



Western Australia

Rail Safety National Law (WA) Act 2015

## **Rail Safety National Law (WA) Regulations 2015**

---

As at 16 Oct 2015

Version 00-a0-00

Extract from [www.slp.wa.gov.au](http://www.slp.wa.gov.au), see that website for further information



Western Australia

# **Rail Safety National Law (WA) Regulations 2015**

## **Contents**

### **Part 1 — Preliminary**

1.	Citation	1
2.	Commencement	1

### **Notes**

	Compilation table	2
	Provisions that have not come into operation	2



## **Rail Safety National Law (WA) Regulations 2015**

### **Part 1 — Preliminary**

#### **1. Citation**

These regulations are the *Rail Safety National Law (WA) Regulations 2015*.

#### **2. Commencement**

These regulations come into operation as follows —

- (a) regulations 1 and 2 — on the day on which these regulations are published in the *Gazette*;
- (b) the rest of the regulations — on the day on which the *Rail Safety National Law (WA) Act 2015* section 4 comes into operation.

*[3-7. Have not come into operation<sup>2</sup>.]*

*[Parts 2-9 have not come into operation<sup>2</sup>.]*

*[Schedules 1 and 3 have not come into operation<sup>2</sup>.]*

## Notes

- <sup>1</sup> This is a compilation of the *Rail Safety National Law (WA) Regulations 2015*. The following table contains information about those regulations <sup>1a</sup>.

### Compilation table

Citation	Gazettal	Commencement
<i>Rail Safety National Law (WA) Regulations 2015</i> r. 1 and 2	16 Oct 2015 p. 4187-262	16 Oct 2015 (see r. 2(a))

- <sup>1a</sup> On the date as at which this compilation was prepared, provisions referred to in the following table had not come into operation and were therefore not included in this compilation. For the text of the provisions see the endnotes referred to in the table.

### Provisions that have not come into operation

Citation	Gazettal	Commencement
<i>Rail Safety National Law (WA) Regulations 2015</i> r. 3-7, Pt. 2-9 and Sch. 1 and 3 <sup>2</sup>	16 Oct 2015 p. 4187-262	2 Nov 2015 (see r. 2(b) and <i>Gazette</i> 16 Oct 2015 p. 4149)

- <sup>2</sup> On the date as at which this compilation was prepared, the *Rail Safety National Law (WA) Regulations 2015* r. 3-7, Pt. 2-9 and Sch. 1 and 3 had not come into operation. They read as follows:

#### 3. Terms used

In these regulations, unless the contrary intention appears —  
**Category A notifiable occurrence** has the meaning given in regulation 57;

**Category B notifiable occurrence** has the meaning given in regulation 57;

**Law** means the Rail Safety National Law as set out in the Schedule to the Act;

**National Transport Commission** means the body of that name established under the *National Transport Commission Act 2003* (Commonwealth);

**network rules** means the rules, systems and procedures relating to railway operations established or adopted by a rail infrastructure manager to ensure the safety of the manager's railway operations for the purposes of section 52(3)(c) and (4)(c) (Duties of rail transport operators) of the Law;

**relevant emergency services** means emergency services that would be expected to attend a notifiable occurrence;

**SA regulations** means the *Rail Safety National Law National Regulations 2012* (South Australia).

**4. Definition of occupational health and safety legislation**

The *Occupational Safety and Health Act 1984* is prescribed for the purposes of the definition of **occupational health and safety legislation** in section 4 (Interpretation) of the Law.

**5. Declaration of drug**

For the purposes of paragraph (a) of the definition of **drug** in section 4 (Interpretation) of the Law, a substance included in a Schedule to the current Poisons Standard within the meaning of the *Therapeutic Goods Act 1989* (Commonwealth) is declared to be a drug.

**6. Meaning of prescribed notifiable occurrence**

A prescribed notifiable occurrence is a Category A notifiable occurrence (other than a Category A notifiable occurrence referred to in regulation 57(1)(a)(v)).

**7A. Numbering**

In order to maintain consistent numbering between these regulations and the SA regulations —

- (a) if the SA regulations contain a regulation that is not required in these regulations, the provision number and heading to the regulation appearing in the SA regulations are included in these regulations despite the omission of the body of the regulation; and
- (b) if these regulations contain a regulation that is not included in the SA regulations, the regulation is numbered so as to maintain consistency in numbering between regulations common to both regulations.

Note 1: A note appears under each heading of a kind referred to in paragraph (a) describing the omitted regulation of the SA regulations.

Note 2: A note appears under each regulation of a kind referred to in paragraph (b) highlighting the non-appearance of an equivalent regulation in the regulations.

Note 3: Some regulations contained in the regulations and included in these regulations have been modified for consistency with State law and practice.

Note 4: This regulation does not appear in the SA regulations.

**7B. Notes**

Notes in these regulations are provided to assist understanding and do not form part of these regulations.

Note: This regulation does not appear in the SA regulations.

**7. Railways to which Law does or does not apply**

Note: The SA regulations provide for railways to which the Law does not apply.

**Part 2 — Accreditation**

**8. Application for accreditation**

For the purposes of section 64(2)(c) (Application for accreditation) of the Law, an application for accreditation must contain —

- (a) the following identification details of the applicant —
  - (i) the applicant's name;
  - (ii) the applicant's registered business name and trading name (if different from the registered business name);
  - (iii) the applicant's ACN if the applicant has an ACN (but, if not, the applicant's ABN);
  - (iv) the applicant's residential address or, in the case of a body corporate, registered business address;and
- (b) the name and contact details of the person or persons appointed by the applicant —
  - (i) to deal with any queries that the Regulator may have in relation to the application; and
  - (ii) to deal with any queries that the Regulator may have in relation to accreditation; and
  - (iii) to deal with any queries that the Regulator may have in relation to the safety management system;and
- (c) in the case of a rail infrastructure manager who does not own the rail infrastructure — documentary evidence that the manager has, or will have, management and control of the rail infrastructure; and
- (d) a description of the operational assets, or classes of operational assets, that the applicant intends to use or manage in the operations in respect of which the application is made, including any stations, signal and train control centres, signalling systems and rolling stock for service and maintenance activities; and
- (e) a description of the communications systems and network rules that the applicant intends to use in the operations in respect of which the application is made; and



- (f) in the case of a rolling stock operator — documentary evidence that the applicant has, or will have, effective management and control of the operation or movement of the rolling stock on rail infrastructure for a particular railway; and
- (g) if electrified railway tracks will be used — details of the electrification; and
- (h) details of the consultation undertaken by the applicant in relation to the applicant's safety management system, including —
  - (i) who was consulted; and
  - (ii) when and how the consultation occurred; and
  - (iii) the results of the consultation;and
- (i) if the applicant is not an individual — evidence that the application has been submitted to and endorsed —
  - (i) if the applicant is a body corporate —
    - (A) that is a company within the meaning of the *Corporations Act 2001* (Commonwealth) — in accordance with section 127 of that Act; or
    - (B) in any other case — by its governing body;
  - (ii) if the applicant is a partnership — by each partner;
  - (iii) if the applicant is an unincorporated association or body — by its governing body;and
- (j) if any of the activities that the applicant intends to carry out under the accreditation are to be carried out by any other person on behalf of the applicant —
  - (i) the name and contact details of each such person; and
  - (ii) details of the activities that it is intended the person will carry out on behalf of the applicant.

