

CorporatePlan

2014 to 2017





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Chief Executive's message

The Office of the National Rail Safety Regulator (ONRSR) is now into its second year of operation as an organisation, and it is pleasing to note that we have delivered on our key first year milestones from our Corporate Plan 2013 to 2016.

Our Corporate Plan 2014 to 2017 is again a rolling three-year plan that outlines our activities, what we intend to achieve, and how we will continue to develop stakeholder relationships. We will measure our performance against this Plan.

Our Plan is framed by our aim, values and six key goals, which remain firm and unchanged from those of our previous Corporate Plan. These goals reflect the Council of Australian Governments (COAG) national reform objective: To improve the efficiency of transport regulation by establishing a national rail safety regulator.

The full benefit of the national reform will be realised when all jurisdictions are regulated by the ONRSR, providing the opportunity for a nationally consistent approach to rail safety regulation. All state and territory ministers have expressed and reaffirmed their commitment to enact applied or mirror Rail Safety National Law (RSNL) creating the national regulator.

Because all states have not yet transitioned, there are some significant consequences and delays in reducing industry regulatory burden, and implementing key safety initiatives nationally. For example, interstate operators still have some burden of multiple accreditations.

Our reviews of drug and alcohol and fatigue risk management legislative arrangements, while underway in participating jurisdictions, cannot be completed on a national scale until there is experience of the RSNL in all jurisdictions. It is for this reason we have deferred the completion of these reviews from 2016 to 2017.

Our vision as the national regulator, under a co-regulatory regime, is to encourage rail operators to work together to identify and manage the national risk through the adoption of quality safety standards. Our Plan includes working with industry and the Rail Industry Safety and Standards Board (RISSB) to that end. Our current national regulatory coverage, at this point, limits the encouragement and support we can provide.

I am pleased with the considerable co-operation that has developed between the ONRSR and the current regulators of non-participating jurisdictions on operational matters. This collaboration is selectively reducing operational inconsistencies and bodes well for when those remaining jurisdictions do transition.

We are investing considerable resources in upgrading our business systems to effectively position ourselves as a national organisation.

I am grateful for the positive stakeholder engagement with industry, unions and governments.

Rob Andrews

CHIEF EXECUTIVE



Who we are

The Office of the National Rail Safety Regulator (ONRSR) commenced operation on 20 January 2013. The ONRSR is a body corporate established under section 12 of the *Rail Safety National Law (Schedule to the Rail Safety National Law (South Australia) Act 2012)*.

Our primary objectives are to encourage safe rail operations, enforce compliance with the RSNL and promote and improve national rail safety.

We provide regulatory oversight of the RSNL in the jurisdictions of South Australia, New South Wales, Tasmania, the Northern Territory and Victoria. The Australian Capital Territory, Queensland and Western Australia have reconfirmed their commitment to pass the RSNL.

Our structure

The National Rail Safety Regulator and Chief Executive of the ONRSR is Rob Andrews.

The Chief Executive is supported by two Non-Executive Members, who were appointed by the Standing Council of Transport and Infrastructure Ministers. The role of the Non-Executive Members – Peter Batchelor and Catherine Scott – is to work with the Chief Executive to provide leadership, strategy and governance for the ONRSR.

The Chief Executive is supported by an Executive team covering a wide range of disciplines including Operations, Technical, Corporate, Policy, Planning, Communications and Legal.

Delivery of operational regulatory functions is undertaken by staff either directly employed by the ONRSR or through Service Level Agreements.

The national office of the ONRSR is located in Adelaide. The ONRSR has three branches:

- **Central branch** – direct employees responsible for South Australia, Tasmania and the Northern Territory
- **New South Wales branch** – employees of the NSW State Government operating under a Service Level Agreement
- **Victoria branch** – employees of the Victorian State Government operating under a Service Level Agreement.

Progressively, as the RSNL is passed, the other state regulator offices will form additional branches of the ONRSR, and the Australian Capital Territory will come under the auspices of the Central Branch. The ONRSR organisation chart is available on the ONRSR website www.onrsr.com.au.

What we stand for

OUR AIM

To enhance and promote rail safety through effective risk-based regulation.

OUR VALUES

Our values guide and inform the internal culture and external business conduct of the ONRSR.

