ❖ Designating a site for other road vehicle parking.
- ❖ Undertaking restoration work as agreed with, or directed by, the Incident Management Coordinator.
- ❖ Authorising resumption of services over repaired infrastructure and the cancellation of any Permits or Special Working Authorities.
- ❖ The co-ordination of any materials or components identified to be quarantined, including any safe handling, processing and storage so as not to be affected by the environment.

7.6. Incident site representative - Operator

Site co-ordination for the recovery of rolling stock shall be the responsibility of the Operator. Where more than one operator is involved each operator shall delegate a Site Co-ordinator who shall work in accordance with these requirements.

The ordering and co-ordination of alternate transportation and trans shipping arrangements will be the responsibility of the Operator's Incident Site Representative in conjunction with the Train Transit Manager / Train Control Centre Manager or nominee.

Each Operator's Incident Site Representative shall be responsible for attending the incident site promptly and for implementing, where required, procedures as follows:

- ❖ Reporting to the Incident Management Co-ordinator of expected times of arrival of representatives and resources and on arrival at the site.
- ❖ Participating in Incident Management Team meetings and observing and implementing agreed actions or directions from the Incident Management Co-ordinator.
- ❖ Ensuring that appropriate re-railing or recovery equipment is ordered and will respond within a reasonable time.
- ❖ Ensuring that re-railing or recovery groups are fully informed regarding the handling of the rolling stock involved.
- ❖ Protecting evidence relating to the cause of the incident and shall be responsible for the co-ordination of any rolling stock or components identified to be quarantined, including safe handling, processing and storage so as not to be affected by the environment.
- ❖ Arranging transshipment of passengers or freight from the incident site.
- ❖ Managing the welfare of passengers and train crewmembers.
- ❖ Arranging alternative transport if required for passengers or freight to bypass the incident site.
- ❖ Ensuring that the Operator's employees involved in the incident are tested for alcohol or drugs in accordance with the relevant Rail Safety Act.
- ❖ Ensuring that only authorised persons from the organisation attend the site assisting, where required, the Operator's Incident Investigation Representative.
- ❖ Providing expertise and resources to manage any dangerous goods, load management or environmental issues which may arise from the involvement of the Operator's rolling stock.
- ❖ Providing authorisation for the movement away from the site of the Operator's vehicles involved.

7.7. Emergency Services Supervisor

In the event of Emergency Service Organisations assuming control of an incident site under the relevant State Emergency Legislation, the Incident Management Co-ordinator will report to the Emergency Services Supervisor at the site (refer to appendix D).

7.8. Debrief

As soon as possible after restoration of the incident site and the resumption of services, the Incident Management Co-ordinator is to reconvene the team to consider:

- ❖ Aspects relevant to the management of the restoration process.
- ❖ Amendments required to Incident Management Plans.
- ❖ The outcomes of this debrief are to be documented and forwarded to each of the participant organisations.
- ❖ Factual recall of actions taken to resume services and not an investigation into the incident.

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8. Site management.

8.1. Site management

The Incident Management Co-ordinator will be responsible for management of the incident site. Site management shall be performed in conjunction with the Train Controller / Area Controller / Signaller and may include the issue of a Local Possession.

Although the Train Controller / Area Controller / Signaller under direction of the Train Transit Manger will be responsible for overall incident management in relation to train movements etc, the Incident Management Co-ordinator will have direct responsibility for the incident site and will have full delegation in relation to incident site issues.

The Incident Management Co-ordinator shall perform site management in close liaison with each Incident Site Representative. A site management group comprising the Incident Management Co-ordinator and the Incident Site Representatives will be formed for this purpose. This will be termed the Incident Management Team.

If an operational incident occurs at an interface location, it is the responsibility of the Incident Management Coordinator and the Corridor Manager to refer to the applicable interface control agreement. The incident shall be controlled by the organisation on whose geographic area the incident occurred. Refer to appendix B for a list of interface locations.

8.2. Access to incident site

The Incident Management Co-ordinator shall liase with the Police, Operators, Service Providers and Maintenance Provider / ARTC Engineering and agree on procedures to be implemented to ensure that unauthorised persons are prevented from gaining access to the incident site.

8.3. Identification of incident management personnel

All personnel required to attend the incident site to assist in recovery and restoration are to wear, or if not practical, carry, photographic or name identification tags bearing their organisation's logos.

It shall be the responsibility of each Operator, Service Provider and Maintenance Provider / ARTC Engineering to ensure that all of that organisation's employees authorised to be on site are issued with, and are wearing or carrying, identification tags.

The Incident Management Co-ordinator shall have the authority to remove from site any person found without an identification tag.

8.4. Site safety

Each Incident Site Representative shall be responsible for ensuring the safety of persons under that organisation's control and will ensure that all safety precautions as specified in the relevant safe working manuals are adhered to.

Persons authorised to enter the incident site are to have, as a minimum, a Track Safety Awareness Certificate or equivalent, or be supervised by a person with an appropriate qualification.

Incident Site Representatives shall be responsible for advising the Incident Management Co-ordinator that all equipment and personnel under their control are clear of the line prior to the resumption of services.

The Incident Management Co-ordinator shall conduct a final inspection to ensure that all equipment and personnel are accounted for, and are clear of the running lines, prior to authorising the resumption of services.

8.5. High visibility safety clothing and footwear

Each person required to be on or about the track shall wear high visibility safety clothing and footwear at all times. Each railway person should have the name of the organisation which they represent clearly identified on their safety clothing. Emergency Services shall wear high visibility safety clothing of the colour designated by that organisation. Tabards, where applicable, shall be worn.

The Incident Management Co-ordinator shall have the authority to remove clear of the incident site and running lines, any person found without high visibility safety clothing or footwear.

8.6. Occupational Health and Safety Requirements

Incident Site Representatives shall be responsible for ensuring that their organisations' employees comply with the requirements of the Occupational Health and Safety Act.

These responsibilities shall include ensuring that each employee is wearing the appropriate safety equipment as specified under that Act.

The Incident Site Representatives shall come to an understanding in relation to any specific safety requirements that may need to be imposed, such as a hardhat area. These requirements are to be communicated to all persons involved via the Incident Management Team meeting.

The Incident Management Team will be responsible for arranging the briefing, of all persons attending, in relation to the safety requirements for the site. This should, typically, include a safety induction meeting prior to an employee being permitted to commence work on site. Combined induction meetings may be held if considered appropriate.

8.7. First Aid facilities

A First Aid facility which meets the requirements of the relevant Occupational Health and Safety Act will be provided at the incident site.

The facility is to be staffed by a person or persons with appropriate First Aid qualifications.

Unless otherwise directed by the Incident Management Co-ordinator, the Maintenance Provider / ARTC Engineering Site Representative will be responsible for the provision of these facilities.

8.8. Site co-ordination centre

If required by the Incident Management Co-ordinator, a Site Co-ordination Centre shall be established and, where applicable, operate in conjunction with the Police Emergency Operations Centre.

The Maintenance Provider / ARTC Engineering's Site Representative shall be responsible for providing and installing a suitable facility for this purpose. The Site Co-ordination Centre shall be established at a location selected by the Incident Management Co-ordinator with suitable access to power and communication services if at all possible.

8.9. Communication facilities

It shall be the responsibility of ARTC, in conjunction with the Incident Management Co-ordinator, to provide adequate communication facilities.

8.10. Catering

Responsibility for catering shall normally rest with the Incident Response Co-ordinator of each involved Operator, Service Provider and Maintenance Provider / ARTC Engineering however in the event of an incident being of a prolonged nature it may be necessary to provide on site catering.

At the discretion of the Incident Management Co-ordinator the Maintenance Provider / ARTC Engineering may therefore be required to provide catering facilities on site for all those attending. See also 8.11 Remote Areas.

8.11. Remote areas

In remote areas it shall be necessary to provide meals and accommodation for employees. Recovery consists owned by ARTC and on lease to the Infrastructure Maintainer are located at both Port Augusta and Parkeston.

Operators are able to hire these facilities for use at incident sites. It is the responsibility of the responsible operator to ensure that sufficient catering and accommodation is dispatched to the site as soon as possible and for all meals to be available on site following the arrival of the consist.

Organisations may choose to send in investigators and other personnel in advance of the break down consist. Those persons shall need to arrange for their own meals and accommodation prior to arrival of the break down consist.

8.12. Break down consist

On being notified of an incident where the break down consist may be required the Train Transit Manager / Train Control Centre Manager or nominee shall arrange for a telephone conference call with all affected organisations as soon as possible. The telephone hook up shall determine if,

- ❖ A break down consist is required at the site.
- ❖ The equipment required to be conveyed to the site by the break down consist.
- ❖ The operator responsible to provide motive power and crewing for the consist.
- ❖ An estimated time that the consist will be ready to depart and hence time of arrival at the site.
- ❖ Details of all staff who are to travel on the consist.
- ❖ Details of other personnel travelling independently to the site who shall require meals and / or accommodation.

8.13. Environmental issues

Environmental issues shall be handled in accordance with the ARTC Environmental Management System.

9. Incident site investigation.

9.1. Purpose

The various State Rail Safety Acts provides in part that an accredited person must inquire into and report to the Rail Safety Regulator on any railway accident or incident that may affect the safe construction, operation or maintenance of a railway in respect of which the person is accredited.

In all cases where a derailment or other irregularity occurs, inquiries are to commence immediately to enable the respective organisations to meet their obligations under the relevant Act. These inquiries may be conducted jointly by the accredited persons concerned. For incidents with significant safety impact the Rail Safety Regulator may initiate a Joint Inquiry or Investigation with the requirement of a formal report to the Regulator.

The General Manager Risk and Safety shall ensure through delegation that all accidents / incidents are categorised in terms of incident severity in accordance with the definitions contained in AS 4292.

All incidents classified as category A incidents will be investigated. The General Manager Risk and Safety or his delegate will determine the need to investigate category B incidents based on the severity of the incident and the opportunity to learn from the incident.

The General Manager Risk and Safety shall ensure that the incident categorisation and investigation processes are performed in a professional and consistent manner by the application of an appropriate quality monitoring process.

Every effort must be made to ascertain the cause of the incident without delay.

Every effort shall be made to ensure that investigations conform to the requirements detailed in AS4292.7 . The investigation should explore all possibilities of causal factors such as organisational, technological, system and human factors and the primary and secondary effects of those factors in the occurrence.

Key to this is the gathering of pertinent physical evidence before it can be disturbed. Such evidence may be short lived or may be readily be subject to contamination or degradation. To ensure that the investigating body is provided with all available evidence, and that this is reliable, uncontested and appropriately documented, it is essential that:

- ❖ The evidence is collected as soon as possible after the incident to ensure its accuracy and relevance.
- ❖ Where possible, the evidence is quarantined to ensure that it is not lost or degraded.
- ❖ All parties have an opportunity to assure themselves of the veracity of the evidence.
- ❖ The work of collecting and documenting evidence follows procedures, which, as far as practicable, are standardised.

This section outlines the responsibilities of ARTC, Operators, Service Providers and Maintenance Provider / ARTC Engineering in the on site investigation following an incident.