**9. Prescribed conditions and restrictions**

- (1) For the purposes of section 67(2)(a) (Determination of application) of the Law, any accreditation granted to a rail transport operator is subject to the following conditions and restrictions —
  - (a) the operator must notify the Regulator in writing of any of the proposed decisions, proposed events or changes

listed in column 2 of the Table in accordance with the requirement specified in column 3 of the Table with respect to that item —

**Table**

<b>Item</b>	<b>Decision, event or change</b>	<b>When notification must be given</b>
1	A decision to design or construct, or to commission the design or construction of, rolling stock or new railway tracks.	As soon as is reasonably practicable after the decision is made.
2	The introduction into service of rolling stock of a type not previously operated by the operator, or the re-introduction into service of rolling stock not currently operated by the operator.	At least 28 days before the date the operator intends to introduce or re-introduce the rolling stock into service.
3	A change to a safety critical element of existing rolling stock.	At least 28 days before the date the operator intends to bring the change into operation.
4	A change to 1 or more of the classes of rail infrastructure used in the operator's railway operations.	At least 28 days before the date the operator intends to introduce the new class of rail infrastructure into service.
5	A change to a safety standard for the design of rail infrastructure or rolling stock.	At least 28 days before the date the operator intends to adopt the change.
6	The decision to adopt a new safety standard for the design of rail infrastructure or rolling stock.	At least 28 days before the date the operator intends to adopt the new standard.

<b>Item</b>	<b>Decision, event or change</b>	<b>When notification must be given</b>
7	A change to the frequency of, or procedures for, the inspection or maintenance of railway infrastructure or rolling stock.	At least 28 days before the date the operator intends to bring the change into effect.
8	A change to the network rules relating to the conduct of the operator's railway operations.	In accordance with the provisions of Part 4 Division 4 of the regulations.
9	A decision to introduce a new network rule relating to the conduct of the operator's railway operations.	In accordance with the provisions of Part 4 Division 4 of the regulations.
10	A decision to change any work scheduling practices and procedures set out in the operator's fatigue risk management program.	At least 28 days before the date the operator intends to bring the change into effect.
11	The replacement, or a change in the contact details of any person appointed under regulation 8(b).	As soon as is reasonably practicable after it is known the replacement or change will occur.
12	A change in the operator's name or residential address, or the operator's business or trading name, or in the case of a body corporate, a change in the name or registered business address of the body corporate.	As soon as is reasonably practicable after the change is made.

- (b) the operator must ensure that, at all times —
- (i) one of the operator's directors or managers is available as a contact person should the Regulator wish to communicate with the operator; and

- (ii) the Regulator is provided with sufficient details so that, for any particular time, the Regulator knows who the contact person is and how to contact that person;
  - (c) if it is not possible to comply with any other requirement specified in this subregulation because of an emergency — the operator must provide the Regulator with the required information as soon as is reasonably practicable after the decision is made or the event or the change occurs (as the case may be).
- (2) Nothing in subregulation (1) is intended to require an accredited person to notify the Regulator of any matter that is the subject of an application for the variation of the accreditation.

**10. Prescribed details for required notification**

For the purposes of sections 67(4)(b)(i) (Determination of application) and 69(2)(b)(i) (Determination of application for variation) of the Law, the prescribed details of the applicant required to be specified in the notification are the details required by regulation 8(a).

**11. Application for variation of accreditation**

For the purposes of sections 68(3)(b) (Application for variation of accreditation) and 71 (Variation of conditions and restrictions) of the Law, an application for a variation of an accreditation, or an application for a variation of a condition or restriction imposed by the Regulator, must contain —

- (a) the details required by regulations 8(a) and 8(b); and
- (b) details of the scope and nature of the proposed variation; and
- (c) details of the changes that will be made to the applicant's safety management system if the proposed variation occurs; and
- (d) details of any consultation that has occurred with the parties who might be affected by the proposed variation, including —
  - (i) who was consulted; and
  - (ii) when and how the consultation occurred; and
  - (iii) the results of the consultation;and
- (e) evidence to demonstrate that the applicant has the competence and capacity to manage the risks to safety associated with the proposed variation.

**Part 3 — Registration of rail infrastructure managers  
of private sidings**

**12. Application for registration**

- (1) For the purposes of section 84(2)(a)(v) (Application for registration) of the Law, an application for registration must contain —
- (a) the following identification details of the applicant —
    - (i) the applicant's name;
    - (ii) the applicant's registered business name and trading name (if different from the registered business name);
    - (iii) the applicant's ACN if the applicant has an ACN (but, if not, the applicant's ABN);
    - (iv) the applicant's residential address or, in the case of a body corporate, registered business address;and
  - (b) the name and contact details of the person or persons appointed by the applicant —
    - (i) to deal with any queries that the Regulator may have in relation to the application; and
    - (ii) to be responsible for registration and to deal with any queries that the Regulator may have in relation to registration;and
  - (c) if the applicant is not an individual — evidence that the application has been submitted to and endorsed —
    - (i) if the applicant is a body corporate —
      - (A) that is a company within the meaning of the *Corporations Act 2001* (Commonwealth) — in accordance with section 127 of that Act; or
      - (B) in any other case — by its governing body;
    - (ii) if the applicant is a partnership — by each partner;
    - (iii) if the applicant is an unincorporated association or body — by its governing body;and

- (d) if any of the activities that the applicant intends to carry out under the registration are to be carried out by any other person on behalf of the applicant —
    - (i) the name and contact details of each such person; and
    - (ii) details of the activities that it is intended the person will carry out on behalf of the applicant;
  - and
  - (e) copies of any interface agreement to which the applicant is a party.
- (2) For the purposes of section 84(2)(a)(iv)(A) (Application for registration) of the Law, if the private siding is to be (or continue to be) connected with, or to have access to, a railway of an accredited person, an application for registration must contain the following details of the accredited person —
  - (a) the person's name;
  - (b) the person's registered business name and trading name (if different from the registered business name);
  - (c) the person's ACN if the person has an ACN (but, if not, the person's ABN);
  - (d) the person's residential address or, in the case of a body corporate, registered business address.
- (3) For the purposes of section 84(2)(a)(iv)(B) (Application for registration) of the Law, if the private siding is to be (or continue to be) connected with, or to have access to, another private siding, an application for registration must contain the following —
  - (a) details about the scale and complexity of the other private siding;
  - (b) details about the extent of the railway track layout and other rail infrastructure of the other private siding;
  - (c) details about the railway operations to be carried out in the other private siding;
  - (d) the name and contact details of the owner of the other private siding.