INDEPENDENCE	We are independent from industry, political and individual influences
CO-REGULATORY	We support and encourage industry to operate safely and enforce compliance with the Law
EFFECTIVE	We are committed to working cooperatively with industry to improve rail safety
CLARITY	We actively engage and communicate with the rail industry and other stakeholders, and are unambiguous in the decisions we make
FAIRNESS AND INTEGRITY	We are open and honest in all we do and act with integrity at all times
LEADERSHIP	We are committed to building and maintaining a positive team culture between regulator and industry for a shared purpose on safety
RESPECT	We show respect for others at all times, value our people and support professional and personal development so that we attract the highest quality of people to our workforce

Statement of Intent

Our Statement of Intent outlines our priorities and describes our key functions and regulatory approach. These priorities provide the framework for the strategic and operational goals set out in this Corporate Plan. Our Statement of Intent was agreed by the Ministerial Council in May 2014 and is available on our website www.onrsr.com.au.

About this plan

Our Corporate Plan outlines our planned activities, strategic goals and milestones and how we will measure our performance over the next three years. The Corporate Plan supports the objectives of the COAG national rail reform: To improve the efficiency of transport regulation by establishing a national rail safety regulator.

The Corporate Plan is underpinned by an annual business plan and work programs which provide more specific objectives and set out more detailed priorities, in particular our operational activities. Our business plan has performance targets, and this annual plan along with our work programs are used as the basis for team and staff performance agreements.

Last year's performance

As detailed in the Corporate Plan 2013 to 2016, the ONRSR successfully delivered upon a large majority of the milestones set out for delivery in the financial year 2013 to 2014.

The areas where the ONRSR did not meet the milestones due for delivery in the year 2013 to 2014 relate largely to those where we were dependent either upon the industry program to develop safety standards, or jurisdictions to enact the RSNL. Additionally, our ambitions to develop a safety management system maturity tool have been a little delayed and our program to improve our IT systems has been adjusted to meet the needs of the transitioned jurisdictions.

Detailed achievements against our key performance indicators are contained in our Annual Report.

How we regulate

Our Regulatory Approach sets out our high level approach to regulating rail safety and achieving compliance with the RSNL. It describes our principal purpose, which is to oversee and enforce a national co-regulatory framework to enable and promote safe railway operations. This includes the administration of a national scheme of accreditation. The co-regulatory framework means that we support and encourage industry to operate safely and enforce compliance with the Law. Underpinning this framework is the RSNL which is set and monitored by governments and administered by us as the independent authority.

Within our Regulatory Approach, there are six key principles that describe the basis by which we regulate and which support our aims. These principles advise that our regulatory effort and compliance activity is independent and impartial; that we proactively encourage duty-holders under the RSNL to improve their knowledge, skills and standards leading to improvements in rail safety; that our compliance and enforcement activities are proportionate to the risks and potential benefits to safety; and that we are transparent, fair, accountable and consistent in our decision-making and safety actions.

This approach is supported and underpinned by our corporate goals and our policies, procedures and guidelines. In particular, our Safety Improvement Policy and Compliance and Enforcement Policy are the key policies that support our Regulatory Approach and provide the foundation for how we approach, deliver and enforce regulation.

Our Regulatory Approach and key policies are available on the ONRSR website www.onrsr.com.au.

Corporate risk management

Our Risk Management Policy supports the ONRSR's position that an effective regulatory risk management framework is an important success factor in achieving organisational goals. Our policy and framework reflect the principles and the processes outlined in the international risk management standard AS/NZS ISO 31000.

While risk cannot be entirely eliminated, we proactively identify our risks and implement appropriate mitigation strategies to address them. This is overseen by the ONRSR Audit and Risk Committee, which meets quarterly and is chaired by Non-Executive Member Catherine Scott. In addition, the committee approves the annual financial statements and reviews the detailed business risk register.

The committee undertakes regular reviews of our financial position and risks. These reviews focus on ensuring that we prioritise and mitigate risks that are associated with our operational environment. This includes risks associated with the transition of remaining jurisdictions into the national regulator and issues that may impact upon positive organisational reputation.

Our goals and milestones

The goals and measurable milestones outlined in our Corporate Plan provide a blueprint for all ONRSR activity over the next three years.

Our Plan sets out six clear goals:

- Maintain and improve rail safety through a risk based approach to regulation
- Reduce regulatory burden on industry
- Promote greater self-regulation by industry
- Prepare for and support the entry of other state regulators into the ONRSR
- Promote safety awareness and safety improvement initiatives and research
- Develop and enable our people to optimise internal capability and organisational effectiveness.

Our overarching priorities are to focus on robust safety regulation, ensuring compliance with the Law and encouraging improved safety performance, through the strategies outlined in our Safety Improvement Policy.

