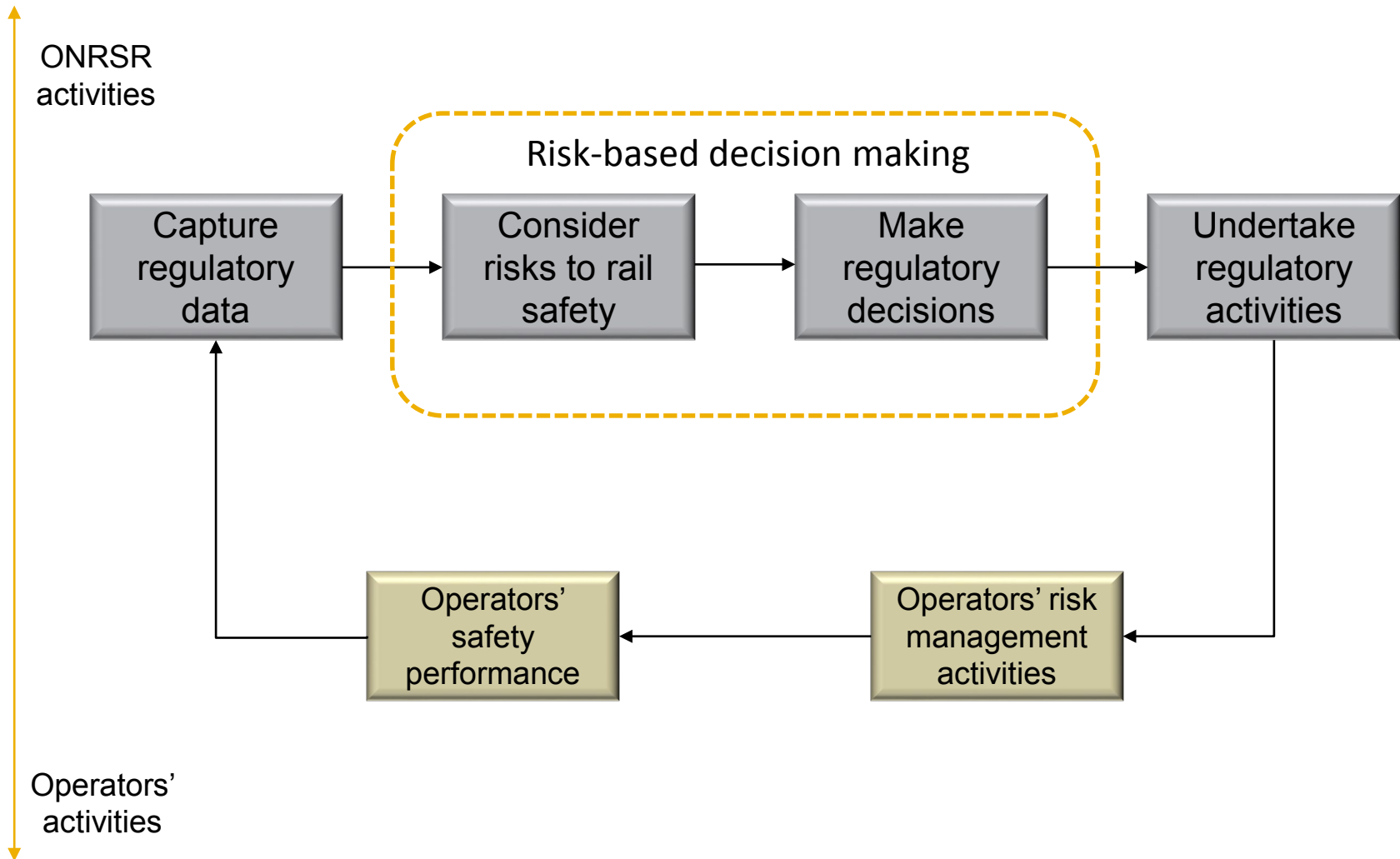


Regulatory Activities and Actions

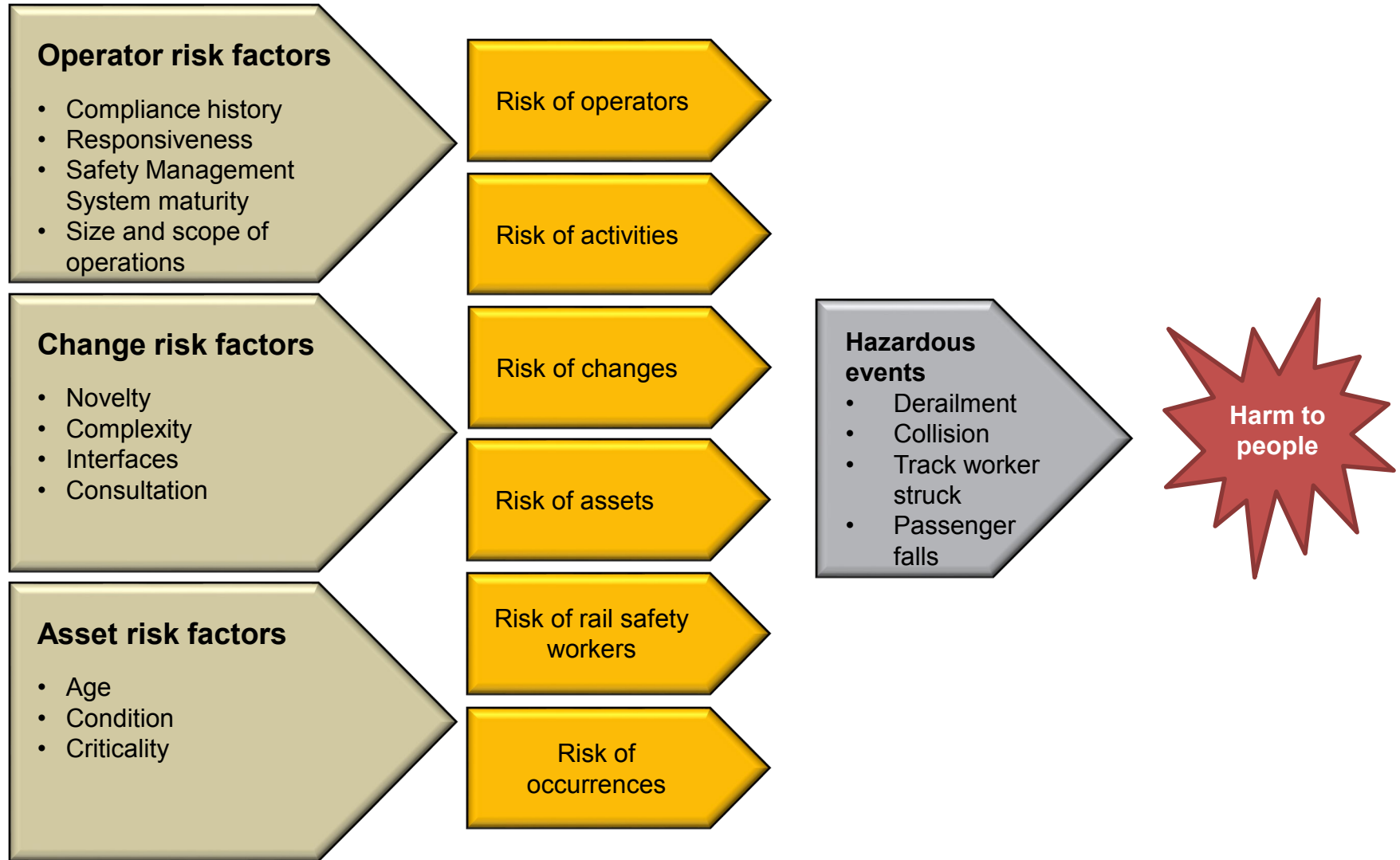
Paul Butler

29 November 2017

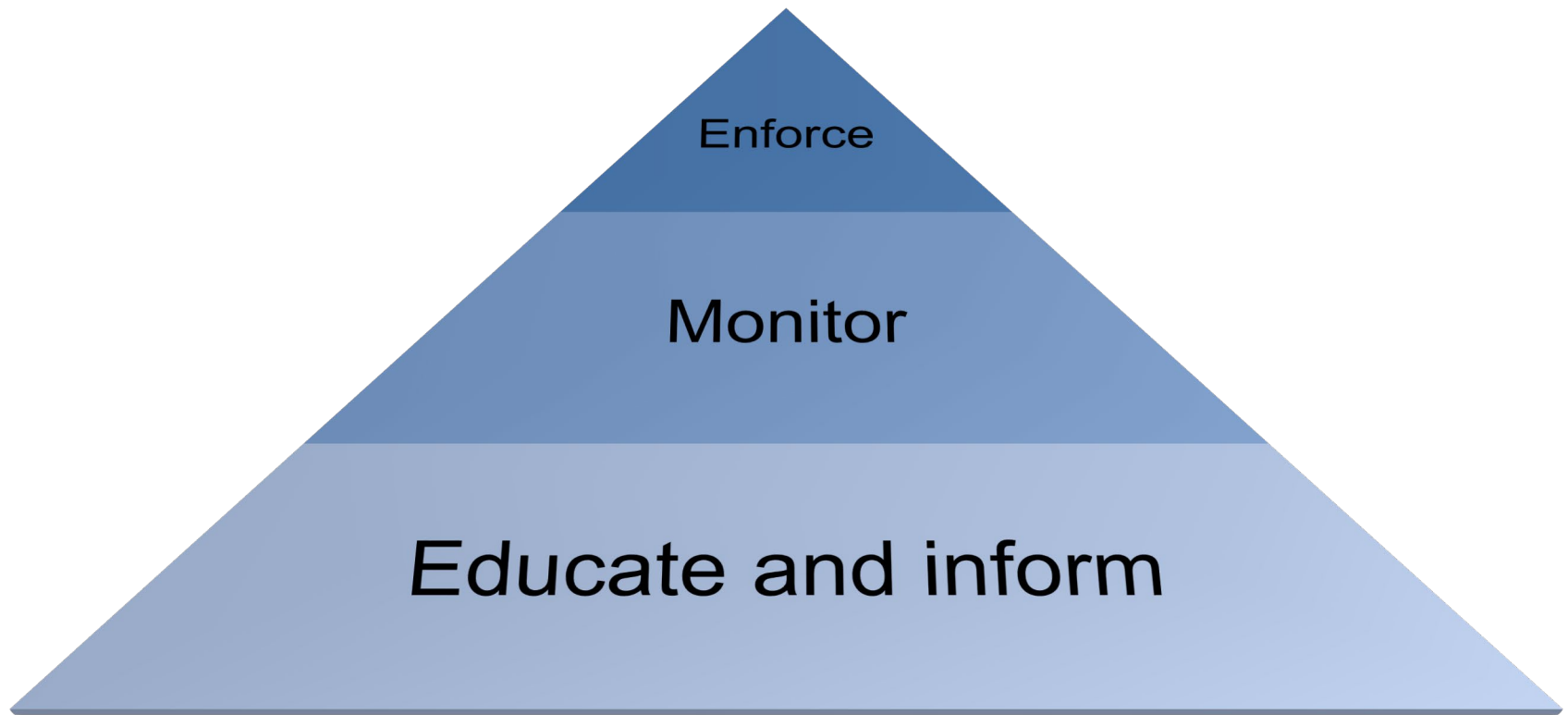