**13. Prescribed conditions and restrictions**

For the purposes of section 86(2)(a) (Determination of application) of the Law, it is a condition of registration that the applicant must establish —

- (a) a scheme for the management of risks to safety associated with the railway operations to be carried out in the private siding that provides for —

- (i) processes for the identification of potential risks to the safety of rail operations carried out by the applicant for the purposes of developing a safety interface agreement; and
  - (ii) so far as is reasonably practicable, processes for the identification of incidents and hazards and the assessment of all possible incidents and hazards identified; and
  - (iii) a description of the control measures adopted by the applicant; and
  - (iv) processes to ensure, so far as is reasonably practicable, that rail safety work is prioritised so that those hazards representing the greatest risk are given priority; and
  - (v) details about how rail infrastructure within the private siding is to be maintained by the applicant;
- and
- (b) a risk register that includes —
    - (i) a comprehensive listing of hazards; and
    - (ii) risks associated with each hazard; and
    - (iii) the control measures applicable to each hazard; and
    - (iv) nomination of the person responsible for each control measure; and
    - (v) key engineering, operational and maintenance standards applicable to each control measure.

**14. Prescribed details for required notification**

- (1) For the purposes of section 86(3)(b)(i) (Determination of application) of the Law, the prescribed details of the applicant required to be specified in the notification are the details required by regulation 12(1)(a).
- (2) For the purposes of section 86(3)(b)(ii) (Determination of application) of the Law, the prescribed details of the private siding required to be specified in the notification are details of —
  - (a) the location of the private siding; and
  - (b) the railway operations to be carried out in the private siding.
- (3) For the purposes of section 88(2)(b)(i) (Determination of application for variation) of the Law, the prescribed details about

the applicant required to be specified in the notification are the details required by regulation 12(1)(a).

**15. Application for variation of registration**

For the purposes of sections 87(3)(b) (Application for variation of registration) and 90 (Variation of conditions and restrictions) of the Law, an application for a variation of a registration or an application for a variation of a condition or restriction imposed by the Regulator, must contain —

- (a) details of the scope and nature of the proposed variation; and
- (b) details of the changes that will be made to the applicant's scheme for the management of risks to safety associated with the railway operations to be carried out in the private siding if the proposed variation occurs; and
- (c) details of any consultation that has occurred with the parties who might be affected by the proposed variation, including —
  - (i) who was consulted; and
  - (ii) when and how the consultation occurred; and
  - (iii) the results of the consultation.

**Part 4 — Safety management**

**Division 1 — Safety management systems**

**16. Prescribed requirements for safety management system**

A safety management system must provide for all of the matters listed in Schedule 1 that are relevant to the railway operations in respect of which the rail transport operator is accredited, or seeking to be accredited, and must provide a level of detail with respect to each of those matters that is appropriate having regard to the scope, nature and risks to safety of those operations, and to the operator's duties under section 52 (Duties of rail transport operators) of the Law.

**17. Review of safety management system**

- (1) A rail transport operator must comply with this regulation in conducting a review of the operator's safety management system under section 102 (Review of safety management system) of the Law.
- (2) In conducting the consultation required by section 99(3) (Safety management system) of the Law before carrying out the review, the operator must ensure that those consulted are asked for their



opinion on whether, and if so, how, the safety management system can be improved.

- (3) In conducting the review, the operator must ensure —
- (a) that the effectiveness of the safety management system is assessed (including an examination of the operator's records in relation to notifiable occurrences and breaches of the system); and
  - (b) that the effectiveness of any revisions that were made as a result of the last review are assessed; and
  - (c) that any recommendations or issues arising out of any audits or safety investigations that have occurred since the last review are taken into account; and
  - (d) that any issues arising from any prohibition or improvement notices that have been issued since the last review are taken into account; and
  - (e) that any deficiencies in the system are identified; and
  - (f) that methods of remedying any deficiencies are designed and assessed; and
  - (g) that any opinions provided under subregulation (2) are assessed; and
  - (h) that any other suggestions for improving the system that arise during the course of the review are assessed; and
  - (i) if any deficiencies or practicable improvements are identified — that a plan is created to remedy those deficiencies or effect those improvements (as the case may be).
- (4) The outcomes of the review must be summarised and reported in the safety performance report required by section 103 (Safety performance reports) of the Law.

## **Division 2 — Security management plans**

### **18. Security management plan**

For the purposes of section 112 (Security management plan) of the Law, a security management plan must include —

- (a) a list of the risks arising from the matters specified in section 112(1)(a) of the Law; and
- (b) a description of the preventative and response measures to be used to manage those risks, including a description of the policies, procedures and equipment and other physical resources that it is proposed to use for those measures, and of the training that it is proposed to provide; and

- (c) if the rail transport operator shares a location (such as a modal interchange or port) with 1 or more other transport operators — a description of the arrangements made with those other transport operators in relation to that location to prevent or respond to security incidents; and
- (d) procedures for the recording, reporting and analysis of security incidents; and
- (e) the allocation of security roles and responsibilities to appropriate people; and
- (f) provision for liaison, the sharing of information and for joint operations with relevant emergency services, and with other transport operators who may be affected by the implementation of the plan; and
- (g) provision for the evaluation, testing and (if necessary) the revision, of security measures and procedures.

### **Division 3 — Emergency management plans**

#### **19. Emergency management plan**

- (1) For the purposes of section 113(2)(b)(ii) (Emergency management plan) of the Law, when preparing an emergency management plan, a rail transport operator must consult (in addition to the people specified in section 99(3) (Safety management system) of the Law) with —
  - (a) any government agency with emergency management functions with respect to the area to which the plan relates; and
  - (b) any other rail transport operator who may be affected by the implementation of the plan; and
  - (c) any of the following that may be required to assist in the implementation of the plan —
    - (i) an entity (whether publicly or privately owned) that provides, or intends to provide, water, sewerage, drainage, gas, electricity, telephone, telecommunication or other like services under the authority of an Act of a participating jurisdiction or the Commonwealth;
    - (ii) a person who, under the authority of an Act of a participating jurisdiction, is permitted to own or use a pipeline, or is licensed to construct or operate a pipeline;
    - (iii) a provider of public transport.

- (2) An emergency management plan prepared for the purposes of section 113 (Emergency management plan) of the Law must address —
- (a) the types or classes of foreseeable emergencies; and
  - (b) the consequences of each type or class of those emergencies, including estimates of the likely magnitude and severity of the effects of each type or class; and
  - (c) the risks to safety arising from those emergencies; and
  - (d) methods to mitigate the effects of those emergencies; and
  - (e) initial response procedures for dealing with those emergencies and the provision of rescue services; and
  - (f) recovery procedures for the restoration of railway operations and the assistance of people affected by the occurrence of those emergencies; and
  - (g) the allocation of emergency management roles and responsibilities within the rail transport operator's organisation, and between the operator and other organisations; and
  - (h) call out procedures; and
  - (i) the allocation of personnel for the on site management of those emergencies; and
  - (j) procedures for liaison with relevant emergency services, including information about the circumstances in which the relevant emergency services are to be immediately contacted; and
  - (k) procedures to ensure that relevant emergency services are provided with all the information that is reasonably required to enable them to respond effectively to an emergency; and
  - (l) procedures for effective communications and cooperation throughout the emergency response; and
  - (m) procedures for ensuring site security and the preservation of evidence.