The first year of this Plan places emphasis on the transition of remaining state-based regulators into the ONRSR.

The second year of our Plan focuses on reducing regulatory burden for industry, including:

- seeing more multi-jurisdictional operators move to a single accreditation notice
- national consistency in the way we conduct compliance and enforcement activities
- establishing new, and reviewing existing, Memoranda of Understanding (MOUs) in order to reduce duplication.

The third year builds on work underway with industry to develop national standards including:

- a national data strategy to support greater harmonisation
- exploring and making recommendations to the Ministerial Council for regulatory consistency and practices for fatigue risk management and drug and alcohol management.

In acknowledgement of the specialist requirements of the Tourist and Heritage (T&H) sector we will work closely with peak bodies to achieve national consistency, and scalability and context of the application of the RSNL and development of specific safety standards.

Goal 1: Maintain and improve rail safety through a risk-based approach to regulation

One of our key priorities is to deliver a risk-based approach to safety. By working together with the rail industry to achieve this goal we can most effectively minimise the likelihood of major incidents, which may result in death or injury.

As a risk-based regulator we seek to identify and understand the local risks and the national trends, and consider rail safety lessons learned from incidents.

Our Rail Safety Officers work closely with rail operators to maintain and improve safety. In addition to annual scheduled activities there are also targeted initiatives which aim to improve safety through the sharing of information, checking for compliance and taking enforcement action if required. Direct regulation is undertaken locally by the operational branches, but co-ordinated nationally to ensure effective and consistent sharing of knowledge. Resources are utilised nationally according to risk while also maintaining levels of regulatory oversight within each branch.

The ONRSR plans to visit every accredited rail transport operation at least once per year. The work plan and priorities include but are not limited to:

- public safety in underground commuter railways
- rail transport operator arrangements for contractors undertaking work on their behalf
- rail transport operator approaches to safe working including competence and training of rail safety workers, fatigue risk management, compliance with rules and procedures such as safety critical voice communications, and track worker safety such as safe working practices in the field
- safety management system compliance including approaches to human factors obligations
- education and compliance enforcement of road/rail vehicle safety.

The ONRSR responds to incidents, accidents and third party investigation reports and undertakes its own formal investigations into potential breaches of the RSNL.

Our risk-based policy is set nationally and is based upon input from our National Operations Committee and industry stakeholders. In addition, analysis of individual and national performance data informs the development of these local and national priorities, and a risk-based work program enables us to regulate effectively.



Encouraging appropriate use of, and compliance with, industry generated standards is an ongoing priority. We are working with RISSB to develop and promote the use of these industry standards.

We recognise that the T&H sector would benefit from specialist regulatory skills and we are considering how best to address this once we regulate nationally.

We will progressively roll out our national drug and alcohol testing program, and undertake annual reviews.

MILESTONE	WHEN*
Determine and deliver the annual regulatory activity work program using a risk-based approach	Q3 annually
Determine and deliver against annual operational ONRSR key performance indicators	Q3 annually
Review effectiveness of Service Level Agreements	Quarterly
Undertake a national drug and alcohol testing program, with annual review	Ongoing
Support RISSB to develop and promote the use of industry generated standards	Ongoing

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Key performance indicators will be based on the following parameters and include, to some extent, the performance of industry

- Delivery of the national operations plan of audits and inspections
- Implementation of compliance recommendations by rail operators within agreed timeframes
- Enforcement actions undertaken by ONRSR and outcomes
- Results from ONRSR's drug and alcohol testing program
- Results from operators' drug and alcohol testing program.

Goal 2: Reduce regulatory burden on industry

As the national regulator we have a key role in reducing regulatory burden on the rail industry. When all the states and territories have transitioned to the ONRSR, the full potential benefit of the national reform will emerge.

By overseeing and enforcing a national co-regulatory rail safety regime, we are able to deliver a single consistent approach to regulation. We will administer a national scheme of accreditation and support the adoption of quality industry standards that can be applied across the country.

The development of an industry-led safety risk model and a national data strategy (included in goal 3) will result in consistent national safety data reporting and intelligence gathering, and assist in reducing regulatory burden on industry and management of risk reduction.

Through the established MOUs, we will continue to work with the various work, health and safety regulators and national transport organisations, including the Australian Transport Safety Bureau (ATSB) and National Transport Commission (NTC), as well as police agencies, to reduce areas of duplication.

