

Appendix F

ARTC Incident Management Safety
Procedure



AUSTRALIAN RAIL TRACK CORPORATION LTD

Incident Management

Safety Procedure (SP-03-08)

Issue 2, Revision 2
11th May 2009

DOCUMENT CONTROL

Document Status Record

Status	Date	Prepared	Reviewed	Approved
Issue 2 Revision 0	26/11/2002	Brian Busch Paul Jerman	Andrew Kitto	Safety Committee
Issue 2 Revision 1	10/8/2004	Mark Felstead Kirsten Alexander	Andrew Kitto	Safety Committee
Issue 2 Revision 2	11/05/2009	Debbie Strachan	Simon Gray	CEO

Document Distribution List

ARTC Network	Date
Intranet	November 2002
Intranet	August 2004
Intranet	May 2009

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1. PURPOSE

The purpose of this safety procedure is to provide a framework for the management of rail incidents.

2. SCOPE

This procedure covers the management of major incidents (Category A in AS 4292). Minor incidents are managed through the TCR Closeout Process (refer SP-03-09).

3. REFERENCE DOCUMENTS

- 3.1 Safety Procedure SMP-01 Safety Management Plan
- 3.2 ARTC Incident Management Plan TA 44

4. DEFINITIONS

Incident: An occurrence, involving or effecting 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, including;
 - Collision
 - Derailment
 - Strike injury
 - Hit
 - Fall
 - Fire/explosion
 - Spillage
 - Flood
 - Collapse of civil works,

which have the potential to:

- Endanger, or threaten to endanger the health or safety of people
- Disrupt train services
- Damage property
- Damage infrastructure

- Damage rolling stock
- Damage the environment
- Cause significant delays to train services

5. RESPONSIBILITY

Refer attached Table 1.

6. PROCEDURE

The overall incident management process is outlined in the Safety Management Plan SMP-01.

The stages of incident management for major incidents involve the following processes:

- **Response:** The stage of an incident from the occurrence of the incident to the securing of the site.
- **Recovery:** The stage of an incident involving site inspection, recording and presentation of evidence, interviews, analysis and recording of data followed by insurance claims and possibly legal action to recover money.
- **Reinstatement:** The stage of an incident involving temporary works and the resumption of operations.
- **Restoration:** The stage of an incident involving the permanent works to return the track to its fit for purpose condition.
- **Report:** The stage of an incident involving a detailed cause and effect analysis of the incident and the preparation of incident reports.
- **Review:** The stage of an incident involving formal inquiries by regulatory authorities.
- **Revision:** The stage of an incident involving an internal review, resolution of factors contributing to the incident and the implementation of corrective action.
- **Rehearsal:** The planning, preparation, practice and perfecting of an event before the occurrence of the event.

The ARTC top level strategic plan for response to major incidents is detailed in operational interface document TA44.

The overall incident management framework for major incidents is shown in Table 1, along with the ARTC officers responsible for each stage.

