

Project Controls

Master Specification

PC-RW70 Rail Safety Management

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PC-RW70 Rail Safety Management

1 General

- 1.1 This Part specifies rail safety requirements that the Contractor shall comply with for rail asset and infrastructure projects delivered under the Rail Commissioner's Accreditation as a Rail Infrastructure Manager (RIM).
- 1.2 The Rail Commissioner's Safety Management System (SMS) applies to all works delivered under the Rail Commissioner's Accreditation.
- 1.3 The Rail Commissioner may adopt specific Contractor processes and procedures for the purpose of delivering the contract works, for the duration of the contract, as described in section 3.3.
- 1.4 The definitions in Rail Safety National Law (RSNL) and the following definitions apply to this part:
 - a) "DIT" means the Department for Infrastructure and Transport
 - b) "PTSA" means Public Transport South Australia, a division of DIT
 - c) "ID" means Infrastructure Delivery, a division of DIT
 - d) "Rail Commissioner" means the Rail Commissioner, a body corporate established pursuant to the Rail Commissioner Act 2009 SA
 - e) "Principal" means the Rail Commissioner
 - f) "RSNL" means the Rail Safety National Law (SA) Act 2012 and Regulations
 - g) "Contractor's personnel" includes the Contractor's employees, subcontractors, consultants and agents
- 1.5 The Contractor must comply to the following:
 - a) Rail Safety National Law (SA) Act 2012 and Regulations; and
 - b) Rail Commissioner's Safety Management System.
- 1.6 Where documents are not publicly available, the Contractor must contact the applicable rail operator or the Principal (as applicable) to obtain these documents.

2 Contractor's Rail Safety Obligations

- 2.1 The Rail Commissioner is the accredited RIM for the work under the Contract. To enable the Rail Commissioner to fulfil its obligations under the RSNL, the Contractor warrants to the Principal that it will implement all agreed systems, comply with such systems and will take all necessary actions in relation to its safety obligations under the Contract.
- 2.2 The Contractor shall act in such a way as to ensure the Rail Commissioner remains compliant to obligations under the RSNL, in relation to the scope of the contracted works.
- 2.3 The Contractor shall provide the Principal with access to all documentation and records related to safety management, upon request, for the purpose of audit, inspection or investigation by the Principal.
- 2.4 The Contractor must be an accredited Rolling Stock Operator under the RSNL to operate and manage construction rolling stock.

3 Rail Commissioner's (Rail) Safety Management System

- 3.1 The Rail Commissioner has a rail specific SMS that complies with the RSNL. As the accredited RIM, the Rail Commissioner's SMS must be complied with by anyone undertaking Rail Safety Work on behalf of the Rail Commissioner.
- 3.2 Due to the uniqueness of each rail asset project, the Rail Commissioner's SMS may incorporate elements of the Contractor's SMS necessary for the safe delivery of the rail infrastructure/assets for the duration of the project.

- 3.3 For each rail delivery project, the Contractor must agree with the Rail Commissioner the SMS arrangements to be followed for the life of the project and document that agreement in a “Safety Management System (SMS) Arrangements – Rail Commissioner Rail Asset & Infrastructure Projects” table as set out in Appendix 1.

4 Safety Interface Agreement

- 4.1 The Contractor must ensure a Safety Interface Agreement (SIA) is established no later than thirty (30) days after contract award.
- 4.2 The Contractor must work in collaboration with the Principal to develop the project-specific Safety Interface Agreement. The completion of the Safety Interface Agreement shall constitute a HOLD POINT and no work on site can commence until the HOLD POINT is released.