MILESTONE	WHEN*
Continue to work with industry on the program for consolidating notices of accreditation to a single notice per accredited operator	Ongoing
Report to the Ministerial Council on the review of drug and alcohol and fatigue risk management arrangements under the RSNL to further enhance regulatory consistency	Q4 2017
Establish an MOU with competent authorities for the transport of dangerous goods by rail in NSW, NT, SA, Tasmania and Victoria	Q3 2014
Establish an MOU with the Victorian Office of the Chief Investigator and Victoria Police	Q3 2014
Establish MOUs with the NSW Office of Transport Safety Investigations and other work, health and safety regulators, and police agencies in transitioning jurisdictions	Q4 2014
Review of MOU with Heads of Workplace Safety Authorities (HWSA)	Q3 2014
Review of MOU with South Australia Police	Q4 2014
Review of MOUs with the ATSB and NTC	2016

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Key performance indicators will be based on

- Feedback from rail transport operators.

Goal 3: Promote greater self-regulation by industry

Our role as Regulator is to oversee, support and enforce compliance with the Law to eliminate or reduce risks so far as is reasonably practicable. Under a co-regulatory regime, industry is responsible for ensuring that the safety of rail operations is consistent with the RSNL and for developing the standards that should be applied across the industry. We will work with industry in the development of standards that enhance safety, interoperability and harmonisation, and endorse high quality risk-based standards, as well as supporting industry to better identify and manage its risks at an individual operator level and at a national level.

We believe that a national safety risk model needs to be developed and supported by appropriate data collection and data strategy, which may result in changes to data currently collected. Furthermore, such a model and data collection would best be funded and led by industry. It would be a central tool in the development of quality safety standards by industry. We will continue to strongly encourage and work with industry to that end.

The RSNL requires railway operators to collect and report certain occurrence data to us which is used to inform regulatory activities and also communicated back to industry so that the national safety picture is shared.

Pending development of a national rail safety risk model, the ONRSR will focus its attention on areas that it judges attract the greatest risk. Our Annual Safety Report will utilise data which is collected by rail operators and reported to us. We aim to emphasise occurrences that are most likely to contribute to safety risk rather than presenting solely 'counts' of incidents in a variety of wide categories to draw out broader safety intelligence.

MILESTONE	WHEN*
Agree with RISBB where ONRSR can participate and support the delivery of RISSB outputs	Q3 annually
Assist RISSB with the development of national standards, guidelines and products	As agreed with RISSB
Consult on data to be presented in the ONRSR Annual Safety Report	Q3 annually
Publish the ONRSR Annual Safety Report	Q4 annually
National data strategy developed in consultation with industry to support the industry risk model	2017
National data capture regulations reviewed (and if required modified) following the identification of requirements through the development of the risk model and data strategy	Once the safety risk model is developed and agreed

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Key performance indicators will be based on

- Development and national adoption of quality RISSB standards by industry.

Goal 4: Prepare for and support the entry of other state regulators into the ONRSR

We will continue to work closely with government representatives and the regulators in those jurisdictions that are yet to enact the RSNL: Ministers of those jurisdictions have already expressed their commitment and intention.

We will also continue to improve our systems in order to provide consistent and robust work practices and systems that meet the needs of our growing organisation.

MILESTONE	WHEN*
Support legislative development to enable the RSNL to be passed through remaining state parliaments	Ongoing
Provide the business and human resource systems and processes that are aligned with transitional timelines	Aligned with transitional timelines

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec



Goal 5: Promote safety awareness and safety improvement initiatives and research

We see economic and safety advantages in the rail industry acting as a single industry, to the extent practicable. In a co-regulatory environment this means we work with the rail industry to continuously improve rail safety.

We have a number of safety improvement functions for which we are responsible under the RSNL. We do this by:

- working with rail transport operators, rail safety workers, and others involved in railway operations to improve rail safety nationally
- conducting or supporting research and collecting and publishing information relating to rail safety
- providing or facilitating the provision of advice, education and training in relation to rail safety
- engaging in, promoting and coordinating the sharing of information to achieve the objects of the RSNL, including the sharing of information with a prescribed authority.

We support RISSB and meet regularly with key stakeholder groups, including union and industry members, to agree common safety awareness and improvement elements for endorsement and promotion, and utilise data analysis and reporting capabilities to inform these initiatives.

Our Safety Improvement Policy, published in December 2013, outlines several strategies for continuous safety improvement. These strategies focus on encouraging and working together with industry stakeholders to deliver key initiatives.