To provide a process for the ARTC, Operators, Service Providers and Maintenance Provider / ARTC Engineering to effectively and efficiently co-ordinate the on site investigation following incidents occurring within the Network, to meet the requirements of the relevant Rail Safety Act.

The investigation process is to be directed at ensuring that all relevant data and information collected is presented in a clear and concise manner.

9.2. Incident investigation coordinator

Management of the site investigation will be the responsibility of a person nominated by the ARTC Chief Executive Officer or delegate. This person shall be termed the Incident Investigation Co-ordinator. The major role of this position will be to co-ordinate the site investigation processes of the involved rail organisations.

The Incident Investigation Co-ordinator will be required to direct the investigation process at the site and to co-ordinate the investigation with the Incident Management Co-ordinator.

The General Manager Risk and Safety shall ensure that the person nominated as Incident Investigation Coordinator is competent in investigation and reporting techniques and have a good understanding of the principles and requirements of AS4292.7 .

9.3. Incident investigation representatives

It shall be the responsibility of each Operator, Service Provider and Maintenance Provider / ARTC Engineering to co-operate with the Incident Investigation Co-ordinator in planning and co-ordinating the investigation. Each organisation is to be aware of the investigation process and is to make available appropriate personnel to assist in the investigation of the incident. A person nominated to represent an organisation will be termed its Incident Investigation Representative.

The group comprising the Incident Investigation Coordinator and the Incident Investigation Representatives shall be termed the Incident Investigation Team.

9.4. Responsibilities of the incident investigation coordinator

The Incident Investigation Co-ordinator shall be required to promptly attend the incident site. Before arriving at the site the Co-ordinator may request that suitably qualified representatives of organisations involved commence investigation of the incident. This will particularly apply where delay in commencing the investigation may result in vital evidence being lost.

The Incident Investigation Coordinator shall liaise with the Incident Management Co-ordinator at all times and will have the authority to direct the Incident Management Co-ordinator to take whatever actions are necessary to preserve any evidence that may be required to assist in the investigation. These will include but not be limited to:

- ❖ Requesting that sections of the site be quarantined from entry by other than emergency personnel until the Investigation Team arrives on site requesting that the Police, or the Incident Management Co-ordinator seal off particular areas of the incident requesting that the commencement of restoration work is prevented until incident investigations have been completed requesting the Incident Management Co-ordinator to direct the resources of organisations involved and to utilise other resources as necessary to ensure that the investigation is completed in a thorough and efficient manner.
- ❖ The action to direct an organisation's resources shall be taken in conjunction with that organisation requesting that employees involved in the incident be made available for interview. Operators, Service Providers and Maintenance Provider / ARTC Engineering are to ensure that staff involved are available for interview at the earliest possible time.

Should any such request result in conflict, the matter is to be referred to the ARTC General Manager, Operations and Customer Services for resolution.

Where considered necessary the Incident Investigation Co-ordinator may require that independent testing be performed. This may require the use of outside resources. ARTC will utilise its resources to assist in the investigation as required.

The Incident Investigation Co-ordinator shall be responsible for collecting and compiling the relevant information and presenting a complete report of all evidence obtained, including sketches and photographs as required.

9.5. Responsibilities of the Maintenance Provider / ARTC Engineering

The Maintenance Provider / ARTC Engineering's Incident Investigation Representatives are to be able to represent the Maintenance Provider / ARTC Engineering in all aspects of the investigation as follows:

9.6. Signal discipline

Detailed investigation is to be made of the circumstances and the equipment if there has been any suggestion that a signalling defect may have caused an unsafe condition. The equipment concerned must be booked "out of order" and not operated prior to the investigation.

The roles to be performed and the responsibilities to be managed by the Signal representative shall include, but not be limited to the following:

- ❖ Reporting to the Incident Investigation Co-ordinator on arrival or en-route if possible.
- ❖ Arranging for additional technical resources to assist in the investigation if required.
- ❖ Arranging for signal infrastructure staff to be available for interview as required.
- ❖ Inspecting the aspects of all relevant signals including level crossing signals.
- ❖ Inspecting the position of points and associated operating equipment.
- ❖ Performing electrical and interlocking control tests as required.
- ❖ Function testing signal control circuits.
- ❖ Function testing approach locking.
- ❖ Function testing route locking.
- ❖ Testing track circuits for train detection.
- ❖ Performing electrical insulation/isolation inspections and tests.
- ❖ Circuit testing to wiring diagrams.
- ❖ Performing security inspections of equipment and locations.
- ❖ Inspecting signals sighting etc.
- ❖ Performing function testing as required.
- ❖ Providing detailed records of all test results.
- ❖ Providing, by photographic or other means, a record of the site evidence.
- ❖ Obtaining printouts of event logging equipment where installed.
- ❖ Analysing data and reporting.

The above testing and checks to be carried out in the presence of an ARTC representative or nominee and conducted in accordance with the appropriate engineering standards where applicable.

9.7. Civil discipline

The roles to be performed and the responsibilities to be managed by the Civil representative shall include, but not be limited to the following:

- ❖ Reporting to the Incident Investigation Co-ordinator on arrival or en-route if possible.
- ❖ Arranging for additional technical resources to assist in the investigation if required.
- ❖ Arranging for civil infrastructure staff to be available for interview as required.
- ❖ Inspecting the track and providing full details of the track layout in the incident area.
- ❖ Inspecting the track and recording details of all marks which may be relevant to the incident.
- ❖ Recording by sketches and photographs the details of all marks found.
- ❖ Identifying and recording details of track which may have contributed to the incident. Where practicable these measurements shall be witnessed and agreed by an operator representative or their delegate.
- ❖ Inspecting rating and condition of all speed boards in the area of incident.

Further to the above, it may be necessary for additional tests to be performed.

The above testing and checks to be carried out in the presence of an ARTC representative or nominee. and conducted in accordance with the appropriate engineering standards, where applicable.

9.8. Responsibilities of the operator

The roles to be performed and the responsibilities to be managed by the Operator's representative shall include, but not be limited to the following:

- ❖ Reporting to the Incident Investigation Co-ordinator on arrival or en-route if possible.
- ❖ Arranging for additional technical resources to assist in the investigation if required.
- ❖ Arranging for the Operator's staff to be available for interview as required.
- ❖ Inspection of all vehicles involved in the incident for defects or contributing causes.
- ❖ Performing tests in the presence of a witness approved by the Investigation Co-ordinator.
- ❖ Recording the position of critical safety items such as control handles, isolating cocks, circuit breakers and load control devices.
- ❖ Arranging for the removal of Hasler tapes or electronic data logger records and where fitted, record the wheel set diameter, where practical this should be witnessed by an independent party.
- ❖ Arranging for the analysis of electronic data or tapes removed from vehicles involved.
- ❖ Ensuring security of the analysis information provided.
- ❖ Noting and recording, using sketches and photographs, the position of all vehicles involved in the incident.
- ❖ Impounding vehicles required for further inspection and test as required.
- ❖ Clearly and permanently marking all vehicles requiring further examination or brake testing.
- ❖ Arranging for vehicles and or components to be transported for additional tests.
- ❖ Assisting in signal sighting tests as required.
- ❖ Ensure the availability of locomotives etc for testing purposes if required.

Further to the above, it may be necessary for additional tests to be performed.

The above testing and checks to be carried out in the presence of an ARTC representative or nominee.

9.9. Responsibilities of the infrastructure owner / Lessee

The roles to be performed and the responsibilities to be managed shall include, but not be limited to, the following:

- ❖ Reporting to the Investigation Co-ordinator on arrival or en-route if possible.
- ❖ Arranging for the Train Control Provider's staff to be available for interview as required.
- ❖ Witnessing of infrastructure and rolling stock tests as required.
- ❖ Obtaining details of train operations at the time of the incident.

9.10. Debrief

As soon as possible after the incident has been investigated, the Incident Investigation Team will reconvene to consider:

- ❖ The implications of the incident aspects relevant to the management of the investigation process amendments required to the investigation procedures.
- ❖ The outcomes of this debrief are to be documented and provided to each of the participating organisations.

9.11. Investigation and report preparation.

On completion of an investigation, the Investigation Coordinator shall compile all observations, evidence (photographs, video tape, event recorder logs), notes of interviews etc. and compile a report under the guidance of the National Incident and Investigation Manager.

On completion of the report, distribution of the report is undertaken following discussions between the National Incident Investigation Manager and the General Manager Risk and Safety.

The Safety Actions contained within the report are to be tabled at the ARTC Safety Committee for discussion and decision. Responsibility for implementing and allocation to a responsible member of staff for each of the Safety Actions is reached with the relevant General Manager.

If Safety Actions are identified and allocated to external organisations, the allocated action and a copy of the final report is to be forwarded to the external party via the appropriate General Manager.

The implementation status of all Safety Actions is to be monitored on a quarterly basis by the Safety Committee Meetings.

9.12. Record keeping

A Master Copy of all incident investigation reports will be maintained by The National Incident and Investigation Manager.

A progress report on the implementation status of all Safety Actions will be prepared and kept up to date by the National Incident and Investigation Manager.

In the case of investigations where ARTC assists the investigation process of an Operator, ARTC shall solicit a copy of the final report from the Operator; the report shall then be filed by the National Incident and Investigation Manager.

MASTER COPY ONLY

10. Emergency planning.

10.1. Introduction

In conjunction with Emergency Services, Operators, Service Providers and Maintenance Provider / ARTC Engineering, desktop and simulated incident exercises will be conducted to test the effectiveness of the incident response protocols established within this Manual.

These exercises and simulations will be designed to ensure that individually and collectively the Incident Management Plans adequately address the requirements for incident response and management and that the Plans are effectively integrated. The results of these exercises will be used to amend the Plans or this Manual where required.

10.2. Incident exercise program

ARTC, Operators, Service Providers and Maintenance Provider / ARTC Engineering are to commit personnel and resources as required for the formation of a working party, to be convened by ARTC, specifically established to develop and implement a program of exercises designed to test and develop response to incidents.

Operators, Service Providers and Maintenance Provider / ARTC Engineering shall also program exercises to train or test staff in their own procedures. ARTC approval shall be obtained for any such exercise on its Network or potentially affecting Network operations.

The working party is to develop a program of desktop and actual simulations to train and test each organisation's response to an incident.

The exercises shall test and evaluate:

- ❖ Emergency Services fire and life safety.
- ❖ Documented procedures response facilities.
- ❖ Communications response times.
- ❖ Interface working relationships recovery mechanisms.
- ❖ Site remediation.
- ❖ Training needs.
- ❖ Any other parameters as seen as appropriate by the working party.

These exercises or simulations are not intended to meet all training requirements of the various organisations. Focus will be on interaction. Each organisation is to have in place its own training plans.

10.3. Exercise organisation

The following aspects are to be considered when organising an exercise on ARTC infrastructure. Where more than one organisation is involved; each aspect shall be agreed by all organisations involved.

10.3.1. Exercise control

In all cases a person must be appointed with overall responsibility for co-ordinating the planning, management and debrief of the exercise.

