




SAFETY CASE

Issue Number	Prepared (P), Reviewed (R), Amended (A)	Approved by	Date of Approval
ONE	(P) AEC Neilson, (R) ONTRACK Operations Management Committee 23/5/06 – Chair WJL Peet (COO)	 <hr/> (Chief Executive, ONTRACK)	4 April 2008

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1. INTRODUCTION

This Safety Case states compliance with section 30 of the Railways Act 2005 by way of cross-reference to ONTRACK's Rail Safety System Manual (RSSM).

The RSSM is the principal document defining ONTRACK's Rail Safety System, and is an annexed document to this Safety Case.

2. DEFINITIONS AND ABBREVIATIONS

Definitions applicable to this document are listed in the document "National Rail System Standard /1 "Definitions".

Abbreviations used in this document

RSSM	Rail Safety System Manual
NRS	National Rail System
NRSS	National Rail System Standard

3. CHANGES TO THIS SAFETY CASE

Periodic review, changes and updates to this Safety Case document will be the responsibility of the Risk and Safety Manager (as identified in the RSSM Appendix A), or delegated person. The Chief Executive must approve any amendments (or assign authority for approval).

Any changes will then be submitted to the Land Transport NZ as change variation notification of the ONTRACK Safety Case. Where necessary ONTRACK's RSSM document must also be updated and any changes concurrently submitted to the Land Transport NZ as change variation notification (refer to the RSSM section 1.5).

4. CROSS-REFERENCES BETWEEN RAILWAYS ACT AND RSSM

The following table details cross references between the Railways Act 2005 Section 30 and the RSSM.

Rlys Act Section 30 clause	Requirement on ONTRACK	RSSM References (by section)	RSSM Applicability
(1) (a)	Extent of ONTRACK rail activities and geographical location of those activities	1.4	List of ONTRACK rail activities
		2.2	<ul style="list-style-type: none"> Extent of the NRS explained NRS principal parameters listed List of principal rail operating documents that specify operating, geographical and signalling facilities,
		6.1	ONTRACK rail vehicle fleet details listed
		Appendix F	Map showing NRS network of railway lines
(1) (b)	ONTRACK's safety policy & objectives, and how policy and those objectives will be implemented or given effect	2.8	<ul style="list-style-type: none"> Reference to "Statement of Corporate Intent" Identification of issued Rail Safety Policies
		3.2	Management responsibility for implementation identified
(1) (c)	Management & organisational arrangements ONTRACK will establish to promote safety of its rail activities	3.1	Organisation scope explained
		3.2	Management responsibilities explained
		3.3	Operational System Plans for field staff
		2.1	Fig 1 – Schematic of the Approved Safety System
(1) (d)	Management systems that ONTRACK has in place to– <ul style="list-style-type: none"> Identify and assess safety risks arising from its rail activities develop & implement safety risk control measures 	3.6.1, 3.6.2	Risk Management methodologies are explained including; <ul style="list-style-type: none"> Identification and assessment of safety risks Development and implementation of control measures Use of multi-layered risk registers and treatment plans
(1) (e)	Safety risks arising from ONTRACK rail activities and details of the measures to be in place to mitigate those risks	3.6.1	<ul style="list-style-type: none"> The Macro Risk Register lists the primary safety risks Micro risk registers list detailed risks for specific asset classes (eg. bridges, level crossings) The Principal Risk Register lists the top level safety risks Mitigation measures are either specified on risk registers and/or listed in treatment, action or project plans All risk registers are subject to ongoing development, updating and improvement

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(1) (f)	Process for ensuring Interoperability arrangements between ONTRACK and other rail participants enhance rail safety.	1.3	Operators must be party to an Access Agreement with ONTRACK which covers a number of high level issues including; <ul style="list-style-type: none"> • legal, commercial and operating requirements • dispute resolution
		2.3.3	ONTRACK compliance with National Rail System Standards NRSS/6 and NRSS/7.
		4.1, 4.2	ONTRACK compliance with the Rail Operating Rules and Procedures, which are also applicable to all Rail Participants when operating and/or working on the Controlled Network (to ensure <u>all</u> Rail Participants interact to enhance rail safety).
		4.3, 4.4	ONTRACK Control of all trains and other rail vehicles on the Controlled Network
		4.5	Interoperability operating procedures between Operators applicable, and demarcation requirements with the Controlled Network broadly identified
		4.7	<ul style="list-style-type: none"> • Identifies requirements for the management and operation of Heritage Train Services • Covers use by an Operator of non-heritage rail vehicles owned or leased by another party
		4.8	Hook and Pull arrangements where more than one rail participant is involved
		4.9	Particular procedures and requirements for shunting are listed
		4.10	Particular procedures and requirements for Passenger safety on the NRS are listed
		5.2, 5.3	Maintenance demarcation responsibilities are listed for Track not owned by ONTRACK, including private sidings
		5.4	Maintenance demarcation responsibilities are listed for pedestrian subways and over-bridges
		5.5	Maintenance demarcation responsibilities are listed for station platforms and access ways
		5.7	Maintenance and certification responsibilities are listed for all onboard train control radio equipment, and those used for shunting and other local rail operations
		5.9	Maintenance demarcation responsibilities are listed for yard and station platform lighting
		6.1 - 6.7 inclusive	Requirements for the maintenance and certification requirements of ONTRACK owned rail vehicles (when carried out by Toll Rail).
Appendix E	Summary of the key maintenance responsibility interfaces between Toll NZ and ONTRACK are listed		