We are developing targeted risk-based safety improvement programs to assist the rail industry and are also identifying ways in which we can assist Rail Safety Officers to consistently execute their regulatory duties.

All existing safety publications are available via our online resource centre. Additionally, new safety publications will be progressively added.

MILESTONE	WHEN*
Publish Safety Bulletins	Quarterly ongoing
Continue to populate the online resource centre with education and awareness information	As information becomes available
Work with industry to develop a work program to implement the Safety Improvement Policy and Strategy	Ongoing
Develop an SMS maturity tool methodology for Rail Safety Officers to consistently apply	Q4 2014
Produce guidance on asset management (including scalability approach for T&H) in consultation with industry	Q3 2014

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Key performance indicators will be based on

- Industry commitment to improve safety by the uptake of safety improvement initiatives.

Goal 6: Develop and enable our people to optimise internal capability and organisational effectiveness

Our people are our most important asset.

Our values guide and inform our organisational culture and the way we interact with external rail stakeholders. We are a growing national organisation which brings together a diverse workforce with a common vision. We seek to attract and retain highly skilled professionals who are passionate about rail safety.

Specialist skill shortages, competition for resources and financial limitations are challenges that we must address by continuously working to improve our corporate systems and harness the corporate knowledge that supports what we do.

Promoting safe work practices and well-being through the creation of workplace health and safety (WHS) committees and employee groups will ensure engagement and consultation with staff. The ONRSR will promote the importance of leadership and accountability in line with the Chief Executive's Commitment to Safety statement.

We will ensure a workforce that has a clear understanding of our role and goals and provide ongoing employee training on ONRSR systems and processes. Appropriate training in risk and safety system skills has been developed. We continue to roll out the induction process to employees and obtain feedback, and make continuous improvement as we grow.

We are committed to robust risk management including regularly reviewing our risk register as an integral part of ensuring we optimise internal capability and organisational effectiveness. We regularly analyse, prioritise and identify actions needed to mitigate these risks and to ensure our financial, operational and corporate health.



The ONRSR has developed a three-year strategic Information Management and Technology (IM&T) plan to provide the direction of IM&T development over this period. A one-year IM&T operational plan has also been developed which details the IM&T projects between 2014 to 2015. These plans cover the information, application, technology and support domains.

MILESTONE	WHEN*
Maintain proactive monitoring of health, safety and welfare, and the effectiveness of the ONRSR workplace health and safety program in line with the Chief Executive's Commitment to Safety statement	Quarterly report to the Executive team via WHS committee and other employee consultation channels
Review current cost recovery arrangements and propose future methodology for the consideration of the Ministerial Council	Q4 2016
Maintain a financial system that will provide accurate data to report on the activities of the ONRSR and that enables analysis of individual jurisdiction data	Monthly financial reports to the Board and the Executive team
Active management of the ONRSR risk register by the Executive team on a monthly basis with the register presented at every Audit and Risk Committee meeting for review	Bi-annual report to the Board from the Audit and Risk Committee
Identification of training and development needs across the ONRSR's workforce. Training programs and activities to be undertaken will include: <ul style="list-style-type: none"> – development of a competency-based training program for all Rail Safety Officers – enhancement of the ONRSR training and development program to meet multi-jurisdictional requirements 	Q4 2014 Q2 2015

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Key performance indicators will be based on

- Delivery of ONRSR staff learning and development plans
- Staff satisfaction
- Fees recovered successfully from industry.

Our relationships and stakeholders

Our aim is to work together to enhance and promote rail safety through effective risk-based regulation. As jurisdictions join us, we will continue to develop our relationships with the wider rail industry – operators, unions, owners, contractors, maintainers – as well as state, territory and federal governments and agencies, rail safety associations and practitioners.

By employing a range of stakeholder engagement and communication activities, we will work cohesively in order to improve national rail safety and successfully meet our goals. We will continue to formally engage with a range of stakeholders including the unions and a senior industry reference group.

We report bi-annually to responsible transport ministers via the Ministerial Council from which budgetary and legislative authority and support is sought.

Additionally, we regularly communicate with bodies such as RISSB, Australian Tourist and Heritage Railway Association (ATHRA), the Australasian Railway Association (ARA) and the industry safety managers.

MILESTONE	WHEN*
Maintain a national communications plan	Annual ongoing
Annual stakeholder satisfaction survey	Establish benchmarks once all jurisdictions are part of the ONRSR and conduct survey annually thereafter

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec





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