10.3.2. Objectives

Objectives must be identified for both the overall exercise and for each participant.

10.3.3. Costs

Participants must identify who will be bearing costs involved.

10.3.4. Legal issues

Need for written agreements

10.3.5. Assets to be used

- ❖ Identification of responsibility for liabilities.
- ❖ Need for indemnities.

Agreement must be reached with the owner of any assets, whether infrastructure or rolling stock, on their supply, physical condition before and after use and conditions attached to their use.

Where rolling stock is used any inherent risks, such as the presence of asbestos or the condition of vehicles, must be identified and appropriate safety controls applied.

The impact on infrastructure and normal rail operation shall be assessed and agreed with other organisations actually or potentially involved including how the site will be cleared after the exercise.

10.4. Other exercises

The organisation with overall responsibility for organising an exercise shall seek to identify other exercises being held which could impact on or be affected by that exercise. The objective is to ensure resources are available and avoid unnecessary duplication.

10.5. Release of information

Appropriate constraints shall be established on the prior release of information, about an exercise (e.g.: location, objectives, dates and times) both within participating organisations, externally and to individuals.

Australian Rail Track Corporation is to be advised outline detail of any exercise, which may impact on the network e.g.

- ❖ Military/security exercises.
- ❖ Industry exercises.

The arrangements for involvement of and release of information to the media both for exercise purposes and real-time must be identified.

10.6. Safety plan

A written safety plan shall be prepared for all exercises involving full size equipment or the Network. Plans may be of a generic nature, subject only to date and time changes for exercises of a regular nature e.g.: station evacuation.

Safety plans must identify:

- ❖ A person with overall responsibility for all safety aspects involved in an exercise.
- ❖ The physical limitations of exercise play both for players and those attending but not directly involved in the exercise.
- ❖ Site access controls.
- ❖ Responsibilities and arrangements for line possessions and operational safety for an exercise.
- ❖ The interface between real time operation, the exercise site, exercise play and exercise control.
- ❖ The interface with exercise control and off site Train Control.
- ❖ First aid and emergency medical arrangements.
- ❖ Controls on hours of duty, rest and refreshment arrangements.
- ❖ Arrangements for terminating an exercise for safety reasons before its planned conclusion.
- ❖ How the site safety arrangements are briefed to all those involved before the exercise commences.

10.7. Exercise real time control

Exercise control arrangements shall identify:

- ❖ The roles and responsibilities of the person with overall site control.
- ❖ How that person will be supported by an exercise control team.

- ❖ The relationship between the exercise control arrangements, Umpires and Observers.
- ❖ The relationship between the person with overall site control responsibilities and the person with the responsibility of the site safety.
- ❖ Interaction between exercise control and exercise play.
- ❖ How Umpires (who can influence play) and observers are deployed, directed and managed.
- ❖ How an exercise will be concluded (early if necessary).

10.8. Debrief and feedback

A debrief shall be held for all exercises and must involve all the participating organisations. The time scale for the debrief should ideally be set before the exercise.

Large scale exercises may necessitate a number of individual organisation's debriefs followed by an overall debrief.

Lessons learned must be documented.

Recommendations for change must be identified. These may include proposed changes to Rules and Regulations, safety management systems, exercise preparation and management. Recommendations for change should be disseminated to other rail organisations where the lessons learned affect more than the organisations involved in the exercise.

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11. Document review.

ARTC shall regularly call a meeting of all parties involved with this document, including the Emergency Service Providers to consider any changes which may be necessary to maintain this document in a viable manner.

Organisations seeking amendments to this document should forward same, in writing, giving details and reasons for the requested change to,

ARTC General Manager Risk and Safety
PO Box 10343 Gouger Street
Adelaide 5000.

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12. Documentation.

List of landing strips Trans Australia Railway	Appendix A
List of interface locations ARTC	Appendix B
Train Transit Manager / Train Control Centre Manager or nominee's Major Incident Log	Appendix C
New South Wales specific requirements	Appendix D

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Appendix A.

Location of airstrips along the Trans Australia Railway.

ARTC in conjunction with Transfield Maintenance is providing airstrip maintenance as follows -:

LOCATION	LAND OWNER	REMARKS
Kingoonya	Mc.Bride Pty Ltd	ARTC to License
Tarcoola	DEHA	ARTC to License
Wynbring	ARTC	
Barton	ARTC	
Ooldea	Maralinga	ARTC to License
Cook	ASR	
Hughes	DEHA	ARTC to License
Reid	Crown	ARTC to License
Loongana	Crown	ARTC to License
Rawlinna	ARTC	Licensed to Loongana Lime
Kitchener	ARTC	
Zanthus	ARTC	
Coonana	Coonana Mission	ARTC to License
Karonie	Crown	ARTC to License
Parkeston	ASR	

In addition to the above fully sealed commercial airstrips are located at Forrest and Kalgoorlie / Boulder.

There are a number of other airstrips on pastoral holdings close to the railway.

Appendix B.

Interface locations between ARTC and other track owners -;

Western Australia

Kalgoorlie With Australian Railroad Group near Maratana St. over bridge

New South Wales

Broken Hill	Approach to Broken Hill with Silverton Tramway Co
Sydney Outer Metro	Macarthur, Unanderra, Bowenfels, RailCorp
Werris Creek	At 11.175km on the Armidale (Dumarsq) branch line - RIC
Gap	At 416.025km on the Narrabri branch line – North West Commodities
Binnaway	At 459.205km from B points at Binnaway from the Gwanegar branch line – RIC
Gulgong	At 340.270km on the Wallerawang line - RIC
Dubbo	At 466.855km on Coonamble branch line (Troy Junction) – RIC
Dubbo	At 461.79km on the Orange line – RIC
Dubbo	At 461.845km on the Triangle loop on Merrygoen line – RIC
Narromine	At 498km at Narromine on Cobar branch line – RIC
Goobang Jct	At 447.1km from Parkes – Parkes Triangle – RIC
Parkes Triangle	At 627.5km on the Parkes East Fork – Cootamundra to Goobang Jct line – RIC
Bogan Gate	At 483.845km on the Tottenham branch line – RIC
Stockinbingal	At 454.790km on Temora branch line – RIC
Uranquinty	At 536.27km on Kywong branch line – RIC
The Rock	At 551.075km on Boree Creek branch line – RIC
Culcairn	At 597.255km on the Corowa branch line – RIC
Junee	At 486km at Junee North and at 484km on the triangle loop from Junee West on the Griffith via Narrandera lines – RIC
Demondrille	At 468km on the Cowra line via Blayney – RIC
Joppa Junction	At 230.6 km on the Queanbeyan branch line – RIC
Picton	At 85.620km on the Picton Mittagong loop line - RailCorp
Kanandah	Broken Hill - Rail Infrastructure Corporation
Kempsey	(Shell siding) – Shell
Morree	(Mobil siding) – Mobil
Broken Hill	Zinc Corporation
Goulburn	Goulburn Oil
Goulburn	RailCorp
Strattons	Stratton Mills Cootamundra AFL Store
Yass Junction	Incitec
Berrima Junction	Blue Circle
Tahmoor Collery	Tahmoor Mines
NSW /QLD Border	Queensland Rail
Gunnedah	Namoi Mill
Gunnedah	Vickery Coal
Maitland	South Maitland Railway
Kooragang Island	Pacific National Siding – Pacific National
Welsh Point	Eastern Fertilisers, Incitec Fertiliser, Sims Metal
Grasslands Sidings	(Kundle Kundle) Goninans Siding
Casino	Rail Infrastructure Corporation

South Australia

Port Augusta	Within the yard complex with Australia Railroad Group
Port Augusta to Stirling North	Pichi Richi Railway
Stirling North	Optima Energy for the coal line both the Northern Power House and Coal Fields
Coonamia	Australia Railroad Group Port Pirie yard complex
Salisbury to Dry Creek	Parallel broad gauge rail line owned by Trans Adelaide
Dry Creek North to Dry Creek South	Adjacent rail yards with Australia Railroad Group
Dry Creek South	Interface with Trans Adelaide for broad gauge access to and from the Port Loop line.
Dry Creek South to Belair	Parallel broad gauge line owned by Trans Adelaide with at grade crossings at Torrens Junction and Goodwood.
Pacific National Rail yard Islington	Located on the opposite side to Trans Adelaide
Port Adelaide Junction	Interface with Trans Adelaide mixed gauge
Glanville	Interface with Trans Adelaide mixed gauge
Mt.Barker Junction	Parallel interface on the crossing loop with SteamRanger.
Monarto South	Australia Railroad Group for the Apamurra Branch
Tailem Bend	Australia Railroad Group for the Tailem Bend yard and Loxton branch. The Pinnaroo line runs parallel to the main south line for a short distance.

Victoria

Dimboola	Freight Australia for the Yarpeet line approaching from the Wolseley end of the yard and the Dimboola yard.
Murtoa	Freight Australia for the yard and branch line to Houpton.
Ararat	Freight Australia for the yard and branch line to Maryborough
Maroona	Freight Australia for the Portland Branch.
Gerringhap	Freight Australia for the broad gauge line to Ballarat. The main line is dual gauge to North Geelong "C" cabin.
North Geelong "C" cabin	Freight Australia for the broad gauge Geelong Yard.
North Geelong – Werribee	Freight Australia for the broad gauge lines which operate under bi-directional signaling with an at grade crossing at Elders Block Point.
Werribee to Newport	Parallel operation of broad gauge with M<Train and direct interface with M<train and Freight Australia at Newport.
Newport to Brooklyn	Parallel line with Freight Australia.
Tottenham	Interface with Freight Australia
Tottenham to Sunshine	Parallel line with Freight Australia.
Sunshine to Broadmeadows	(Jacana Loop) – Parallel line with Freight Australian
Broadmeadows	Parallel interface with M<train.
Broadmeadows to Albury	Parallel interface with Freight Australia

ARTC's main line runs parallel to other track owner's lines at a number of locations as follows -:

- Port Augusta to Stirling North - Pichi Richi Railway:
- Salisbury (SA) to Belair – Trans Adelaide:
- Mt.Barker Jct – SteamRanger:
- Tailem Bend (Melbourne end) – Australia Railroad Group:
- Dimboola (Adelaide end) – Freight Australia:
- Murtoa – Freight Australia:
- Geelong (North Shore) to Werribee – Freight Australia:
- Werribee to Newport – M<Train:
- Newport to Brooklyn – Freight Australia:
- Sunshine to Albion – M<Train:
- Albion to Jacanna – Freight Australia:
- Jacanna to Broadmeadows – M<Train:
- Broadmeadow to Albury – Freight Australia.

Appendix C.



AUSTRALIAN RAIL TRACK CORPORATION LTD

Name(Person Completing Log)

DateTime Advised of Incident Hours

Exact location

Incident TCR Number

Safety Compliance Manager / Officer departed for Incident Site (Yes / No).....Hours

Safety Compliance Manager / Officer arrived at IncidentHours

Train Details:

Train Number

Leading LocomotiveOther Locomotive(s)

Driver(s) NamesDepot

Depot

Depot

Length of trainMetresWagons.....Tonnage.....