**20. Keeping, maintaining and testing emergency management plan**

- (1) A rail transport operator must ensure, so far as is reasonably practicable, that all employees of the operator, and all contractors engaged by the operator, who may be required to implement any emergency response procedures in the emergency management plan —

- (a) are provided with information (including by way of briefings and appropriate education programs) about the relevant elements of the plan; and
  - (b) are able to do anything that may be required of them under the plan.
- (2) The rail transport operator must test the emergency management plan, or elements of the plan, to ensure that the plan remains effective —
  - (a) at the intervals set out in the plan; and
  - (b) after any significant changes are made to the plan.
- (3) In preparing an emergency management plan, the rail transport operator must, if it is reasonably practicable to do so, determine intervals for the purposes of subregulation (2)(a) in conjunction with the relevant emergency services.
- (4) When testing the emergency management plan, or elements of the plan, the rail transport operator must, so far as is reasonably practicable, arrange for participation in the testing by the relevant emergency services.
- (5) The rail transport operator must ensure that in-house exercises to test the emergency management plan are undertaken as often as is necessary, in the opinion of the operator, to ensure that the plan will be properly implemented should an emergency arise.
- (6) A rail transport operator must ensure that the emergency management plan is comprehensible, and is readily accessible at all times, to —
  - (a) all employees of the operator, and all contractors engaged by the operator, who may be required to implement any emergency response procedures in the plan; and
  - (b) all other rail transport operators who may be affected by the plan; and
  - (c) any person or body referred to in regulation 19(1)(c); and
  - (d) relevant emergency services.

#### **Division 4 — Network rules**

##### **21. Interpretation**

In this Division —

***amendment*** of network rules includes removing, adding or substituting a rule;

***stakeholders***, in relation to railway operations in respect of which a rail infrastructure manager is required to be accredited, means —

- (a) rolling stock operators who operate or move rolling stock on rail infrastructure of the manager; and
- (b) any other rail infrastructure managers of rail infrastructure that connects with or has access to the rail infrastructure of the manager; and
- (c) if the safety of the railway operations of any other rail infrastructure managers may be affected by the network rules of the manager — those other rail infrastructure managers; and
- (d) persons likely to be affected by the network rules of the rail infrastructure manager, being persons who —
  - (i) carry out the railway operations in respect of which the manager is required to be accredited; or
  - (ii) work on or at the manager's railway premises; or
  - (iii) carry out the operation or movement of rolling stock on rail infrastructure of the manager;and
- (e) health and safety representatives (within the meaning of the occupational health and safety legislation) representing any of the persons referred to in paragraph (d); and
- (f) any union representing any of the persons referred to in paragraph (d).

**22. Establishing and amending network rules**

- (1) Subject to regulation 23, a rail infrastructure manager must, before establishing or amending network rules in relation to railway operations in respect of which the manager is required to be accredited —
  - (a) give written notice of the proposed rules or proposed amendment to —
    - (i) the Regulator; and
    - (ii) so far as is reasonably practicable, the stakeholders;and
  - (b) specify the date (being not earlier than 28 days after the notice is given) by which submissions may be made to the rail infrastructure manager about the proposed rules or proposed amendment; and

- (c) specify the date (being not earlier than 28 days after the date on which submissions close) on which it is proposed to commence the rules or the amendment.

Penalty: a fine of \$10 000.

- (2) The rail infrastructure manager must consider all submissions received under subregulation (1) and determine whether to proceed with the proposed network rules or proposed amendment to the network rules.

**23. Emergency amendments to network rules**

- (1) This regulation applies if a rail infrastructure manager identifies an immediate risk to safety resulting from exceptional circumstances or an emergency that requires an amendment to the manager's network rules.
- (2) The rail infrastructure manager may amend the network rules if the manager complies with this regulation.
- (3) Before making the amendment, the rail infrastructure manager must —
  - (a) take reasonable steps to notify the stakeholders of the proposed amendment and the reasons for that change; and
  - (b) take appropriate steps to mitigate any reasonably foreseeable adverse consequences arising from implementation of the proposed amendment without stakeholders being informed of the amendment; and
  - (c) notify the Regulator of the proposed emergency amendment in the manner approved by the Regulator for the purpose of this regulation.
- (4) An amendment made under this regulation ceases to have effect 180 days after it is implemented, unless the rail infrastructure manager complies with regulation 22.
- (5) A rail infrastructure manager that implements an amendment under this regulation to deal with temporary circumstances must withdraw the amendment if circumstances change so that the amendment is no longer necessary, or the circumstances no longer exist.
- (6) A rail infrastructure manager who withdraws an amendment to the network rules under subregulation (5) must —
  - (a) take reasonable steps to notify the stakeholders; and
  - (b) notify the Regulator in the manner approved by the Regulator for the purposes of this regulation.

**Division 5 — Interface agreements**

**24. Interface coordination — rail infrastructure and public roads**

For the purposes of section 107 (Interface coordination — rail infrastructure and public roads) of the Law, the following public roads are prescribed public roads —

- (a) the Kwinana Freeway between its northern extremity and where it intersects Thomas Road, Bertram in Western Australia;
- (b) the Mitchell Freeway in Western Australia.

**25. Interface coordination — rail infrastructure and private roads**

For the purposes of section 108(1)(b) (Interface coordination — rail infrastructure and private roads) of the Law, the protocol made under section 21 of the *AustralAsia Railway (Special Provisions) Act* (Northern Territory) on 25 March 2004 and published in the Northern Territory Government Gazette No. G13 on 31 March 2004, is prescribed.

**Division 6 — Disclosure of train safety recordings**

**26. Disclosure of train safety recordings**

- (1) For the purposes of section 131(e) (Disclosure of train safety recordings) of the Law, a train safety recording may be published or communicated by and to the persons set out in subregulation (2), for the following purposes —
  - (a) the analysis or monitoring of railway operations or rail safety or related matters;
  - (b) without limiting paragraph (a), the auditing of compliance by rail safety workers with any systems, procedures, instructions, orders, notices or undertakings relating to the carrying out of railway operations.
- (2) A train safety recording may be published or communicated by —
  - (a) a rail transport operator, or an employee or a contractor of the operator, to another rail transport operator or an employee or a contractor of another operator; or
  - (b) an employee or contractor of a rail transport operator to the operator or another employee or contractor of the operator; or
  - (c) a rail transport operator to an employee or contractor of the operator.
- (3) For the purposes of section 131(e) (Disclosure of train safety recordings) of the Law, a train safety recording may be published

or communicated by or on behalf of a rail transport operator to the Regulator.