5 Contractor’s Rail Safety Management Plan

- 5.1 The Contractor shall develop a Rail Safety Management Plan (RSMP) specific to the scope of the project.
- 5.2 The Contractor must submit the RSMP no later than ten (10) working days after contract award and must be resubmitted in the event of revisions to the Contractor’s SMS.
- 5.3 Provision of the RSMP shall constitute a HOLD POINT.
- 5.4 If the Principal provides comment regarding any safety related documentation, the Contractor shall consider that comment and amend the documentation where necessary.
- 5.5 The RSMP must refer to processes from both the Contractor’s SMS and the Rail Commissioner’s SMS.
- 5.6 The Contractor shall identify:
- a) the processes and procedures within the Rail Commissioner’s SMS that will be implemented throughout the project and,
 - b) the processes and procedures within the Contractor’s SMS that will be implemented throughout the project, and therefore form part of the Rail Commissioner’s SMS, for the life of the project.
- 5.7 The Contractor shall record the outcomes of section 5.6 in a “Safety Management System (SMS) Arrangements – Rail Commissioner Rail Asset & Infrastructure Projects” table as set out in Appendix 1 and include the table in the Contractor’s RSMP.
- 5.8 The Contractor’s RSMP shall provide detail on the following items, as a minimum:
- a) The responsibilities and duties of the Contractor’s personnel in relation to RSNL;
 - b) How the Contractor will ensure that Contractor’s Personnel, working on the project, understand their duties under the RSNL and their obligations to comply with the Rail Commissioner’s safety management requirements as identified in the Contractor’s RSMP;
 - c) The Contractor’s Rail Accreditation details to operate Rolling Stock for the purposes of delivering rail infrastructure on the Adelaide Metropolitan Rail Network (AMPRN);
 - d) Records of certification to operate on the AMPRN, for all rolling stock to be used on the project;
 - e) Risk Management Plan;
 - f) Security Management Plan;
 - g) Emergency Management Plan;
 - h) Health and Fitness Management Program;
 - i) Drug and Alcohol Management Program;
 - j) Fatigue Risk Management Program;
 - k) Arrangements for incident reporting and incident management to comply with section 6;
 - l) Management of competencies in accordance with section 7 and including:

- i) how competencies held by all Contractor personnel performing Rail Safety Work have been mapped against the Rail Commissioner's minimum requirements;
 - ii) any gaps in competency will be identified, recorded, managed and achieved;
 - iii) records of assessed competencies for employees and subcontractors will be maintained;
 - iv) site specific inductions will be undertaken and recorded; and
 - v) evidence of competence and training of Rail Safety Workers (RSW) will be provided to the Principal.
- m) Training and Induction;
 - n) Internal and External Audit arrangements;
 - o) Human Factors; and
 - p) Subcontractor Management.

6 Incident Notification, Report and Investigation

- 6.1 The Contractor must nominate a person in the RSMP responsible for ensuring the coordination of notifiable occurrence reporting.
- 6.2 The Contractor must immediately notify the Principal of:
 - a) injury or "near miss" event with potential to occasion injury, or
 - b) notifiable occurrence as defined by Section 121 "Notification of Certain Occurrences" of the Rail Safety National Law and Regulation 57 "Reporting of Notifiable Occurrences.
- 6.3 The Contractor shall agree with the Principal, and record in the RSMP, the individual/s (Principal's nominee/s) that the Contractor will contact to make the notification/s.
- 6.4 The Contractor must provide:
 - a) an initial written notification report to the Principal of the incident within 24 hours of the incident occurring, and
 - b) an investigation report within 72 hours of the incident occurring.
- 6.5 The Contractor must provide all assistance necessary to any person authorised to conduct an investigation, including providing unrestricted access to the Contractor's personnel and records.
- 6.6 The Contractor must implement actions assigned to them, arising from preliminary investigation and the completed Investigation Report.

7 Contractor competencies

- 7.1 The Contractor's personnel shall not conduct Rail Safety Work on or associated with the AMPRN unless they have been assessed as meeting the Rail Commissioner's minimum competency requirements and recorded as such.
- 7.2 The Contractor must agree with the Rail Commissioner the minimum competency requirements for the Contractor's personnel to undertake the works and document these requirements in the Contractor's RSMP.

8 Reporting

- 8.1 The Contractor shall provide a monthly Rail Safety Report to the Principal. The report shall include the following:
- a) changes / reviews to documentation affecting project SMS arrangements,
 - b) Notifiable Occurrences,
 - c) actions arising from investigations and the status of those actions,
 - d) training completed / new workers competency,
 - e) hours worked by Rail Safety Workers (RSW),
 - f) details of any breaches of the Contractor's fatigue management plan, and
 - g) number of RSW on project for month as full time equivalents (FTE).
- 8.2 The Contractor must provide the monthly Rail Safety Reports to the Principal by no later than the second Wednesday of each month.