INCIDENT MANAGEMENT PROCEDURES FRAMEWORK ENGINEERING & INFRASTRUCTURE					ARTC
RESPONSE STAGE		RECORDING STAGE		REINSTATEMENT STAGE	
What?	Who?	What?	Who?	What?	Who?
<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Occurs</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Discovered</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">ARTC Train Control Notified</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Recorded</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Reported</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Status Assessed</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Response Decided</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Response Initiated</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">First Aid Applied</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Site Secured</div>	<ul style="list-style-type: none"> • Train Operator • Maintainer • Public <ul style="list-style-type: none"> • Train Operator • Maintainer • Public <ul style="list-style-type: none"> • Train Operator • Maintainer • Public <ul style="list-style-type: none"> • Train Controller <ul style="list-style-type: none"> • Train Transit Manager <ul style="list-style-type: none"> • Train Transit Manager <ul style="list-style-type: none"> • Train Transit Manager <ul style="list-style-type: none"> • Train Transit Manager <ul style="list-style-type: none"> • Discoverer • Ambulance <ul style="list-style-type: none"> • Maintainer 	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Site Control</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Site Inspection</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Preserve Evidence</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Technical Analysis</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Records</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Interviews</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Summary Reports</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Incident Visual Records</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Investigation Debrief</div>	<ul style="list-style-type: none"> • Maintainer • ARTC Incident Mgt Coordinator <ul style="list-style-type: none"> • ARTC Incident Mgt Coordinator • Engineer on call • Train Operator <ul style="list-style-type: none"> • ARTC Incident Mgt Coordinator • Engineer on call • Train Operator <ul style="list-style-type: none"> • ARTC Incident Investigation Coordinator • Engineer on call • Train Operator <ul style="list-style-type: none"> • ARTC Incident Investigation Coordinator <ul style="list-style-type: none"> • ARTC Incident Investigation Coordinator <ul style="list-style-type: none"> • ARTC Incident Investigation Coordinator • Engineer on call <ul style="list-style-type: none"> • ARTC Incident Investigation Coordinator • Engineer on call 	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Coordinate Network Reinstatement</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Scope Reinstatement Works</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Order Reinstatement Works</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Perform Reinstatement Works</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Set Speed Restriction</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Notify Train Control</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Resume Operations</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Conduct Site Debrief</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Ensure Removal of Debris</div>	<ul style="list-style-type: none"> • Train Transit Manager • Train Operators <ul style="list-style-type: none"> • Engineer on call • Maintainer • Engineering Manager <ul style="list-style-type: none"> • Engineering Manager • Maintainer <ul style="list-style-type: none"> • Maintainer <ul style="list-style-type: none"> • Maintainer <ul style="list-style-type: none"> • Maintainer <ul style="list-style-type: none"> • Train Transit Manager <ul style="list-style-type: none"> • Engineer on call <ul style="list-style-type: none"> • Engineer on call

Table 1.1

INCIDENT MANAGEMENT PROCEDURES FRAMEWORK ENGINEERING & INFRASTRUCTURE					ARTC
ROLLING STOCK REMOVAL		RESTORATION STAGE		REPORT STAGE	
What?	Who?	What?	Who?	What?	Who?
		<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Scope of Restoration</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Order Restoration</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px;">Perform Restoration</div>	<ul style="list-style-type: none"> • Engineer on call • Engineering Manager • Maintainer • Engineering Manager • Maintainer 	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Conduct Incident Analysis</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Prepare OH & S Report</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Prepare Rail Safety Report</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Prepare Incident Report</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Prepare Engineering Report</div> <div style="text-align: center;">↓</div> <div style="border: 1px solid black; padding: 5px;">Distribute Reports</div>	<ul style="list-style-type: none"> • National Incident & Investigations Manager • National Incident & Investigations Manager • National Incident & Investigations Manager • National Incident & Investigations Manager • Engineer on call • Engineering Manager • National Incident & Investigations Manager

Table 1.2

INCIDENT MANAGEMENT PROCEDURES FRAMEWORK ENGINEERING & INFRASTRUCTURE					ARTC
REVIEW STAGE		REVISION STAGE		REHEARSAL STAGE	
What?	Who?	What?	Who?	What?	Who?
<p>Inquiry Required</p> <p>↓</p> <p>Agree Terms Of Reference With Authority</p> <p>↓</p> <p>Conduct Inquiry</p> <p>↓</p> <p>Review Findings & Implement as appropriate</p>	<ul style="list-style-type: none"> • Work Cover? • Transport? • Coroner? • Other? <ul style="list-style-type: none"> • ARTC Executive <ul style="list-style-type: none"> • Work Cover • Regulator • Coroner • Other <ul style="list-style-type: none"> • ARTC Safety Committee 	<p>Conduct Internal Review</p> <p>↓</p> <p>Recommend Corrective Action</p> <p>↓</p> <p>Agree Corrective Action</p> <p>↓</p> <p>Implement Corrective Action</p> <p>↓</p> <p>Verify Corrective Action</p>	<ul style="list-style-type: none"> • National Incident & Investigations Manager • ARTC Risk & Safety Committee <ul style="list-style-type: none"> • National Incident & Investigations Manager <ul style="list-style-type: none"> • ARTC Risk & Safety Committee <ul style="list-style-type: none"> • ARTC Responsible General Manager <ul style="list-style-type: none"> • National Incident & Investigations Manager • ARTC Risk & Safety Committee 	<p>Formation Of Working Party</p> <p>↓</p> <p>Develop Program</p> <p>↓</p> <p>Prepare Training Plans</p> <p>↓</p> <p>Provide Training</p> <p>↓</p> <p>Prepare Exercise Safety Plans</p> <p>↓</p> <p>Conduct Exercise</p> <p>↓</p> <p>Conduct Debrief</p> <p>↓</p> <p>Implement Change</p>	<ul style="list-style-type: none"> • National Incident & Investigations Manager • Maintenance Contractors • Train Operators • Others