Rlys Act Section 30 clause	Requirement on ONTRACK	RSSM References (by section)	RSSM Applicability
(1) (g) (i)	Arrangements that are in place to ensure assets and equipment used, in safety terms, are fit for purpose	5.1, 5.4, 5.6, 5.7, 5.8, 6.2	Lists the principal documents (codes, etc) applicable for specifying design, construction, maintenance and inspection standards for the following; track, bridges, structures (including tunnels and culverts), signalling, communications, electric traction, and rail vehicles.
		7	Audit procedures to determine compliance
(1) (g) (ii)	Arrangements that are in place to ensure that safety critical tasks and activities are clearly identified	3.2	Management responsibility identified
		5.1, 5.4, 5.6, 5.7, 5.8, 6.2	Codes listed specify safety critical tasks
		9	Summary of supporting documents for operational level of Rail Safety System
(1) (g) (iii)	Arrangements that are in place to ensure that rail personnel carrying out safety-critical tasks and activities have received appropriate training and instruction	3.2	Requirement on senior management and Line Managers to ensure that staff meet all organisational defined standards, procedures and statutory requirements affecting rail safety
		3.5	Personnel assessment, training and competence requirements identified
		7	Audit procedures to determine that standards have been met
(1) (g) (iv)	Arrangements that are in place to ensure that the competence of rail personnel carrying out safety-critical tasks and activities have been appropriately tested	3.2	Requirement on senior management and Line Managers to ensure that staff meet all organisational defined standards, procedures and statutory requirements affecting rail safety
		3.5	Personnel assessment, training and competence requirements identified
		7	Audit procedures to determine that standards have been met
		Appendix B	ONTRACK technical and operational committees to oversee discipline specific training and competency, and ratify competency of Rail Personnel (where requirements are not adequately covered in standing documentation).
(1) (g) (v)	Arrangements that are in place to ensure that work practices and procedures are fit for their purpose	2.4, 9	Rail operational and engineering work practices are defined in supporting documentation (rules, codes and procedures). Includes all inspection, testing and maintenance processes.
		3.8	Occupational health and safety practice requirements are identified

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(1) (g) (v) cont.		3.9	<ul style="list-style-type: none"> Engineering and network operations work practices are reviewed and ratified by the ONTRACK technical committee process Field rail operations procedures on the NRS (that also affect ONTRACK staff) are reviewed and ratified by the Joint Technical Committee – Rail Operations Rules and Procedures as specified in NRSS/2
		7	Audit procedures to determine that practices and procedures are appropriate
		Appendix A	Designated officers and engineers have the ultimate responsibility to set and review standards and procedures.
(1) (h)	The arrangements for procuring and maintaining evidence to ensure that the measures and processes necessary for safety are working as intended, including (but not limited to)--		
	(i) <ul style="list-style-type: none"> the identification of key safety performance factors and measures including (but not limited to) accidents and incidents 	3.10	Key safety performance indicators used are listed
	(ii) <ul style="list-style-type: none"> the monitoring and recording of, and reporting on (both internally and to the Director), the key safety performance factors and measures, including (but not limited to) accidents and incidents 	3.10	Key safety performance indicators are measured and reported to the Board of Directors on a monthly basis.
		3.7	Specifies obligations to notify Land Transport NZ of Occurrences. Refers to NRSS/5 which details reporting responsibilities for ONTRACK and Operators, and provides guidance on reporting responsibilities to Land Transport NZ.
		Appendix D	Memorandum of Understanding currently effective with Land Transport NZ details occurrence notification requirements
	(iii) <ul style="list-style-type: none"> the regular supervision, inspection, monitoring, and audit of the rail participant's safety case, safety system, and licence conditions 	3.2	Requirement on senior management and Line Managers to ensure that staff are appropriately supervised
		7	Independent internal audit requirements to monitor compliance to the rail safety system
		9	Standing inspection, test, monitoring and audit requirements are defined in supporting documentation (rules, codes and procedures)
Appendix A		Requirement on the Risk and Safety Manager to ensure that sufficient audits are carried out to validate the robustness of Rail Safety System activity.	