9 Hold Points

- 9.1 The following is a summary of Hold Points referenced in this Part:

Document Ref.	Hold Point	Response Time
5.3	Provision of Contractor's Rail Safety Management Plan (RSMP) and subsequent updates	10 working days
4.2	Safety Interface Agreement complete and signed by all parties	30 working days

10 Records

The Contractor must develop, maintain and supply all records as necessary to provide evidence of compliance with the requirements of this Part in accordance with the requirements of PC-RW60 "Asset Management Handover".

Appendix 1

SAFETY MANAGEMENT SYSTEM (SMS) ARRANGEMENTS – RAIL COMMISSIONER RAIL ASSET & INFRASTRUCTURE PROJECTS

This form is used to document the SMS arrangements that will be implemented for rail contract works carried out on behalf of the Rail Commissioner, under the Rail Commissioner’s Accreditation as a Rail Infrastructure Manager (RIM). Specific to the contract scope, the form shows which documents will be used in relation to each SMS element.

SMS documents to be used for the contract works will belong to either the Rail Commissioner or the Contractor, as appropriate, as indicated on the form.

The SMS elements and associated requirements listed in the form are from the *Rail Safety National Law National Regulations 2012, Schedule 1*. If the element / requirement is not applicable to the work being carried out, mark as N/A. If, however the work is of a more complex nature, it may be necessary to consider and include additional elements to this form.

SMS Element	Requirements	Rail Commissioner Document/s <i>✓ or N/A</i>	Contractor Document/s <i>✓ or N/A</i>	Documents <i>List the documents that will apply to the contracted works, with title and reference</i>
Safety Policy	A policy that commits to ensuring safety, the development and maintenance of a positive safety culture and the continuous improvement of all aspects of the SMS.			
Safety culture	Methods to promote and maintain a positive safety culture.			
Governance and internal control arrangements	Systems and procedures describing the governance structure that enables the company to achieve its business objectives and meet regulatory requirements.			
Management, responsibilities, accountabilities and authorities	Policies that show how safety responsibilities, accountabilities, authorities and interrelationships have been determined, and documents that describe them for personnel who manage the SMS.			
Regulatory compliance	Procedures for the identification of, and compliance with, requirements under rail safety legislation and other relevant safety legislation.			
Document control arrangements and information management	Systems and procedures for the control and management of all documents and information relevant to the management of safety risks, which should also include the identification, creation, maintenance, management, storage and retention of records and documents, keeping documents required for operation current, and communicating any changes to anyone who relies on the document control systems and procedures to carry out their work.			

SMS Element	Requirements	Rail Commissioner Document/s <i>✓ or N/A</i>	Contractor Document/s <i>✓ or N/A</i>	Documents <i>List the documents that will apply to the contracted works, with title and reference</i>
Review of the SMS	Systems and procedures for the review of the safety management system.			
Safety performance measures	Systems and procedures to ensure that the safety management system is effective by using key performance indicators to measure safety performance and to determine its effectiveness, and to ensure the collection, analysis, assessment and dissemination of safety information.			
Safety audit arrangements	A risk-based audit program that covers the scheduling and frequency of audits, including audits of the SMS, procedures to ensure auditors have the appropriate skills and knowledge and are independent, that information is collected to show that the SMS is being complied with and the effectiveness of the SMS, results are communicated, corrective action is undertaken where required.			
Corrective actions	Procedures to ensure corrective actions are taken in response to any safety deficiencies identified during inspections, testing, audits, investigations or notifiable occurrences. This should include registration, review and implementation of corrective actions, assigning of responsibilities and giving priority, when undertaking corrective action, to those matters representing the greatest safety risk.			
Management of change	Procedures for ensuring changes, that may affect the safety of railway operations, are introduced safely. This includes understanding and clearly describing the scope and nature of the change and its affects, consulting with affected parties, identifying and allocating responsibilities, informing and training affected parties, identifying and assessing any risks to safety, and monitoring and reviewing the effectiveness of the change.			
Consultation	Systems and procedures to ensure that the consultation required when establishing, varying or reviewing the safety management is undertaken with prescribed personnel.			
Internal communication	Systems and procedures for the dissemination of information about the content of the safety management system to those who are to participate in its implementation or who may be otherwise affected by the implementation, also for the communication of the safety policy and safety objectives, internal reporting of accidents and incidents, and to support communication and dissemination of information throughout, and between all levels of, the operator's railway operations.			