Nature of injuries (If any)

.....

.....

Dangerous Goods on Train: YES / NO Manifest Requested / Received YES / NO

Type of Incident:

Major Derailment	Y/N	Minor Derailment	Y/N
Train Collision	Y/N	Level Crossing Collision	Y/N
Damaged Freight	Y/N	Fire	Y/N
Injuries	Y/N	Other	
Fatalities	Y/N	Number of Injured	
Safe Working Breach	Y/N	Number of fatalities	

Advised ARTC Management:

CEO – ARTCHours

GM Operations & Customer. Services ManagerHours

GM Risk & SafetyHours

Manager Safety ComplianceHours

National Incident and Investigation ManagerHours

Infrastructure EngineerHours

Advised Train Operators:

PNL/TRAILERAIL	Hours	FREIGHT AUST	Hours
ARG	.Hours	LACHLAN VALLEY	Hours
COUNTRY LINK	Hours	ATN	Hours
SCT	Hours	GSR	Hours
OTHER:	Hours	OTHER	Hours
OTHER	Hours	OTHER	Hours

Advised Emergency Services:

Police:	Yes / No	Hours
Ambulance	Yes / No	Hours
Fire Brigade/CFS	Yes / No	Hours
Flying Doctor	Yes / No.....	Hours
SES	Yes / No	Hours

Advised Interfaces:

RAC	Yes / No	Hours
Westrail	Yes / No	Hours
TransAdelaide	Yes/No	Hours
Connex	Yes / No	Hours
ARG	Yes / No	Hours
Port Auth	Yes / No	Hours
Freight Aust	Yes/No	Hours

Other Services:

Transfield Nth/Sth	Yes / No	Hours	EPA	Yes / No	Hours
Works Infra Vic	Yes / No	Hours	ARTC SC	Yes / No	Hours
Comcare / Work cover	Yes / No	Hours	Dept. Transp.	Yes/No	Hours

ARTC Personnel Attending Site:

Name	Departed for Site	Hours	Arrived at Site	Hours
Name	Departed for Site	Hours	Arrived at Site	Hours
Name	Departed for Site	Hours	Arrived at Site	Hours
Name	Departed for Site	Hours	Arrived at Site	Hours
Name	Departed for Site	Hours	Arrived at Site	Hours

Appendix D.

Notification of Operational Incidents:

All incidents will be reported to the Train Transit Manager Train / Train Control Centre Manager or nominee and Emergency Services (if required) as below:

EMERGENCY SERVICES	000
ARTC TRAIN CONTROL JUNEE	(02) 6930 5256
	(02) 9289 4826
ARTC TRAIN CONTROL BROADMEDOW	(02) 4902 9410
ARTC TRAIN CONTROL ORANGE (ORCO)	(02) 6391 4242
(TOCO)	(02) 6391 4230

Advise to Customers and ARTC Engineering

The Train Control Shift Manager will be responsible for advising the following as soon as possible after occurrence of an operational incident:

- ❖ Safety Officer (Operations)
- ❖ Corridor Manager for the affected area
- ❖ Operator

Provision of a list of emergency contacts

All Train Control locations will be issued with the emergency call out lists by each respective discipline.

The General Manager Risk & Safety shall ensure that a call out roster of Safety Officers is issued to all Train Control locations.

Initial reporting of incidents

The Train Control Centre Manager or nominee shall consult with the Safety Officer (Operational), if an incident is a notifiable occurrence in accordance with Rail Safety Act 2002, the Train Control Centre Manager or nominee shall be responsible for initial notification of the incident to the Office of Transport Safety Investigation (OTSI).

The following methods can be used:

- ❖ Telephone 1 800 677 766
- ❖ Email www.otsi.nsw.gov.au
- ❖ Facsimile 02 8253 7299

Formal reporting of incidents to the Independent Transport Safety & Reliability Regulator

The General Manager Risk & Safety or his nominee shall email the DoT Notification of Occurrence report from the Train Control Report system (NRAMS) to the Independent Transport Safety & Reliability Regulator (ITSRR).

Formal reporting of incidents to Work Cover NSW

The Corridor Manager is responsible for ensuring an appropriately qualified Occupational Health & Safety person is involved in the event of an incident involving personal injury or near miss.

The OH&S Officer on site is responsible for notification of incident to Work Cover NSW in accordance with the requirements of the Occupational Health Safety Act 2000.

The following methods can be used:

- ❖ Telephone 13 10 50
- ❖ Email www.workcover.nsw.gov.au

Responsibility for the communication of information

It is the responsibility of each General Manager to define the internal protocols for communication flow for incidents and progress on incident management.

District Emergency Operations Controller (DEOC)

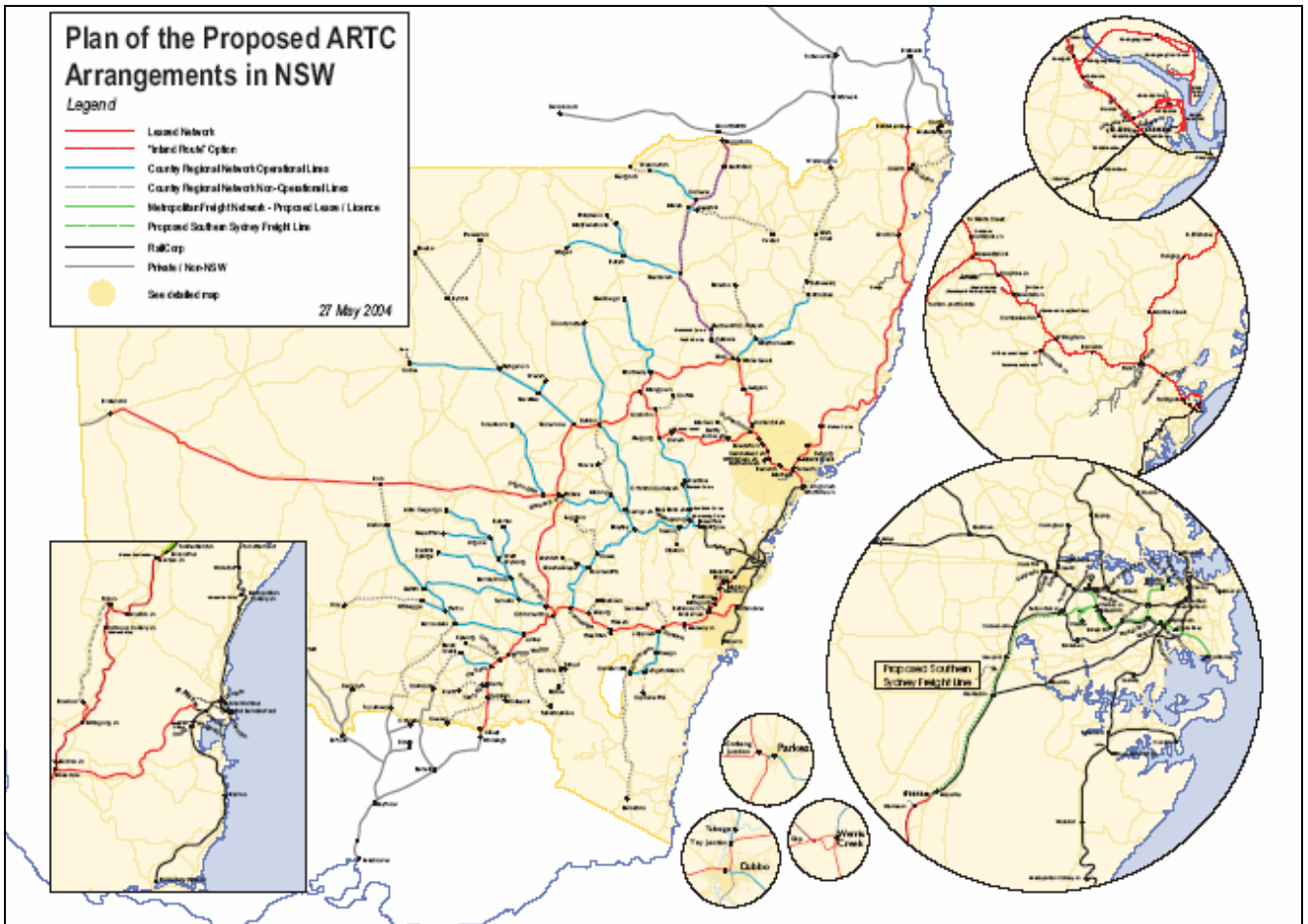
In the event of an Emergency Services Organisation assuming control of an incident under the State Emergency and Rescue Management Act 1989, the Incident Coordinator will report to the District Emergency Operations Controller.

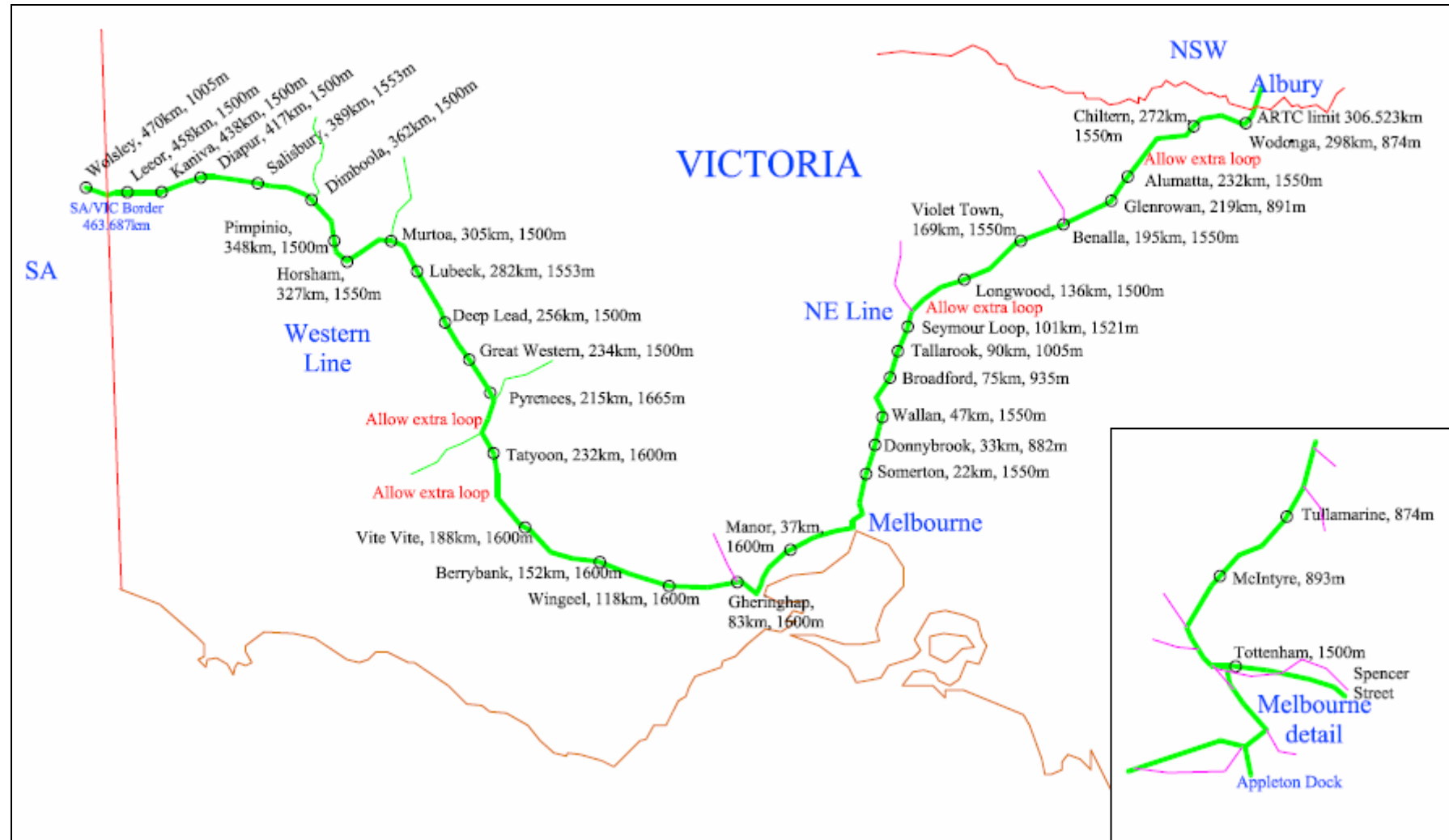
The District Emergency Operations Controller is a police officer, holding the position of Region Commander Station within that district, who has been appointed by the Commissioner of Police.