## **Part 5 — Rail safety workers**

### **27. Health and fitness management program**

For the purposes of section 114 (Health and fitness management program) of the Law, a rail transport operator must have, and must implement, a health and fitness program for rail safety workers that complies with the *National Standard for Health Assessment of Rail Safety Workers*, published by the National Transport Commission, as amended from time to time.

### **28. Drug and alcohol management program**

- (1) For the purposes of section 115 (Drug and alcohol management program) of the Law, a drug and alcohol management program of a rail transport operator must include the following —
    - (a) a drug and alcohol policy that sets out the objectives of the rail transport operator with respect to drug and alcohol management in the workplace;
    - (b) systems and procedures for the provision of information and education to rail safety workers in relation to the drug and alcohol management program;
    - (c) systems and procedures to ensure the confidentiality of personal information obtained from, or in respect of, a rail safety worker in relation to drug or alcohol testing, counselling, treatment or rehabilitation;
    - (d) details of the drug and alcohol testing regime, including testing procedures and procedures for the management of rail safety workers in respect of the results of such testing;
    - (e) measures in accordance with subregulation (6).
- Note: In the SA regulations, subregulations (2) to (4) of this regulation relate only to New South Wales and accordingly have not been included here.
- (5) The drug and alcohol management program of a rail transport operator must provide for the following measures to be taken by or on behalf of the operator —
    - (a) the establishment of rules relating to the use of drugs and alcohol by rail safety workers (including prohibitions and restrictions on use);
    - (b) the identification of rail safety workers who have alcohol or other drug related problems and, where appropriate, referral of those workers to assessment, treatment, counselling or rehabilitation.



- (6) The drug and alcohol management program of a rail transport operator must set out the obligations of rail safety workers with respect to the management of alcohol and other drug use and the actions that may be taken by the operator if there is a breach of those obligations, including the following —
- (a) a requirement that a rail safety worker notify the operator, or a nominated person, if the worker is aware that the ability of the worker, or another worker, to carry out rail safety work may be impaired by alcohol or any other drug;
  - (b) the provision of education and rehabilitation measures for rail safety workers, including provision for information to be provided about referral to counselling, treatment and rehabilitation services where appropriate;
  - (c) the provision of information to rail safety workers about their responsibilities and obligations in relation to alcohol and other drug use under an application Act of a participating jurisdiction and the Law;
  - (d) the provision of information to rail safety workers with respect to the effect of alcohol and other drugs and the possible disciplinary action and other penalties that may apply if a rail safety worker fails to comply with the drug and alcohol management program;
  - (e) appeals and grievance mechanisms for dealing with complaints about the application of disciplinary action and other penalties, or the implementation of the drug and alcohol management program;
  - (f) protocols for fair procedures relating to the operation of the drug and alcohol management program.

Note: In the SA regulations, subregulation (7) of this regulation relates only to New South Wales and accordingly has not been included here.

**29. Fatigue risk management program**

- (1) For the purposes of section 116 (Fatigue risk management program) of the Law, when preparing a fatigue risk management program, a rail transport operator must take into account, and assess, any fatigue related risks to safety arising from factors, including the following —
- (a) scheduling of work and non-work periods, including time-on-task and rest opportunities in shifts and the total period of time in which work is being carried out;
  - (b) call-in, on-call and lift-up and lay-back arrangements and extended hours of work, including overtime;

- (c) the impact of work scheduling and relief practices generally on social and psychological factors that may impact on performance and safety, including the effect of scheduling practices, schedule predictability and irregularity and control over work hours on sleep loss, performance and safety;
  - (d) physiological factors arising out of work practices affecting rail safety workers, such as the effect on worker alertness and recovery of the time when work is undertaken, the length and frequency of breaks, commuting time, circadian effects, extended wakefulness, chronic sleep loss effects, and sleep inertia;
  - (e) the kinds of rail safety work being carried out, including —
    - (i) work that requires significant physical exertion or high cognitive task demand; and
    - (ii) the degree of monotony or boredom or low cognitive task demand of the work;
  - (f) the variations in shifts and rest periods that may be required by different rail safety work requirements, including different routes, crew-call practices and predictability of working hours;
  - (g) the suitability of rest environments, including barracks, rest houses and relay vans provided for rail safety workers by the operator;
  - (h) the physical environment in which rail safety work is to be carried out, including climatic conditions, noise, vibration and fumes;
  - (i) fatigue risks arising from any one-off or occasional circumstances in which rail safety work may be required to be carried out, including in emergencies or under degraded or abnormal conditions, subject to the working hours being dependent on the rail safety workers' indication of their fitness to continue;
  - (j) relevant developments in research related to fatigue and any technology that may be applied to manage work-related fatigue.
- (2) A rail transport operator's fatigue risk management program must establish and maintain documented procedures to manage, so far as is reasonably practicable, fatigue related risks, including —
- (a) specified work scheduling practices and procedures that provide for —
    - (i) safe hours of work; and

- (ii) safe periods of time between shifts; and
    - (iii) sufficient rail safety workers to be available to meet reasonably foreseeable demands for relief arrangements;
  - and
  - (b) provisions for monitoring of hours of work, in particular —
    - (i) procedures for monitoring how actual hours of work of rail safety workers compare with planned hours of work for rail safety workers; and
    - (ii) procedures for monitoring the impact to changes to planned rosters due to shift swapping, overtime and on-call working;
  - and
  - (c) provision of appropriate education and information in relation to the identification and management of fatigue risks that are relevant to the rail safety work being undertaken.
- (3) For the purposes of subregulation (2)(a)(i) and (ii), hours of work or periods of time between shifts are taken to be safe if the effect of implementing those hours or periods is sufficient to manage risks arising from fatigue so far as is reasonably practicable.
- Note: In the SA regulations, subregulation (4) of this regulation and Schedule 2 relate only to New South Wales and accordingly have not been included here.
- (5) In this regulation —
- lift-up and lay-back arrangement*** means an arrangement where a rail safety worker commences a shift at an earlier or later time than the time for which the worker was originally rostered.

**30. Records of competence**

For the purposes of section 117(6) (Assessment of competence) of the Law, a rail transport operator must maintain records of the competence of rail safety workers who carry out rail safety work on or in relation to the operator's rail infrastructure or rolling stock that include details of —

- (a) the rail safety training undertaken by each rail safety worker, including when the training was undertaken and its duration; and
- (b) the qualifications and competencies of each rail safety worker, including, if applicable —
  - (i) the units of competence attained by the worker; and

- (ii) the level of qualification attained; and
  - (iii) if and when a re-assessment of competence is to be conducted; and
  - (iv) if and when re-training is due; and
  - (v) the date any re-training is undertaken;
- and
- (c) the name of the organisation who conducted the training or re-training; and
  - (d) the name and qualifications of the person who assessed the competence of the rail safety worker.