Rlys Act Section 30 clause	Requirement on ONTRACK	RSSM References (by section)	RSSM Applicability
(iv)	<ul style="list-style-type: none"> when required, the provision of evidence to the Director substantiating the matters in subparagraphs (i) to (iii) 	3.7	Requirement specified
(1) (i)	The process by which, in consultation with the Director, the frequency of ordinary safety assessments under section 37 must be agreed.	7	Process specified
(1) (j)	The arrangements for ONTRACK to report to other relevant rail participants concerns about the state or performance of any rail vehicle, rail infrastructure, or railway premises that it considers have implications for the safe operation of the railway	1.3	Access Agreements provide for high level rights for both ONTRACK and Operators to report safety and performance issues, plus provide rights to ONTRACK to conduct safety reviews and inspections of Operators
		3.1	Regional Managers responsible for liaison with Operators and other Rail Participants on local issues
		3.2	Designated senior managers provide relationship management with various Rail Participants
		3.6.1	Communication of risks and treatment plans to affected Rail Participants
		3.7	Reporting requirements for operational accidents and incidents
		3.8	Reporting requirements for occupational safety and health
		3.9	Inter-organisational technical committees (as specified in NRSS/2) provide a forum to discuss issues of concern affecting other Rail Participants that may impact on Rules and Standards.
(1) (k)	The policies in place to ensure that ONTRACK's rail personnel– (i) are fit for duty; and (ii) are not suffering impairment or incapacity as a result of fatigue, illness, medication, drugs, alcohol, or any other factor	5.2, 5.3 2.8	Arrangements for Private Sidings Following policy documents are referenced; <ul style="list-style-type: none"> ONTRACK Health, Safety and Environment Policy ONTRACK Employee Wellbeing Policy Collective Agreements ONTACK Drug and Alcohol policy

Rlys Act Section 30 clause	Requirement on ONTRACK	RSSM References (by section)	RSSM Applicability
(1) (l)	The arrangements for ensuring that safety is maintained or continually improved despite changes in circumstances that may affect ONTRACK, its Rail Personnel, or any person that uses ONTRACK's services, including (but not limited to)-		
	(i) <ul style="list-style-type: none"> the continuous review of ONTRACK's activities to identify potentially significant changes (both internal and external) 	3.6.1	Changes may be identified by one or more of the following means; <ul style="list-style-type: none"> the weekly senior management safety meeting reviews incidents, and is part of ONTRACK's process to manage operational safety risks health and safety incident investigations and routine safety observations discipline specific safety management reviews project risk reviews reviews of the Principal Risk Register by the ONTRACK Operations Management Committee to confirm the prioritisation of the risks (based on recent incident history), and identify new risks for inclusion in the register.
		3.7	Outcome of an incident investigation may identify the need for a significant change
		7	Audit activity may identify the need for a significant change
	(ii) <ul style="list-style-type: none"> the review and revision of ONTRACK's safety case and safety system, as a whole and in its various parts, to ensure that its safety case and safety system continue to be the most appropriate. (Note – See Section 3 above for review and revision of this document).	1.5	Periodic review, changes and updates to the RSSM will be the responsibility of the Risk and Safety Manager or delegated person.
		2.6	Responsibility for control and management of the documentation associated with the Rail Safety System is with the person nominated as the Risk and Safety Manager or their nominated representative.
		3.9	<ul style="list-style-type: none"> Technical, safety and operational committees have role to review various discipline specific parts of the safety system. The ONTRACK Operations Management Committee has a reviewing role for any RSSM and Safety Case document changes and updates. Changes affecting any NRSS documents which will be binding on ONTRACK's safety system are dealt with through the Joint Technical Committee process referenced in NRSS / 2.
		3.11	Change management requirements identified

Rlys Act Section 30 clause	Requirement on ONTRACK	RSSM References (by section)	RSSM Applicability
(iii)	<ul style="list-style-type: none"> the identification of the areas of significant risk and the plans that are in place, or being developed to reduce those risks 	3.6.2	Principal safety risks identified by ONTRACK's risk management processes, are detailed in the Principal Risk Register, including existing control measures and proposes treatments to mitigate each risk.
(1) (m)	The arrangements for ensuring ONTRACK consults any representative of Rail Personnel (including but not limited to, unions) with respect to the development and variation to safety systems that affect, or are likely to affect, Rail Personnel	3.12	Change consultation requirements with representatives of Rail Personnel identified
(1) (n)	Any other matters that may be prescribed by the rules or that the Director considers appropriate in the interests of safety	3.13	Requirements specified