Table 1.3

INCIDENT MANAGEMENT PROCEDURES FRAMEWORK ENGINEERING & INFRASTRUCTURE		ARTC	
RECOVERY STAGE (CLAIMS)			
What?	Who?	What?	Who?
<pre> graph TD A[Notification of New Incident] --> B[Copy of Notification] B --> C[Verbal Instructions to Adjusters] C --> D[Fax or E-mail To Adjusters] D --> E[Site Inspection] E --> F{Is Recovery Possible?} F -- YES --> G[Retention of Site Evidence] G --> H[Inspection of Evidence] H --> I[Interim or Preliminary Report] I --> J[Cause Report] J --> K[Monthly Progress Report] F -- NO --> L[Subsequent Claims Management] </pre>	<ul style="list-style-type: none"> Insurance Manager to: <ul style="list-style-type: none"> - Loss adjuster or - Insurers Insurance Manager Insurance Manager within 2 days of appointment of adjusters Loss adjusters within 24 – 48 Hours with: <ul style="list-style-type: none"> - ARTC Risk & Compliance Rep. & - ARTC Maintenance Rep. ARTC Risk & Compliance & Maintenance Rep. National Incident & Investigations Manager Engineer on call Loss adjusters Others as required National Incident & Investigations Manager Loss adjuster Engineer on call National Incident & Investigations Manager As required 	<pre> graph TD A{Losses exceed deductible.} -- YES --> B[Subsequent Claims Management] A -- NO --> C{Losses exceed 66.6% of Policy ded.} C -- YES --> D[Establish File] D --> E[Copy of All Adjusted Reports] E --> B C -- NO --> F{Recovery action} F -- YES --> G[Advise of Settlement] G --> H[Adjusters Reports] H --> I[Progress Payments] F -- NO --> J[No Further Action] </pre>	<ul style="list-style-type: none"> Insurance Manager to Insurer Insurance Manager to Insurer Insurance Manager Loss Adjuster to Insurer & ARTC Insurer or ARTC to loss adjusters and experts Insurance Manager Loss adjuster or insurer to ARTC if required Insurer to ARTC on application

Table 1.4

INCIDENT MANAGEMENT PROCEDURES FRAMEWORK ENGINEERING & INFRASTRUCTURE		ARTC	
RECOVERY STAGE (RECOVERIES)			
What?	Who?	What?	Who?
<pre> graph TD A[Legal Advice on Recovery Actions] --> B[Advice on Third Party Contractual Liability] A --> C[Advice on Third Party Common Law Liability] B --> D[Extracts from Track User Agreements] C --> D D --> E{Track User or Third Party Insurer Involved?} E -- YES --> F[Contact Third Party] E -- NO --> G[Appoint Solicitor] F --> H{\$ at Response} H -- YES --> G H -- NO --> E G --> I[Investigate Recovery Procedures] </pre>	<ul style="list-style-type: none"> • Solicitors to ARTC and Insurers • Solicitors to ARTC and Insurers • ARTC to Insurers • Insurers • Insurance Manager or Insurers • Insurers to Solicitors • Solicitors to Third Party 	<pre> graph TD A[Proactive Approach To Recoveries] --> B[Pro-rata Approach to: Costs, Proceeds] B --> C[Monthly Updates: Reports, Copies of Correspondence] C --> D[Instructions To Solicitors] D --> E[Assistance To Insurers & Solicitors] E --> F[Consideration of Offers of Settlement] F --> G[Abandonment Of Recovery Action] </pre>	<ul style="list-style-type: none"> • Solicitors to Third Parties • Insurers • ARTC • Solicitors to ARTC & Insurers • Insurers for > Deductible • ARTC for < Deductible • ARTC to Insurers & Solicitors • ARTC • Insurers • Solicitors • ARTC • Insurers • Solicitors

Table 1.5