## **Part 6 — Exemptions granted by Regulator**

### **31. Application for exemption**

For the purposes of section 205(2)(c) (Application for exemption) of the Law, an application for an exemption must contain —

- (a) the following identification details of the applicant —
    - (i) the applicant's name;
    - (ii) the applicant's registered business name and trading name (if different from the registered business name);
    - (iii) the applicant's ACN if the applicant has an ACN (but, if not, the applicant's ABN);
    - (iv) the applicant's residential address or, in the case of a body corporate, registered business address;
- and
- (b) the name and contact details of the person or persons appointed by the applicant —
    - (i) to deal with any queries that the Regulator may have in relation to the application; and
    - (ii) to be responsible for the exemption and to deal with any queries that the Regulator may have in relation to the exemption;
- and
- (c) if the applicant is not an individual — evidence that the application has been submitted to and endorsed —
    - (i) if the applicant is a body corporate —
      - (A) that is a company within the meaning of the *Corporations Act 2001* (Commonwealth) — in accordance with section 127 of that Act; or

- (B) in any other case — by its governing body;
  - (ii) if the applicant is a partnership — by each partner;
  - (iii) if the applicant is an unincorporated association or body — by its governing body;
- and
- (d) if any of the activities that the applicant intends to carry out in respect of which the exemption is sought are to be carried out by another person on behalf of the applicant —
  - (i) the name and contact details of each such person; and
  - (ii) details of the activities that it is intended that the person will carry out on behalf of the applicant;
- and
- (e) evidence of the applicant's competence and capacity to manage risks to safety associated with the railway operations in respect of which the exemption is sought; and
- (f) evidence of the applicant's financial capacity, or public risk insurance arrangements, to meet reasonable potential accident liabilities arising from the railway operations in respect of which the exemption is sought.

**32. Prescribed details for required notification**

- (1) For the purposes of section 207(3)(b)(i) (Determination of application) of the Law, the prescribed details of the applicant required to be specified in the notification are the details required by regulation 31(a).
- (2) For the purposes of section 209(2)(b)(i) (Determination of application for variation) of the Law, the prescribed details of the applicant required to be specified in the notification are the details required by regulation 31(a).

**33. Application for variation of an exemption**

For the purposes of sections 208(3)(b) (Application for variation of an exemption) and 211 (Variation of conditions and restrictions) of the Law, an application for a variation of an exemption, or an application for a variation of a condition or restriction imposed by the Regulator, must contain —

- (a) details of the scope and nature of the proposed variation; and

- (b) details of the changes that will be made to the applicant's scheme for the management of risks to safety associated with the railway operations to be carried out if the proposed variation occurs; and
- (c) details of any consultation that has occurred with the parties who might be affected by the proposed variation, including —
  - (i) who was consulted; and
  - (ii) when and how the consultation occurred; and
  - (iii) the results of the consultation.

## **Part 7 — Infringement penalty provisions**

### **34. Infringement penalty provisions**

For the purposes of these regulations, an ***infringement penalty provision*** is a provision of these regulations specified in an item in the table at the foot of this regulation.

**Table**

<b>Item</b>	<b>Infringement penalty provision</b>	<b>Infringement penalty</b>
1	Regulation 22 (Establishing and amending network rules)	\$1 000

## **Part 8 — Application of certain South Australian Acts to the Law**

### **Division 1 — Application of South Australian FOI Act**

#### **35. Interpretation**

In this Division —

***FOI Act*** means the *Freedom of Information Act 1991* (South Australia).

#### **36. Application of FOI Act**

For the purposes of section 263 (Application of certain South Australian Acts to this Law) of the Law, this Division sets out modifications of the FOI Act as it applies as a law of a participating jurisdiction for the purposes of the national rail safety scheme.

**37. Modifications of FOI Act for purposes of national rail safety scheme**

The FOI Act applies —

- (a) as if a reference to the Ombudsman were a reference to the Ombudsman under the *Ombudsman Act 1972* (South Australia);
- (b) section 4(1) definition of **agency** — as if the following paragraph were inserted after paragraph (f) of the definition —

- (fa) the Office of the National Rail Safety Regulator (**ONRSR**); or

- (c) section 4(1) definition of **government** — as if government referred to the government of each participating jurisdiction;
  - (d) section 4(1) — as if the following definition were inserted after the definition of **officer** —

- participating jurisdiction* has the same meaning as in the Rail Safety National Law set out in the schedule to the *Rail Safety National Law (South Australia) Act 2012*;

- (e) section 4(1) definition of **State Government agency** — as if the ONRSR were excluded from the definition;
  - (f) section 9(1a) — as if subsection (1a) were deleted and the following subsection substituted —

- (1a) ONRSR must, at intervals of not more than 12 months, cause an up-to-date information statement to be published in ONRSR's annual report and on ONRSR's website.

- (g) section 21(1)(b) — as if the reference to Parliament were a reference to the Parliament of a participating jurisdiction;
  - (h) section 53(2)(b) — as if paragraph (b) were deleted;
  - (i) as if section 54AA were deleted and the following section substituted —

**54AA — Keeping of records etc.**

- (1) ONRSR must comply with any requirements notified by the Minister in the *Gazette* as to the keeping of records and information for the purposes of monitoring compliance with this Act.
- (2) The annual report of ONRSR must include the information referred to in subsection (1).

- (j) Schedule 1 — as if a reference to Cabinet were a reference to the Cabinet of a participating jurisdiction;
- (k) Schedule 1 — as if a reference to Executive Council were a reference to the Executive Council (by whatever name) of a participating jurisdiction;
- (l) Schedule 1 clause 13(2) to (7) — as if subclauses (2) to (7) (inclusive) were deleted;
- (m) with any other modifications that are necessary.

**38. Conferral of jurisdiction on District Court of South Australia**

For the purposes of the FOI Act as applied under section 263 of the Law, the District Court of South Australia has jurisdiction under Part 5 Division 2 of the FOI Act to hear and determine an appeal from the ONRSR or a person in a participating jurisdiction insofar as that appeal is made under a law of a participating jurisdiction.

**39. Modification of Freedom of Information (Fees and Charges) Regulations**

The *Freedom of Information (Fees and Charges) Regulations 2003* (South Australia) apply —

- (a) regulation 3, definition of *concession cardholder*,  
(a)(ii) — as if subparagraph (ii) were deleted and the following subparagraph substituted —

- (ii) issued by a participating jurisdiction,

- (b) regulation 6 — as if the regulation were deleted.

**40. Disapplication of other regulations**

The *Freedom of Information (Exempt Agency) Regulations 2008* and the *Freedom of Information (General) Regulations 2002*



(South Australia) do not apply as laws of a participating jurisdiction for the purposes of the national rail safety scheme.

**Division 2 — Application of South Australian Ombudsman Act**

**41. Interpretation**

In this Division —

***Ombudsman Act*** means the *Ombudsman Act 1972* (South Australia).

**42. Application of Ombudsman Act**

For the purposes of section 263 (Application of certain South Australian Acts to this Law) of the Law, this Division sets out modifications of the Ombudsman Act as it applies as a law of a participating jurisdiction for the purposes of the national rail safety scheme.