Under the Act, the District Emergency Operations Controller is subject to the direction of the State Emergency Operations Controller and is responsible for:

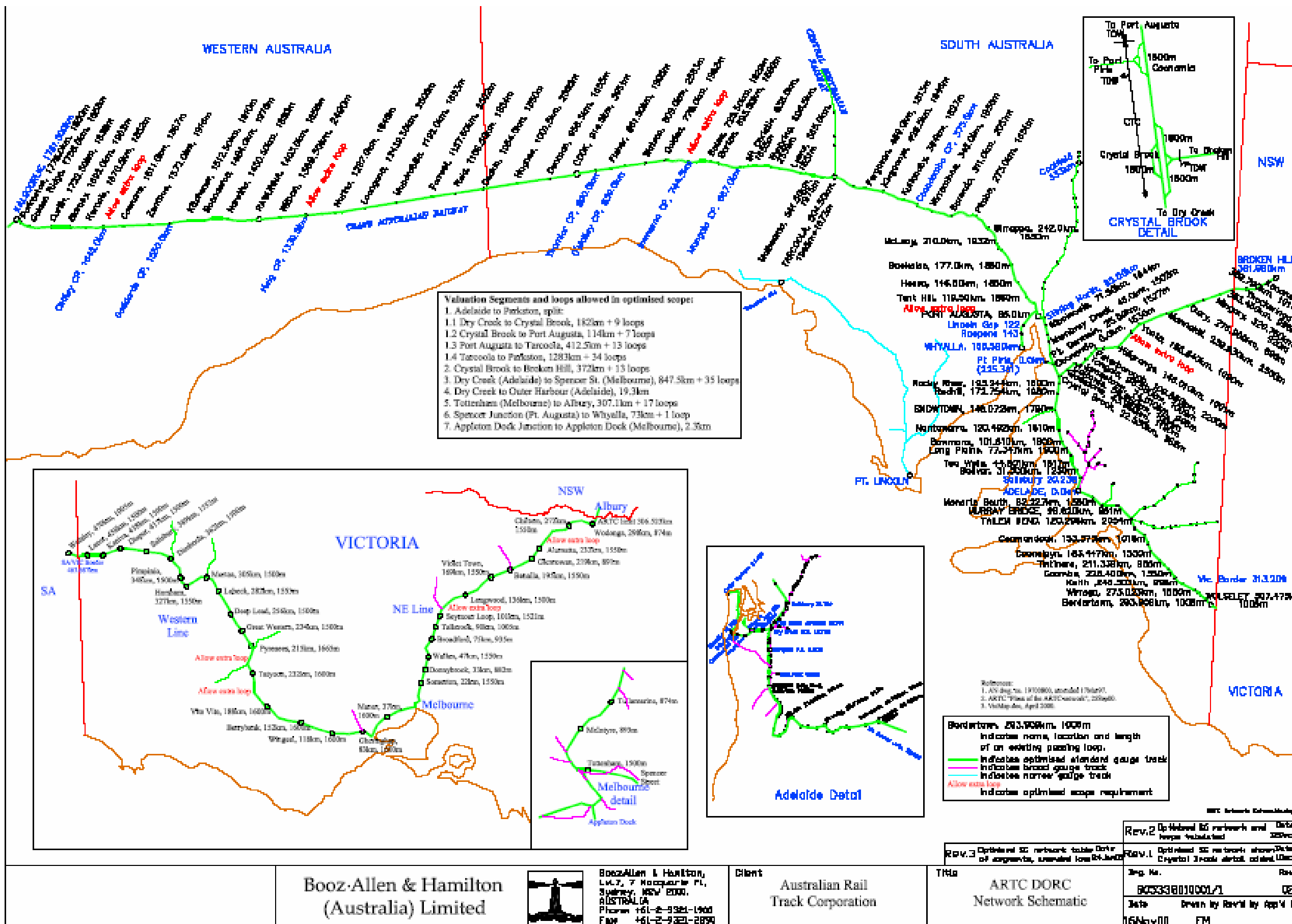
- ❖ Controlling the allocation of resources in response to the emergency in the event of an emergency which affects more than one local government area in the district.
- ❖ Issuing directions to agencies that have emergency response functions for the purposes of controlling the allocation of those resources.
- ❖ The establishment and control of a District Emergency Operations Centre.
- ❖ The District Emergency Operations Controller may exercise these functions without the need for a declaration of a State of Emergency.
- ❖ However in the event of a State of Emergency, the exercise of these functions is subject to Division 4 of the State Emergency and Rescue Management Act.
- ❖ The Incident Management Coordinator will coordinate with other involved organisations, the commitment of resources as directed The District Emergency Operations Controller.

Appendix E.





MAS





AUSTRALIAN RAIL TRACK CORPORATION LTD

Discipline: Risk and Compliance

Category: Procedure

Risk Management Procedure

RM-01

2010

Procedure Custodian:

General Manager Risk and Compliance

Applicability

ARTC Network Wide

Document Status

Version	Prepared by	Reviewed by	Endorsed	Approval Date
Issue 6 Revision 0	Risk Manager	GM Risk and Compliance	Executive Committee	07/04/2009
Issue 6 Revision 1	Risk Manager	GM Risk and Compliance	Risk and Safety Committee	12/07/2010

Amendment Record

Version	Review		Description of Amendment
	Sched.	Actual	
6.1	Jul 2010	Jul 2010	Annual review and alignment with AS/NZS ISO 31000, minor amendments

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1.1 Purpose

The purpose of this procedure is to inform stakeholders of the ARTC process for the management of risks.

1.2 Key Risks and Controls

The key generic uncertainties (risks) that can have an effect on the achievement of ARTC's risk management objectives and the controls to manage those uncertainties are:

Risk	Controls
<p>Inadequate controls to reduce risk so far as is reasonably practicable</p> <p>Non compliance with relevant risk management requirements</p>	<p>Focus on building and maintaining a culture of risk management;</p> <p>Risk Management procedure systematically implemented with staff and relevant external stakeholders;</p> <p>Effective linkages between the various sources of risk information;</p> <p>Risk Management compliance monitoring and review processes in place;</p> <p>Risk Management training delivered across the organisation;</p> <p>Systematic internal and external audit mechanisms and corrective and preventive action procedures applied to the risk management process; and</p> <p>Systematic regulatory interface procedures in place.</p>

1.3 Scope

This procedure covers the identification, analysis, evaluation, control, review and communication of risks involving safety, finance and operations, and any other risk types. It applies to staff and other relevant stakeholders of ARTC.

1.4 Procedure Custodian

General Manager Risk and Compliance is the procedure custodian and accepts responsibility for the procedure's accuracy and adequacy and for maintaining its currency. General Manager Risk and Compliance is the initial point of contact for all queries relating to this procedure.

1.5 Definitions

The following terms (consistent with AS/NZS ISO 31000) are used within this document:

Term	Definition
Causal factor	That which produces or affects a result. Used in this document to describe the cause contributing to a hazard or circumstance occurring.
Circumstance	A condition, or set of conditions, leading to a risk event. The circumstance is often used to describe "what could go wrong".
Consequence	Outcome of an event affecting objectives. An event can lead to a range of consequences. A consequence can be certain or uncertain and can have positive or negative effects on objectives. Consequences can be expressed qualitatively or quantitatively.
Control	Measure modifies risk. Controls may include any process, policy, device, practice, or other actions which modifies risk. Controls may not always exert the intended or assumed modifying effect.
Event (Risk Event)	Occurrence or a change of a particular set of circumstances. An event can be one or more occurrences, and can have several causes. An event can consist of something not happening. An event can sometimes be referred to as an 'incident' or 'accident' (e.g. collision, derailment). An event without consequences can also be referred to as a 'near miss' or 'breach'.
Hazard	A source of potential harm e.g. in terms of human injury, damage to property or other loss. A hazard can be a risk source.
Likelihood	A qualitative description of the chance of something happening.
Level of Risk	Magnitude of a risk or combination of risks, expressed in terms of the combination of consequences and their likelihood.
Nominated Risk Manager	The person appointed by a General Manager to manage an individual risk or collection of risks on his or her behalf. A nominated risk manager would be a competent and appropriately trained person who might be required to conduct risk assessments, recommend and/or implement controls and manage risks within the ARTC risk register.
Operational Risks	Day-to-day risks that are managed within the organisational structure and by existing risk control mechanisms, without the need for detailed strategic management oversight.
Residual risk	Risk remaining after implementation of risk treatment.

Risk	Effect of uncertainty on objectives. Note - an effect is a deviation from the expected, either positive and/or negative. Objectives can have different aspects (such as financial, Rail Safety, OHS and operational goals) and can apply at different levels (such as strategic, organisational, project and process).
Risk Description	Structured statement of risk usually containing four elements: sources (e.g. hazards), events, causes and consequences
Risk Management	Coordinated activities to direct and control an organisation with regard to risk.
Risk Custodian	The General Manager with the accountability and authority to manage the identified risks.
Risk Register	ARTC's electronic storage facility for risk related information.
Risk Source	Element which alone or in combination has the intrinsic potential to give rise to risk.
Safety Management System (SMS)	A comprehensive, fully integrated system to reduce safety risks through systematic application of safety management principles and processes. ARTC's SMS is outlined in SMP-01 and associated policies and procedures.
SFAIRP	So Far As Is Reasonably Practicable - the legal test as to whether a risk has been adequately managed. The likelihood and consequences of a risk must be weighed against the availability, effectiveness and cost of measures to eliminate or reduce the risk. Further information on the application of the SFAIRP test is included in Risk Management Work Instruction (RMWI) 3 – Guidelines on Safety So Far As Is Reasonably Practicable (SFAIRP).
Stakeholder	Person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity. A decision maker can be a stakeholder.
Strategic Risks	Risks that may affect the operations or viability of the business that require senior management oversight.