Risk Based Regulation



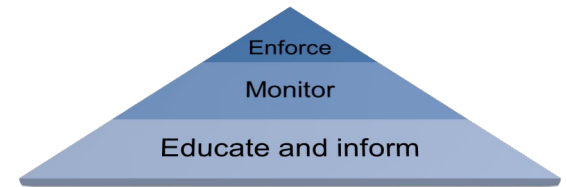
Understanding Risk



Regulatory approach



Types of Activity



Investigation

Inspection

Audit

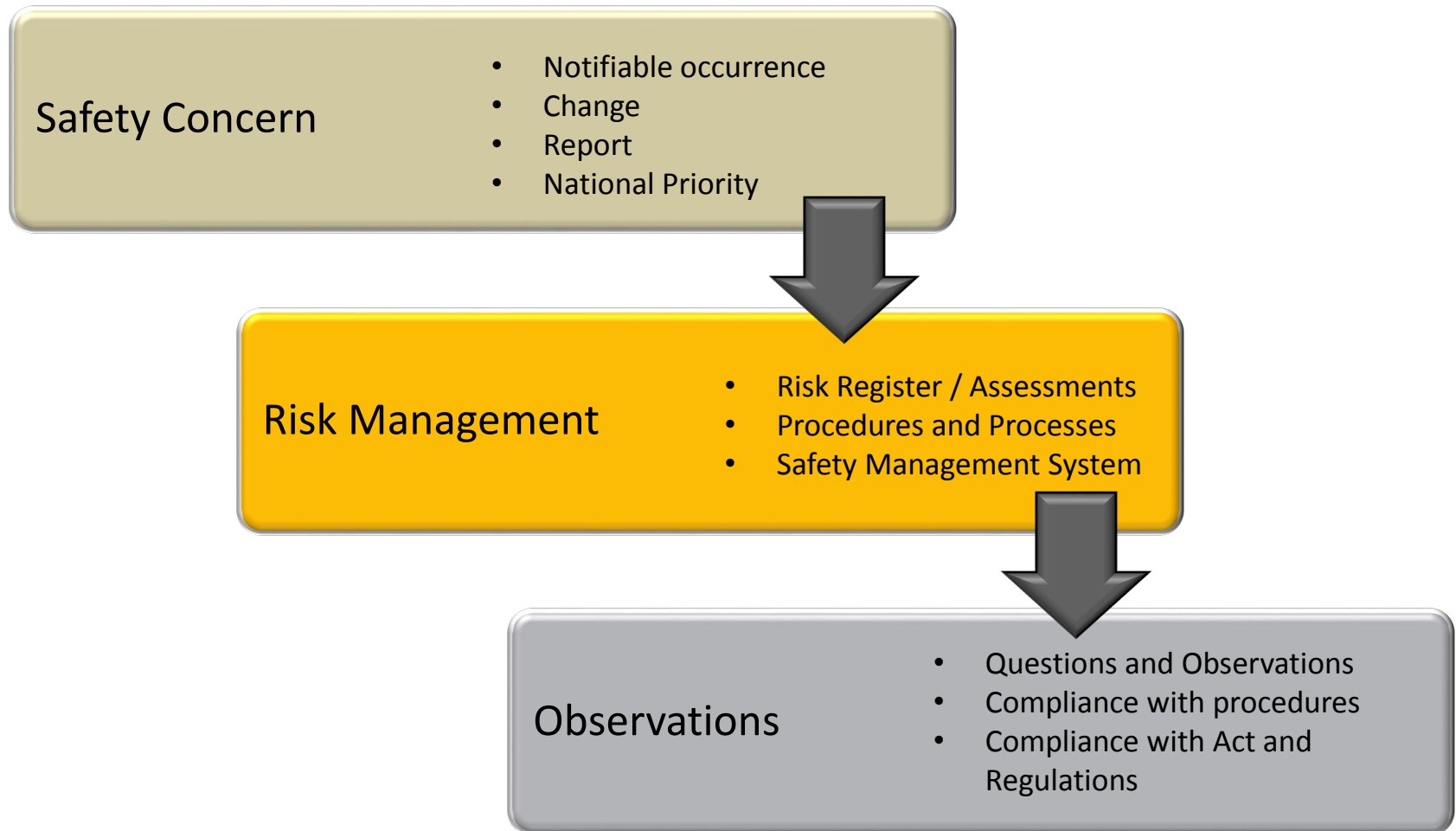
Meeting

Site Visit

Education

Forum

Compliance Inspection



Compliance Inspection Report

Scope

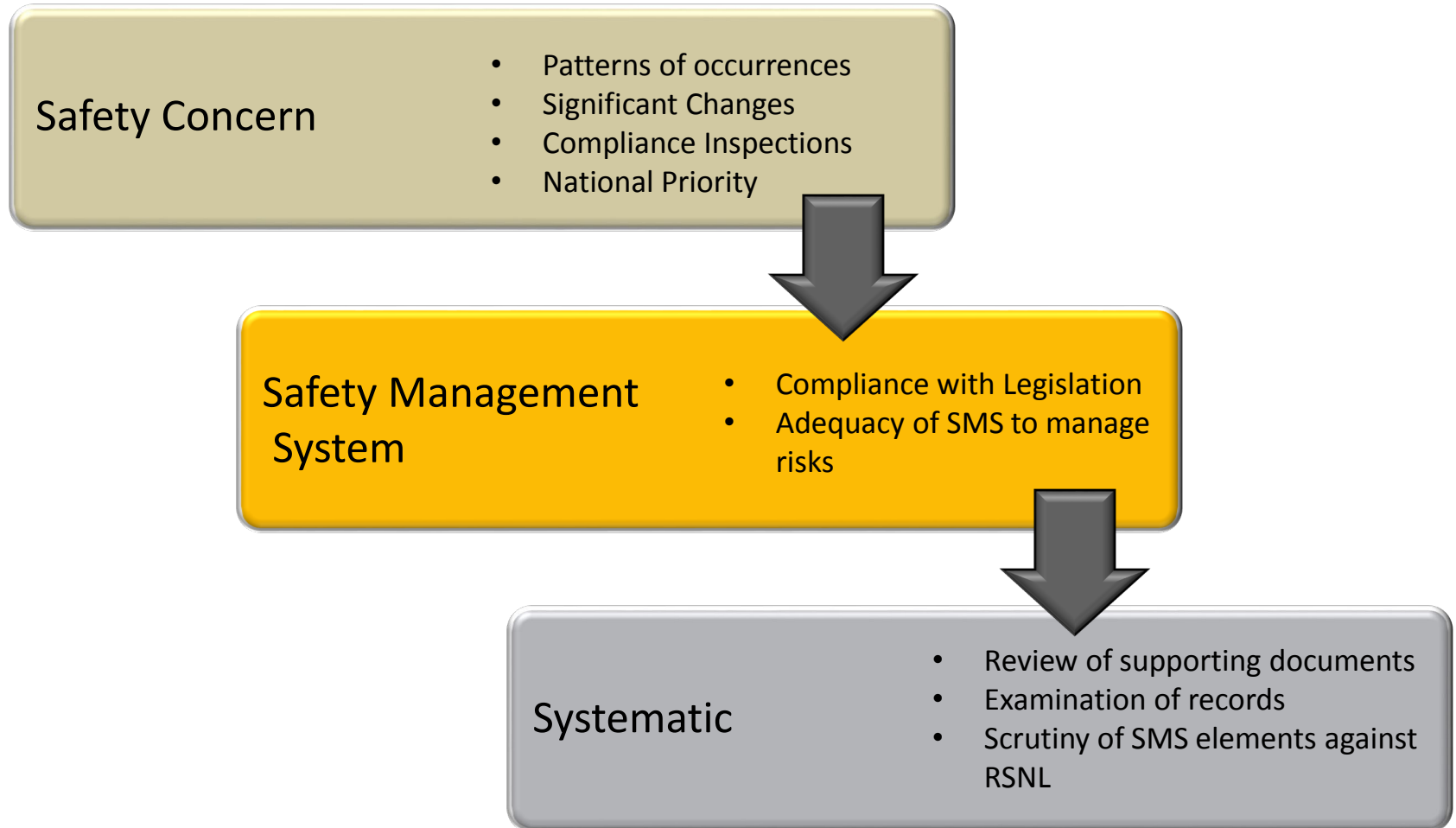
**What the Law
Requires**

**What Procedures
Require**

**Evidence –
Observations and
discussions**

Final Report Only

Audit



Audit Report

Scope

**What the Law
Requires**

**What the Regulations
require**

**Evidence – Systematic
Review of documents
and records**

- **Preliminary Report
– Factual Accuracy**
- **Final Report**

Actions

Non Conformance

The activity has identified :