**43. Modifications of Ombudsman Act for purposes of national rail safety scheme**

The Ombudsman Act applies —

- (a) as if a reference to the Ombudsman were a reference to the Ombudsman under the Ombudsman Act;
- (b) section 3(1) definition of ***agency to which this Act applies*** — as if the following paragraph were inserted after paragraph (d) of the definition —

(da) the Office of the National Rail Safety Regulator (***ONRSR***); or

- (c) section 3(1) — as if the following definition were inserted after the definition of ***officer*** of the Ombudsman —

***participating jurisdiction*** has the same meaning as in the Rail Safety National Law set out in the schedule to the *Rail Safety National Law (South Australia) Act 2012*;

- (d) section 14 — as if the section were deleted;
- (e) section 15(3) — as if a reference to a member of either House of Parliament were a reference to a member of Parliament of a participating jurisdiction;

- (f) section 30(1) and (2) — as if a reference to this or any other Act were a reference to this Act as it applies as a law of a participating jurisdiction or any other Act of a participating jurisdiction;
- (g) section 30(3) definition of *member of the Ombudsman's staff* — as if a reference to this Act were a reference to this Act as it applies as a law of a participating jurisdiction;
- (h) with any other modifications that are necessary.

**44. Conferral of function on Ombudsman of South Australia**

For the purposes of the Ombudsman Act as applied under section 263 of the Law, the Ombudsman under the Ombudsman Act has the functions under the Ombudsman Act in a participating jurisdiction insofar as that function is to be exercised under a law of a participating jurisdiction.

**45. Conferral of jurisdiction on Supreme Court of South Australia**

For the purposes of the Ombudsman Act as applied under section 263 of the Law, the Supreme Court of South Australia has jurisdiction to hear and determine an application under section 28 of the Ombudsman Act insofar as that application is made under a law of a participating jurisdiction.

**Division 3 — Application of *Public Finance and Audit Act 1987* (South Australia)**

**46. Interpretation**

In this Division —

*PFA Act* means the *Public Finance and Audit Act 1987* (South Australia).

**47. Application of Public Finance and Audit Act**

For the purposes of section 263 (Application of certain South Australian Acts to this Law) of the Law, this Division sets out modifications of the PFA Act as it applies as a law of a participating jurisdiction for the purposes of the national rail safety scheme.

**48. Modifications of PFA Act for purposes of national rail safety scheme**

The PFA Act applies —

- (a) as if a reference to the Auditor General were a reference to the Auditor General under the PFA Act;

- (b) section 4(1) — as if the following definition were inserted after the definition of imprest account —

**participating jurisdiction** has the same meaning as in the Rail Safety National Law set out in the schedule to the *Rail Safety National Law (South Australia) Act 2012*;

- (c) section 4(1) definition of **public authority** — as if the following paragraph were inserted after paragraph (c) of the definition —

(ca) the Office of the National Rail Safety Regulator (**ONRSR**); or

- (d) Part 2 — as if the Part were deleted;

- (e) section 31(2) — as if the following were inserted after “efficiency” —

, effectiveness

- (f) section 32 — as if the section were deleted;
- (g) Part 3 Division 4 — as if Division 4 were deleted;
- (h) section 36(1)(a)(i) — as if subparagraph (i) were deleted;
- (i) subject to paragraph (j) — as if a reference to the Treasurer were a reference to the Treasurer of a participating jurisdiction;
- (j) section 39(2) — as if the reference to the Treasurer were a reference to the Treasurer of South Australia;
- (k) as if a reference to the President of the Legislative Council and the Speaker of the House of Assembly were a reference to the presiding member of each House of Parliament of a participating jurisdiction;
- (l) Part 4 — as if the Part (other than sections 42 and 43) were deleted;
- (m) with any other modifications that are necessary.

**49. Conferral of function on Auditor General of South Australia**

For the purposes of the PFA Act as applied under section 263 of the Law, the Auditor General of South Australia has the functions under the PFA Act in a participating jurisdiction insofar as that

function is to be exercised under a law of a participating jurisdiction.

**50. Conferral of jurisdiction on Supreme Court of South Australia**

For the purposes of the PFA Act as applied under section 263 of the Law, the Supreme Court of South Australia has jurisdiction to hear and determine an application under section 34 of the PFA Act insofar as that application is made under a law of a participating jurisdiction.

**51. Disapplication of regulations**

The *Public Finance and Audit Regulations 2002* do not apply as a law of a participating jurisdiction for the purposes of the national rail safety scheme.

**Division 4 — Application of *State Records Act 1997* (South Australia)**

**52. Interpretation**

In this Division —

*State Records Act* means the *State Records Act 1997* (South Australia).

**53. Application of State Records Act**

For the purposes of section 263 (Application of certain South Australian Acts to this Law) of the Law, this Division sets out modifications of the State Records Act as it applies as a law of a participating jurisdiction for the purposes of the national rail safety scheme.

**54. Modifications of State Records Act for purposes of national rail safety scheme**

The State Records Act applies —

- (a) as if a reference to the Manager, or Manager of State Records, were a reference to the Manager of State Records under the State Records Act;
- (b) as if a reference to State Records were a reference to the office of State Records established under the State Records Act;
- (c) as if a reference to the State Records Council were a reference to the State Records Council established under the State Records Act;
- (d) section 3(1) definition of *agency* — as if the following paragraph were inserted after paragraph (e) of the definition —

(ea) the Office of the National Rail Safety Regulator (*ONRSR*); or

(e) section 3(1) — as if the following definition were inserted after the definition of *official record* —

*participating jurisdiction* has the same meaning as in the Rail Safety National Law set out in the schedule to the *Rail Safety National Law (South Australia) Act 2012*;

(f) with any other modifications that are necessary.

**55. Conferral of functions on South Australian Manager and Council**

- (1) For the purposes of the State Records Act as applied under section 263 of the Law, the Manager of State Records under the State Records Act has the functions under the State Records Act in a participating jurisdiction insofar as that function is to be exercised under a law of a participating jurisdiction.
- (2) For the purposes of the State Records Act as applied under section 263 of the Law, the State Records Council under the State Records Act has the functions under the State Records Act in a participating jurisdiction insofar as that function is to be exercised under a law of a participating jurisdiction.