1.6 Responsibilities

Risk management is a continuous process that involves all ARTC staff, and staff members have responsibility for the implementation of this procedure. Any member of staff who becomes aware of a risk shall ensure that appropriate action is considered and taken, including immediate actions deemed necessary and advising their immediate supervisor. Staff members who interface with stakeholders are responsible for incorporating stakeholder input and perceptions into the process.

Chief Executive Officer is responsible for:

- Ensuring systems are in place for the identification and management of all risks;
- Ensuring systems are in place for the organisation to conform with the relevant government regulations; and
- The development, review and analysis of policies and practices to ensure risks comply with So Far As Is Reasonably Practicable (SFAIRP) principles.

General Manager Risk & Compliance is responsible for:

- The development, implementation and oversight of the Risk Management system, including the Risk Register that has been incorporated into the Risk Management System to enable timely analysis and control of risks.
- Periodically reporting the status of the risk management system to the Risk and Safety Committee

Chief Operating Officer/Chief Financial Officer and General Managers are responsible for:

- Planning and implementing processes for risk management within their area of responsibility in accordance with this procedure;
- Ensuring relevant, comprehensive information and training in risk management is provided to staff, contractors, Alliance partners and other stakeholders within their area of responsibility;
- Ensuring appropriate risk assessments are conducted for notifiable changes to ARTC infrastructure, or the Safety Management System, as per SP-02-12;
- Monitoring and reviewing the effectiveness of the management of risk process in their area of responsibility and planning and implementing identified opportunities for improvement.

ARTC Risk Manager is responsible for:

- Providing advice and reasonable assistance to nominated risk managers, other staff and relevant external stakeholders on their risk management obligations;
- Documenting and communicating this procedure to all relevant internal and external stakeholders;
- Ensuring that training in risk management is conducted for relevant ARTC staff and stakeholders;
- Monitoring and measuring the effectiveness of this procedure and its interface with related policies and procedures;
- Reviewing and updating this procedure and associated documents; and

- Preparing and submitting annual and other required Risk Management reports to the General Manager, Risk and Compliance for consideration by the Risk and Safety Committee.

Executive Manager Standards, Systems and Performance is responsible for:

- Ensuring that an appropriate level of safety risk assessment is performed for new equipment and systems introduced into the ARTC Network (refer to PP122).

Nominated risk managers are responsible for:

- Ensuring project risks and controls are entered into the relevant risk registers and that these risks and the effectiveness of their controls are periodically reviewed;
- Managing an individual risk or collection of risks on behalf of the relevant General Manager. General Managers shall appoint as many nominated risk managers as is necessary to ensure that all risks for which they are responsible are adequately managed. Typically, a nominated risk manager would be a project manager, safety interface manager, compliance manager, operations support manager or other competent person who might be required to conduct risk assessments and recommend and/or implement controls.

Audit Manager is responsible for:

- Auditing the effectiveness of ARTC risk management documentation, processes and practices and the level of achievement of objectives;
- Presenting findings and recommendations and following up corrective and preventive actions;
- Preparing and submitting required audit reports to the General Manager, Risk and Compliance for consideration by the Risk and Safety Committee; and

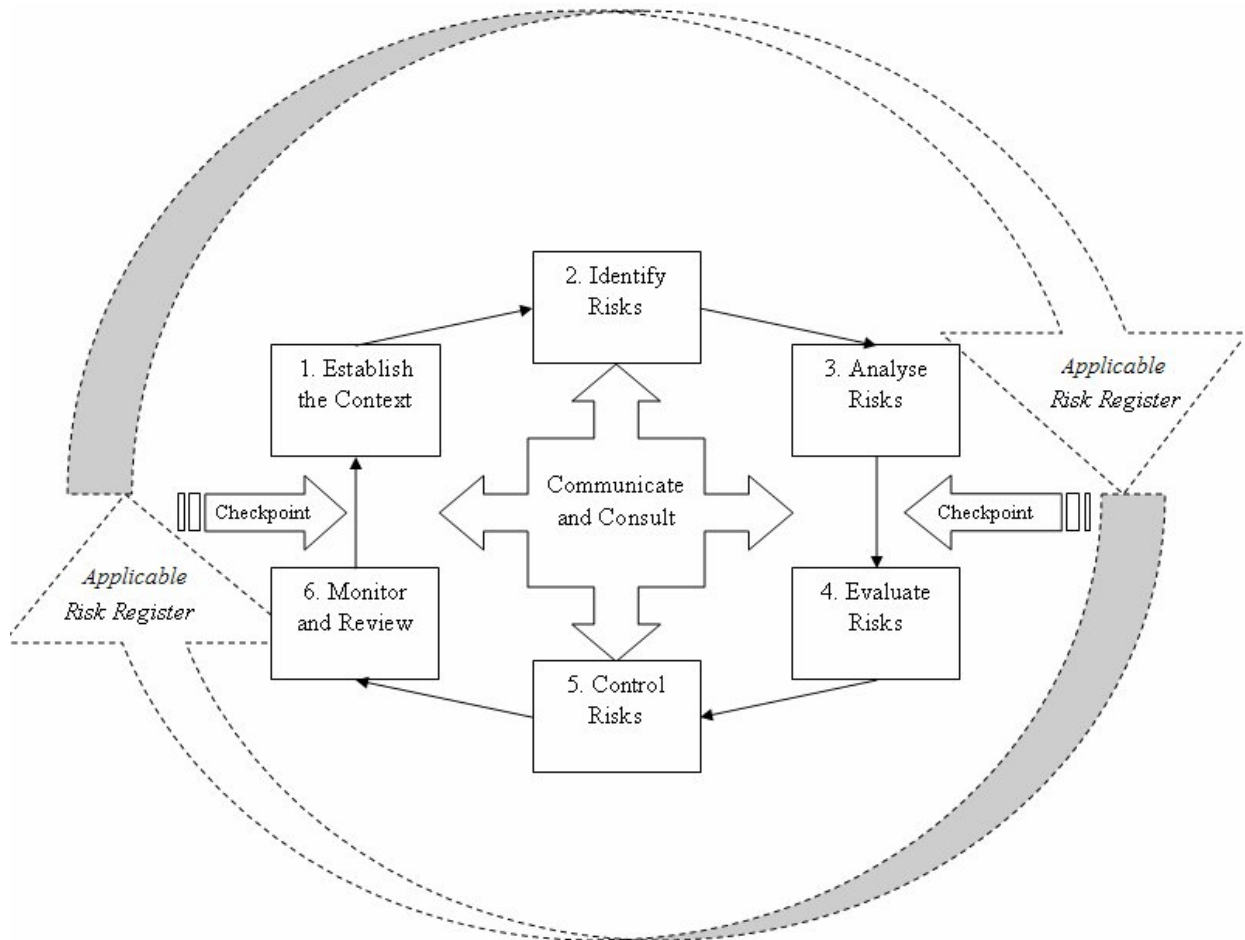
Worksite Supervisors are responsible for:

- Identifying and communicating local worksite hazards and their controls to all personnel at that particular worksite; and
- Reporting significant risks to their ARTC manager for further action and possible inclusion within a risk register.

1.7 Risk Management Process

Figure 1 shows a broad overview of ARTC's risk management process based on AS/NZS ISO 31000 – Risk Management. Risks are identified from various sources, assessed and entered into the appropriate risk register by a General Manager, their delegate, or the ARTC Risk Manager. Once on a risk register, risks are analysed in greater detail, responsibility allocated to the appropriate manager and control effected. The risk is then monitored to ensure the continued effectiveness of any control. Stakeholder consultation occurs at each stage of the process where appropriate.

Figure 1: ARTC Risk Management process



Step 1: Establish the context

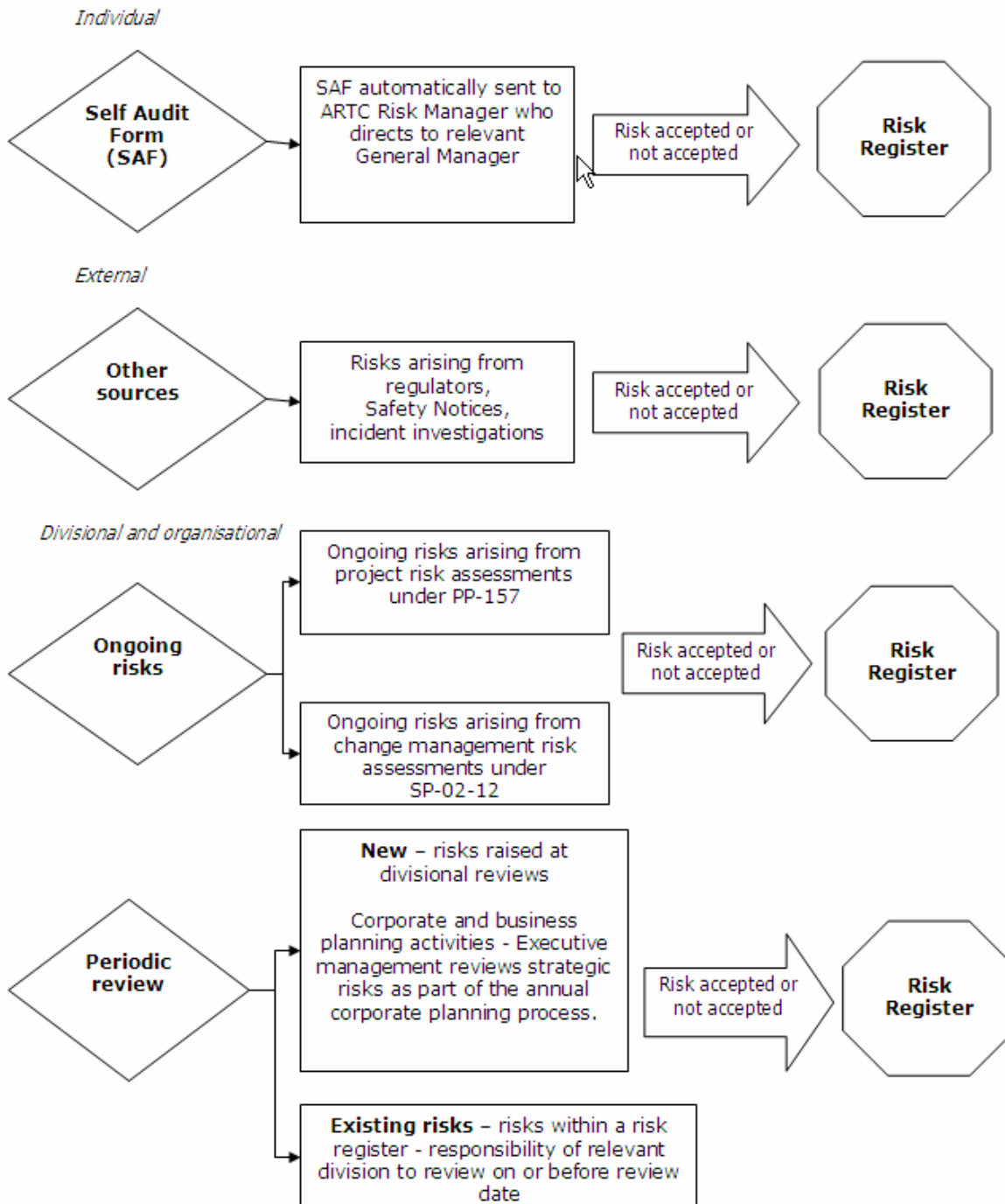
This step defines the basic parameters within which risks must be managed and sets the scope for the remainder of the process. The context for overall Risk Management within ARTC must be established at the organisational (strategic) and local (operational) level. At a strategic level, the context for ARTC risk management (including definition of the internal and external environment) is broadly defined in the organisation's corporate plans. Risk Criteria for safety, financial and operational risks are defined within this document in Table 3.1 – ARTC Consequence Criteria. Risk Criteria for individual projects are developed in accordance with PP157 – Project Management.