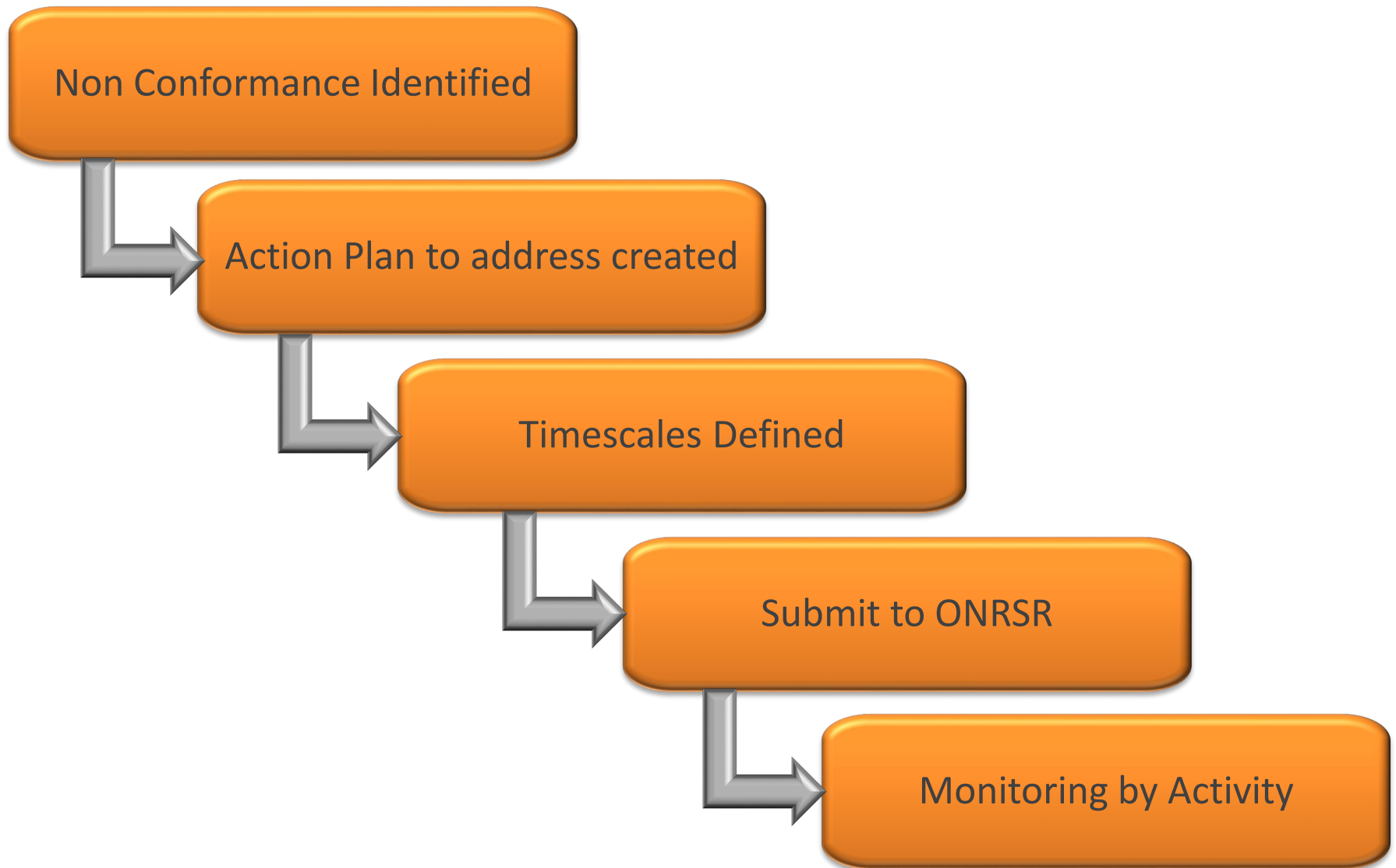
- The operator is not conforming with their own procedures or documented processes
- The operator has a procedure, process or practice which does not conform to the requirements of the RSNL
- The operator has a procedure, process or practice which does not conform to the requirements specified in the RSNR

Observation

The activity has identified :

- An opportunity exists for the operator to consider suggested improvements to the effectiveness of its safety management system in managing rail safety risks

The Action Plan





Questions ?