SMS Element	Requirements	Rail Commissioner Document/s <i>✓ or N/A</i>	Contractor Document/s <i>✓ or N/A</i>	Documents <i>List the documents that will apply to the contracted works, with title and reference</i>
Training and instruction	Processes to ensure rail safety workers understand their role and responsibilities as part of the SMS, and how information, instruction and training on new work practices, procedures, policies and standards, specified hazards and relevant control measures will be provided.			
Risk management	<p>Procedures for the management of risk, so far as is reasonably practicable, to ensure risks are identified, assessed and eliminated or controlled.</p> <p>A risk register to record identified risks to safety, details of how they have been assessed and a description of any elimination or risk control measures that will be used, including, where appropriate, details of who is responsible for implementing the measures and a reference to the general location(s) in the SMS where more detail of the measures can be found.</p>			
Human factors	Procedures to ensure consideration of human factors in the SMS and integration of human factors principles and knowledge into relevant aspects of operational and business systems.			
Procurement and contract management	Processes to ensure safety-related requirements are agreed and documented, terms in tender documents or contract do not lead to unsafe work, appropriate selection and control of contractors and monitoring of their performance, safety duties are being met, goods and services provided are appropriate to ensure the safety of the railway operations.			
General engineering and operational systems safety requirements	<p>A documented set of engineering standards and procedures, and operational systems, safety standards and procedures covering rail infrastructure, rolling stock and operational systems, and the interface between any two or more of them, if relevant.</p> <p>Details of the implementation and updating of these documents.</p> <p>Design control and verification procedures.</p> <p>For rail infrastructure and rolling stock, systems, procedures and standards for engineering design, construction and installation, implementation and commissioning, monitoring and maintenance, system operation, modification, decommissioning or disposal.</p> <p>Safe work procedures.</p>			

SMS Element	Requirements	Rail Commissioner Document/s <i>✓ or N/A</i>	Contractor Document/s <i>✓ or N/A</i>	Documents <i>List the documents that will apply to the contracted works, with title and reference</i>
	List all the engineering standards, including infrastructure, plant, rolling stock, and safeworking rules that are applicable to the work being carried out. List any network notices that may be relevant.			
Process control	Procedures for monitoring compliance with standards and procedures specified under the 'General engineering and operational systems safety requirements' element, including procedures for the inspection and testing of safety related engineering and operational systems. Procedures for control, calibration and maintenance of all equipment used to inspect or test rail infrastructure or rolling stock, and for management of inspection and test records to provide evidence of their condition.			
Asset management	An asset management policy and processes that detail how assets will be managed through all phases of the asset lifecycle, configuration management requirements, who has responsibility and accountability managing asset safety.			
Safety interface coordination	Establish agreements to effectively manage risks to safety at interfaces. List any related Safety Interface Agreement(s).			
Management of notifiable occurrences	Systems and procedures for reporting notifiable occurrences to the specified authority within set timeframes and including required information, managing the scene of a notifiable occurrence, preserving evidence, and managing all notifiable occurrences including determining which will be investigated.			
Rail safety worker competence	Procedures and processes to ensure rail safety workers who carry out rail safety work have the competence to do so.			
Security management	Plans, systems and procedures to protect, respond and recover from theft, assault, sabotage, terrorism and other criminal acts of other parties and from other harm and terrorist acts across the network.			
Emergency management	Plans, systems and procedures to respond to emergencies.			

SMS Element	Requirements	Rail Commissioner Document/s <i>✓ or N/A</i>	Contractor Document/s <i>✓ or N/A</i>	Documents <i>List the documents that will apply to the contracted works, with title and reference</i>
Health and fitness	A program that complies with prescribed requirements, for the management of health and fitness for rail safety workers who carry out rail safety work.			
Drugs and alcohol	A program that complies with prescribed requirements, to ensure rail safety workers do not carry out rail safety work while impaired by alcohol or drugs.			
Fatigue risk management	A program, that complies with prescribed requirements, for the management of fatigue of rail safety workers who carry out rail safety work.			
Resource availability	Systems and procedures for ensuring adequate resources for the contract, operations and safety systems.			