Establishment of operational context is a requirement of the Risk Assessment process. A consultative approach with stakeholders must be used to determine the context, risk criteria and structure for the remainder of the process. Guidelines for the establishment of context when conducting a Risk Assessment are contained within WI 3 - Conduct Risk Assessment Workshop.

Step 2: Identify risks

A risk is made up of a number of components. These usually include a source (e.g. a hazard), risk event, causes and consequences. There may be a number of causal factors leading to the risk event. The risk level is defined in terms of consequence and likelihood.

The aim of risk identification is to generate a comprehensive list of sources of risks and events that might have an impact on the achievement of each of the objectives. Risk identification occurs at an individual and organisational level, as part of the risk assessment process, and through external sources, as per the following diagram:



2.1 OHS Risk Management

Identification and management of Occupational Health and Safety risks is achieved in accordance with ARTC's OHSMS. At an individual level, ARTC personnel use risk identification strategies in their day-to-day activities, prior to undertaking work on the track and in other hazardous situations. Hazards associated with worksites are managed and communicated through the Project Management risk management processes (PP157), Take 5 risk assessments, ARTC Pre-Work briefs and in Work Method Statements.

2.2 Risk Identification Form

Staff are encouraged to use the Risk Identification Form (RIF), available on the intranet under Risk Management, to report identified risks within their field of influence and control. The RIF provides an avenue for a bottom-up process to identify and assess risks, their perceived consequence and likelihood and adequacy of the control measures in place. Risks identified through the RIF process are initially notified to the ARTC Risk Manager and then passed to the relevant General Manager for action.

2.3 Formal risk assessment

A formal, documented Risk Assessment must be conducted in various circumstances (including when notifiable changes are planned to ARTC Safety Management System and/or network configuration in accordance with SP 02-12 - Change Management and Regulatory Notification, and as directed in PP157 – Project Management Procedure). Use of formal risk assessment process for circumstances other than those listed above is up to the discretion of the relevant General Manager. The process for conducting a Risk Assessment is outlined in the reference Risk Management Work Instructions.

The Nominated Risk Manager must have sufficient experience and/or training in order to conduct a risk assessment workshop. Sufficient training and/or experience includes:

- a. completed the ARTC Risk Assessment Facilitator training course;
- b. completed an external training course based on AS/NZS 4360 or AS/NZS ISO 31000; and/or
- c. facilitated previous risk assessments.

Risk identification methods used as part of the Risk Assessment process include checklists, brainstorming, experience and historical records, stakeholder consultation, flow charts, systems and scenario analysis and systems engineering techniques. The approach taken will depend on the type of activities and risks under review and is at the discretion of the Nominated Risk Manager. The methods used to identify risks must be documented in the risk assessment report.

A risk assessment must be conducted in formal consultation with stakeholders likely to be affected by the changes being risk assessed and records of this consultation maintained. Detailed instruction on the analysis of risks during a risk assessment is contained within WI 2 – Conduct Risk Assessment Workshop.

Ongoing and significant risks identified within a formal risk assessment must be transferred to an appropriate risk register.

Step 3: Analyse risks

Analysis involves consideration of the sources and causes of risk, their consequences, and the likelihood that those consequences will eventuate. This step is conducted to develop a greater understanding of risks, facilitates prioritisation, and provides ARTC with data to assist in the evaluation and control of risks.

Where qualitative assessment is adequate (refer RMWI 2, Step 3), identified risks are analysed and reported in terms of likelihood and consequence criteria. The nominated risk manager must consider the existing controls applicable to the risk scenario in question. Identification of the causal factors is important so that stakeholders can assess what controls already exist that specifically address the identified causes. Knowledge of ARTC's control inventory is critical at this stage and getting the right mix of stakeholders to participate when assessing risks will greatly assist.

The assessed levels of likelihood and consequence are analysed and ranked using the risk level table (Table 3) to determine the overall level of risk for the activity, situation or circumstance. The risk may be described as Very High, High, Medium or Low.

ARTC RISK ANALYSIS TOOLS

Table 3.1 - ARTC CONSEQUENCE CRITERIA

LEVEL	Descriptor	Safety	Financial	Operational
1	Not Significant	No medical control	<\$250,000	< 6 hours track closure
2	Minor	Lost Time Injury Occurs Or Medical Control Required	≥ \$250,000 but less than \$2,000,000	≥ 6 hrs but less than 24 hrs track closure.
3	Moderate	Serious Injury Occurs	≥ \$2M but less than \$10M	≥ 24 hours but less than 48 hours track closure.
4	Major	Single fatality occurs	≥ \$10M but less than \$50M	≥ 2 days but less than 5 days track closure.
5	Extreme	Multiple but localised fatalities occur	≥ \$50M	≥ 5 days track closure.

Table 3.2 - ARTC LIKELIHOOD CRITERIA

Level	Descriptor	Description	Frequency of Occurrence
A	Almost Certain	Is expected to occur in most circumstances	Once per month
B	Likely	Will probably occur in most circumstances	Between once a month and once a year
C	Possible	Might occur at some time	Between once a year and once in 5 years
D	Unlikely	Could occur at some time	Between once in 5 years and once in 20 years
E	Rare	May occur in exceptional circumstances	Once in more than 20 years.

Table 3.3 - Likelihood-Severity Risk Ranking Matrix

Likelihood	Consequences				
	Not Significant 1	Minor 2	Moderate 3	Major 4	Extreme 5
A Almost certain	M	M	H	VH	VH
B Likely	L	M	H	VH	VH
C Possible	L	L	M	H	H
D Unlikely	L	L	L	M	M
E Rare	L	L	L	L	M

In undertaking analysis using for the above Risk Matrix, the following must be considered:

- Partitioning the risk across many hazards and evaluating each against a matrix alone may lead to a hazard being assessed as low, whereas the total system risk may be in a higher category. The individual risks may be considered low, but collectively the risks may contribute to a higher overall likelihood of occurring (or more severe consequence). Analysing individual risks without looking at the overall system may lead to flawed decisions.
- Use of matrix alone is not enough to demonstrate SFAIRP (see Step 4). It must be demonstrated that there are no other reasonably practicable measures that can reduce risk further.

3.1 Project risk assessment

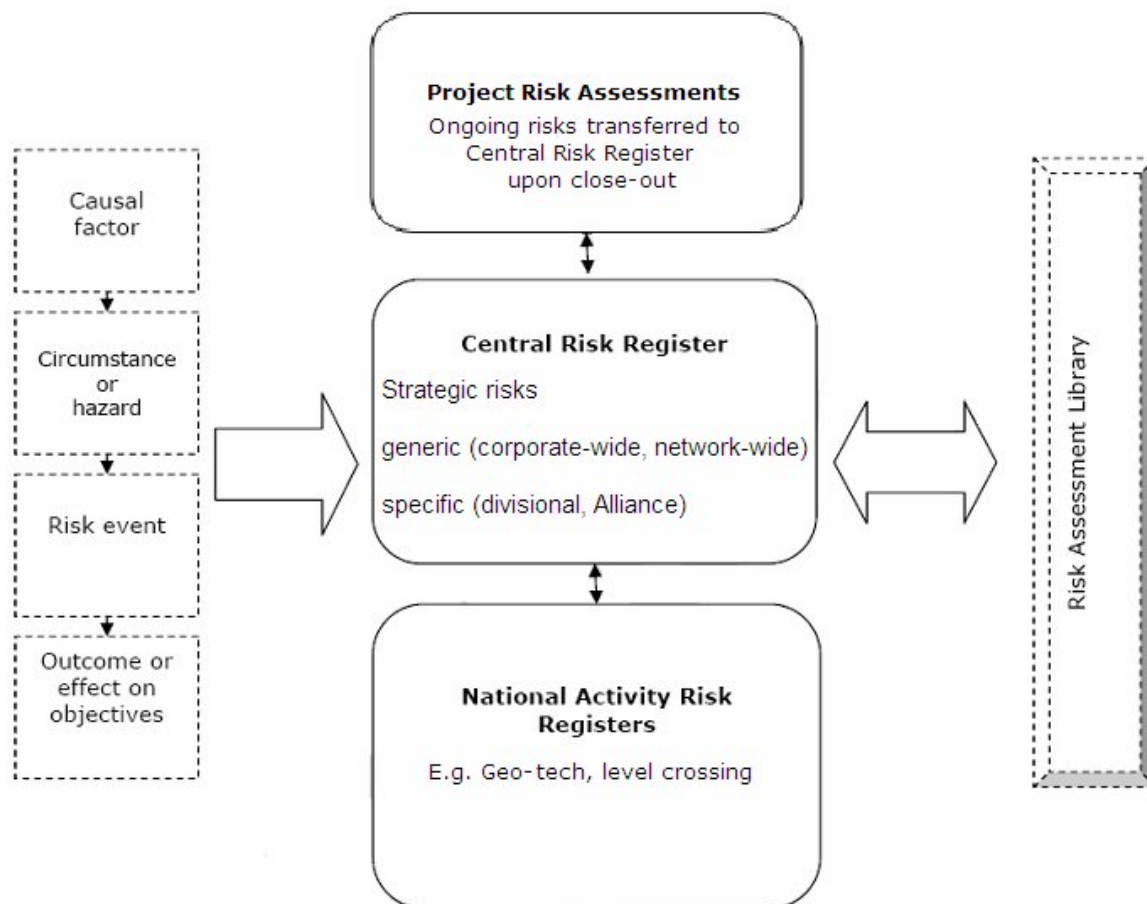
ARTC projects, which operate under the Project Management Procedure PP-157, may require particular risks to be assessed against additional consequence criteria of budget, schedule and performance. These additional risk criteria are developed by the Project Manager. They may be applied to those risks that are related to project delivery and are deemed to exist for the life of the project only. Further information is contained within PP-157.

Table 4 - Risk Priority and Review

Risk level	MANAGEMENT ACTION REQUIRED
Very High	<p><u>Immediate action required / control obligatory</u></p> <ul style="list-style-type: none"> • The Respective GM will immediately discuss control actions and options with Nominated Risk Managers. • Agreed control actions are promptly implemented by the Nominated Risk Manager. • The Chief Executive Officer is informed immediately, and the Risk & Safety Committee is made aware of the risk as soon as practicable. <p>Review period: Very High risks should be reviewed at a period of no longer than every six months unless review is triggered earlier (ie. through incident investigation, audit findings etc).</p>
High	<p><u>Senior Management attention is needed and expected</u></p> <ul style="list-style-type: none"> • Nominated Risk Manager convenes special group/meeting/reviews to prepare control actions and other initiatives. • Risk & Safety Committee is made aware of risk. • Respective GM will expect regular feedback on status/progress of risk controls. <p>Review period: High risks should be reviewed at a period of no longer than every 12 months unless review is triggered earlier (ie. through incident investigation, audit findings etc).</p>
Medium	<p><u>Management responsibility must be clear and specified</u></p> <ul style="list-style-type: none"> • Not specifically brought to the attention of the Risk & Safety Committee and the respective General Manager (GM). • May require some minor direction, action, or decision from the Nominated Risk Manager. • Included in normal reporting processes. <p>Review period: Medium risks should be reviewed at a period of no longer than every 24 months unless review is triggered earlier (ie. through incident investigation, audit findings etc).</p>
Low	<p><u>Manage by routine ARTC procedures</u></p> <ul style="list-style-type: none"> • Neither ARTC Management nor the Risk & Safety Committee require any special reporting requirements. • Normal ARTC business practices in place are sufficient to manage this risk. <p>Review period: Low risks should be reviewed at a period of no longer than every 36 months unless review is triggered earlier (ie. through incident investigation, audit findings etc).</p>

3.2 Risk Registers

The purpose of a risk register is to provide a record of all identified risks relating to the objectives of the organisation or business unit. They provide assurance on the range of control measures and plans in place to address identified risks. Risk registers act as a tool in support of managers when managing risks and help drive risk management activities.



➤ Central Risk Register

The Central Risk Register contains risks to the achievement of ARTC’s strategic objectives, generic risk events, and local risks specific to divisions or Alliances. The Central Risk Register is an important tool to inform strategic planning including prioritisation of resources.

It contains the following:

- Risk events. In this proposed risk register structure, risk events (or generic risks) will be captured in the Central Risk Register. Associated circumstances, hazards and causal factors will be linked between the Central, National Activity and Specific Purpose risk registers as appropriate. Risk events, such as fraud or derailment, may be categorised as an “event” within the register to distinguish from other risk issues.

- Strategic risks (risks that that may affect the operations or viability of the business that require senior management oversight).
- Specific risks which may affect the performance or achievement of local objectives. Specific risk registers exist for all divisions and Alliances. New registers may be created within the Central Risk Register if deemed appropriate. Proposals to create a new risk register must first be submitted to the Risk and Safety Committee for approval

➤ National Activity risk registers

The National Activity risk registers include existing registers such as the Geo-tech and Level Crossing registers. Proposals to create a new risk register must first be submitted to the Risk and Safety Committee for approval.

➤ Risk Assessment Library

A risk assessment library is located on R Drive for the storage of all risk assessments. Once a risk assessment has been completed and signed off, it must be emailed to the ARTC Risk Manager. The risk assessment will then be filed within the library for future reference and continuous improvement of the risk management system.

3.3 Linkages between registers

It is the responsibility of each division or Alliance to review their risks within the Central Risk Register on a regular basis and within guidelines in Table – Risk Priority Action and Review. The aim is to review existing risks including their controls, identify new or additional risks and ensure changes to risk profiles are reflected in the registers.

Project specific risks are managed by the project until the project is complete. At this time, the risks shall be reviewed and ongoing risks entered into the appropriate risk register. Further information is contained within the Project Management Procedure PP-157.

Steps 4: Evaluate and control risks

The purpose of the risk evaluation and control phase is to document and implement decisions, based on the outcomes of the risk analysis, about the degree of control required for each risk and risk priorities with a view to eliminating the risk or minimising risk to the lowest possible level.

Risk evaluation involves comparing the level of risk found during the analysis process with risk criteria established when the context was considered. This activity is intended to determine:

- a. degree of control required for each risk; and
- b. if the activity associated with the risk should be undertaken.

All risks entered into a risk register will require evaluation. Each risk register will contain information on responsibility for and progress towards implementation of risk controls

("risk control plan"). ARTC will deploy available resources to risk control options based on a number of business and financial imperatives and constraints. The principal responsibility for control of risks is as follows:

1. Risks arising from corporate planning:

Principal responsibility: as assigned by the Executive Committee

2. Risks arising from all sources (Risk Management Self Audit Forms, projects, Divisional reviews, risk assessment workshops, etc.) where the risk impact can be said to be contained within one divisional process, project or contract:

Principal responsibility: The General Manager

3. Risks arising from all sources where multiple divisions are impacted:

Principal responsibility: As agreed by the affected Divisional General Managers or as assigned by the Risk & Safety Committee.

4.1 SFAIRP

For safety risks, ARTC adopts the So Far As Is Reasonably Practicable (SFAIRP) principle when addressing the evaluation and control phase of the assessment. The Nominated Risk Manager responsible for ensuring the risk assessment is conducted must ensure that records are maintained to demonstrate the use of this principle in selecting final risk controls or controls. The basic principle of SFAIRP is to consider all possible controls and provide justification for adopting or rejecting those identified controls. Stakeholders and participants with the appropriate level of experience and knowledge must be involved in the decision making, and all decisions must be documented. Further detail on the principles and practical application of SFAIRP is included in RMWI 3 – Guidelines on So Far As Is Reasonably Practicable.

SFAIRP requires risks to be reduced so far as is reasonably practicable. To achieve this, the risk must be treated using the hierarchy of controls, with the highest control (elimination) being the most desirable. In the case that a risk cannot be eliminated, the reason for this must be documented. The hierarchy of controls must be considered when identifying possible controls, and justification for adopting or rejecting these options must be clearly documented to comply with SFAIRP principles. In some cases, a combination of measures will be required.

The hierarchy of controls is as follows, from most desirable (elimination) through to least:

- Elimination. Removing or otherwise eliminating the risk.
- Substitution. Substituting the hazard that gives rise to the risk with a hazard that gives rise to a lesser risk.
- Isolation. Isolating the hazard from the person put at risk.
- Design/engineering. Minimising the risk through engineering means.
- Administrative. Minimising the risk through administrative means (for example, by providing appropriate training, or adopting safe work practices)
- Individual (Personal Protective Equipment).

Once a control plan has been developed, the associated likelihood and consequence shall be revised to reflect the anticipated risk level once controls have been applied. Detailed information on the control of risks, hierarchy of controls, and developing control and control plans is contained within the supporting Risk Management Procedure Work Instructions. Within the risk register, a risk should not be categorised SFAIRP until all proposed controls have been either implemented or rejected.

Step 5: Monitor and review

Once a control has been implemented, the adequacy and effectiveness of the control must be monitored and reviewed as detailed in the risk control plan. Review periods shall be developed in accordance with Table – Risk Priority Action and Review. The maximum review period shall not exceed three years. Nominated review dates must be entered into the appropriate risk register.

Depending on the type of control, review mechanisms could include:

- Periodic review by nominated risk manager;
- Statistical analysis;
- Formal audit process; and
- Talking to affected people to get feedback on the effectiveness of the control.

Review of a control should take place soon after implementation and then at intervals dependent on the level of risk and anticipated effectiveness of the control. All officers of the company are expected to continuously review risks within their control, and to raise issues of concern with their Manager, General Manager, members of the executive team, General Manager, Risk & Compliance and/or the Risk Manager.

ARTC has in place standing committees with risk management responsibility:

- Executive Committee – management of strategic risks;
- The Risk and Safety Committee – oversees the management of OHS, Rail Safety, environmental, commercial and business risks; and
- Budget, Investment and Major Works Committee – review any risks for the delivery of Major Projects; and
- Information, Communications and Control Systems Sub-Committee – to assess and report upon risk and mitigation strategies and policies.

Through these committees, the CEO and Board are made aware of risk issues and ongoing risks may be monitored and reviewed.

The General Manager, Risk and Compliance or delegate will audit the risk management process and report the findings to the Risk & Safety Committee, which will review this procedure periodically.

The central risk register offers the tools to support the review process and is required to be kept up to date by the relevant Nominated Risk Managers. Managers should review risks and/or controls they are responsible for during the divisional planning process.

5.1 Key Records and Reports

Formal risk assessment

Formal risk assessments must be carried out by appropriately trained personnel and submitted to the relevant General Manager for further action as deemed necessary. Nominated risk managers are responsible for appropriate filing and management of documents in accordance with ARTC Records Management Systems Procedure. Risk assessments are to be planned in accordance with WI 2 – Risk Assessment Process and WI 3 - Conduct Risk Assessment Workshop.

Risk Registers

Risk Control Plans are to be managed following the risk assessment process. Any significant or ongoing risks should be reviewed against the ARTC risk register and considered for transfer if a gap is identified. Risk registers are to be maintained by the responsible General Manager and Nominated Risk Managers, in accordance with Work Instruction 5 - Risk Register User Guide.

5.2 Resource Requirements

In order to conduct effective risk management throughout the organisation, the following resources are required:

- Capable personnel with the ability to conduct Risk Assessments and develop and maintain risk management documentation on an ongoing basis;
- Capable internal auditors as detailed in audit procedures;
- risk registers compliant with legislative requirements; and
- Appropriate risk management procedures and reporting forms.

5.3 Reference Documents

This procedure references the following documents:

- AS/NZS ISO 31000 Risk Management
- ARTC Risk Management Policy
- ARTC Risk Management Risk Identification Form
- PP122 New Equipment and Systems Approval
- PP 157 Project Management
- OHSMS Occupational Health and Safety Management System

5.4 Associated Procedures

In addition to the above, this procedure has links with the following ARTC procedures:

- SMP-01 Safety Management Plan
- SP-01-04 Safety, Engineering, Operations and Personnel Procedures
- SP-02-06 Safety Documentation and Data Management
- SP-02-07 Safety Management Review
- SP-02-11 ARTC/RailCorp Operating Rules Joint Amendment Procedure

- SP-02-12 Regulatory Notification Procedure for Change Management
- Records Management Systems Procedure

5.5 Referenced Work Instructions

- RMWI 1 Risk Assessment Process
- RMWI 2 Conduct Risk Assessment Workshop
- RMWI 3 Guidelines on So Far As Is Reasonably Practicable
- RMWI 4 Risk Assessment Templates
- RMWI 5 Risk Register User Guide

5.6 Review Frequency

The GM Risk and Compliance will review this procedure annually at a minimum and as soon as possible after identifying changes in circumstances that affect Regulator risk management notification obligations.

The Risk & Safety Committee has responsibility for approving any changes arising from such review.