**Part 9 — Miscellaneous**

**56. Periodic information to be supplied**

- (1) The following returns of information are required under section 120(3) (Power of Regulator to obtain information from rail transport operators) of the Law —
  - (a) a monthly return that sets out in respect of the month —
    - (i) the number of drug and alcohol tests conducted by the rail transport operator, including —
      - (A) the type of tests conducted; and
      - (B) the class of rail safety work undertaken by the rail safety workers who were tested; and
      - (C) if any such test returned a result that suggests that a rail safety worker was

- in breach of a relevant safety requirement concerning the use of drugs or alcohol at a relevant time — details of any such result; and
    - (D) if a rail safety worker refused to submit to any such test — details of any such refusal;
  - (ii) in the case of a rail transport operator who is a rail infrastructure manager — the length, in kilometres, of track over which the manager has effective management and control;
  - (iii) in the case of a rail transport operator who is a rolling stock operator —
    - (A) the number of kilometres travelled by passenger trains over which the operator has effective management and control;
    - (B) the number of kilometres travelled by freight trains over which the operator has effective management and control;
    - (C) the number of kilometres travelled by self propelled infrastructure maintenance vehicles over which the operator has effective management and control;
    - (D) the number of journeys (either estimated or actual) made by passengers in urban areas on passenger trains over which the operator has effective management and control;
    - (E) the number of journeys (either estimated or actual) made by passengers in non-urban areas on passenger trains over which the operator has effective management and control; and
- (b) an annual return that sets out, in respect of the current financial year —
  - (i) an estimate of the number of employees that will be engaged in rail safety work in respect of a

- railway over which the operator has management and control;
- (ii) in the case of a rail transport operator who is a rail infrastructure manager — the estimated length, in kilometres, of track over which the manager will have effective management and control;
  - (iii) in the case of a rail transport operator who is a rolling stock operator —
    - (A) an estimate of the number of kilometres that will be travelled by passenger trains over which the operator has effective management and control;
    - (B) an estimate of the number of kilometres that will be travelled by freight trains over which the operator has effective management and control;
    - (C) an estimate of the number of journeys that will be made by passengers in urban areas on passenger trains over which the operator has effective management and control;
    - (D) an estimate of the number of journeys that will be made by passengers in non-urban areas on passenger trains over which the operator has effective management and control.
- (2) In providing a return, the rail transport operator must set out the particulars of the information required under subregulation (1) in relation to this jurisdiction and every other participating jurisdiction in respect of which the rail transport operator is accredited.
  - (3) The rail transport operator must provide the monthly return required by subregulation (1)(a) to the Regulator as soon as practicable after the end of each month, and not later than the 21<sup>st</sup> day of the following month, or before any other date or period specified by the Regulator.
  - (4) The rail transport operator must provide the annual return required by subregulation (1)(b) to the Regulator before 29 July in the financial year to which it relates, or before any other date or period specified by the Regulator.

**57. Reporting of notifiable occurrences**

- (1) For the purposes of this regulation —
- (a) any of the following notifiable occurrences is a **Category A notifiable occurrence** —
- (i) an accident or incident that has caused death, serious injury or significant property damage;
  - (ii) a running line derailment;
  - (iii) a running line collision between rolling stock;
  - (iv) a collision at a road or pedestrian level crossing between rolling stock and either a road vehicle or a person;
  - (v) a suspected terrorist attack;
  - (vi) an accident or incident involving a significant failure of a safety management system that could have caused death, serious injury or significant property damage;
  - (vii) any other accident or incident likely to generate immediate or intense public interest or concern;
- (b) any of the following notifiable occurrences is a **Category B notifiable occurrence** (unless that occurrence is also a Category A notifiable occurrence) —
- (i) a derailment, other than a running line derailment;
  - (ii) a collision involving rolling stock, other than a collision described in paragraph (a)(iii) or (iv);
  - (iii) an incident at a road or pedestrian level crossing, other than a collision described in paragraph (a)(iv);
  - (iv) an incident in which a vehicle or vessel strikes an associated railway track structure;
  - (v) the passing of a stop signal, or a signal with no indication, by rolling stock without authority;
  - (vi) an accident or incident where rolling stock exceeds the limits of authorised movement given in a proceed authority;
  - (vii) a rolling stock run-away;
  - (viii) a failure of a signalling or communications system that endangers, or that has the potential to endanger, the safe operation of trains or the safety of people, or to cause damage to adjoining property;



- (ix) any slip, trip or fall by a person on railway premises;
- (x) a person being caught in the door of any rolling stock;
- (xi) a person suffering from an electric shock directly associated with railway operations;
- (xii) any situation where a load affects, or could affect, the safe passage of trains or the safety of people, or cause damage to adjoining property;
- (xiii) an accident or incident involving dangerous goods that affects, or could affect, the safety of railway operations or the safety of people, or cause damage to property;
- (xiv) any breach of a network rule;
- (xv) any breach of the work scheduling practices and procedures set out in the rail transport operator's fatigue risk management program;
- (xvi) the detection of an irregularity in any rail infrastructure (including electrical infrastructure) that could affect the safety of railway operations or the safety of people;
- (xvii) the detection of an irregularity in any rolling stock that could affect the safety of railway operations;
- (xviii) a fire or explosion on, in, or near, rail infrastructure or rolling stock that endangers the safety of railway operations or the safety of 1 or more people, or causes service terminations or track or station closures;
- (xix) any incident on railway property where a person inflicts, or is alleged to have inflicted, an injury on another person;
- (xx) a suspected attempt to suicide;
- (xxi) the notification that a rail safety worker, when required to do so under the drug and alcohol management program of a rail transport operator, has failed to submit to a test in accordance with the testing regime set out in the operator's drug and alcohol management program;
- (xxia) the notification that a rail safety worker has returned a result to a test undergone by the worker in accordance with the testing regime set

out in the drug and alcohol management program of a rail transport operator that suggests that the worker was in breach of the operator's drug and alcohol management program at a relevant time;

- (xxib) the notification that a rail safety worker to whom section 126(1) or 127(1) of the Law applies has returned a result to a test designed to determine the concentration of drugs or alcohol in a sample of breath, blood, oral fluid or urine that suggests that the worker was in breach of a relevant safety requirement concerning the use of drugs or alcohol at a relevant time;

Note: This subparagraph does not appear in the SA regulations.

- (xxii) the infliction of wilful or unlawful damage to, or the defacement of, any rail infrastructure or rolling stock that could affect the safety of railway operations or the safety of people;
- (xxiii) a security incident associated with railway premises that affects the safety of railway operations, including an act of trespass, vandalism, sabotage or theft that could affect the safety of railway operations.

- (2) If a Category A notifiable occurrence happens on, or in relation to, a rail transport operator's railway premises or railway operations, the operator must —
- (a) immediately after becoming aware of the occurrence — give an oral report of the occurrence —
- (i) if required to do so under the *Transport Safety Investigation Act 2003* (Commonwealth) — to the Australian Transport Safety Bureau; or
- (ii) if subparagraph (i) does not apply — to the Regulator;
- and
- (b) within 72 hours (or such longer period as may be allowed by the Regulator) after becoming aware of the occurrence — give the Regulator a written report of the occurrence.
- (3) If a Category B notifiable occurrence happens on, or in relation to, a rail transport operator's railway premises or railway operations, the operator must give the Regulator a written report of the occurrence within 72 hours (or such longer period as may be allowed by the Regulator) after becoming aware of the occurrence.

- (4) The rail transport operator must ensure that any report the operator makes under this regulation is in the form, contains all the information, and is made in the manner, required by the Regulator.

**58. Fees**

The fees set out in Schedule 3 are payable by a rail transport operator as specified in that Schedule.

**Note:** The Regulator may waive or refund the whole or any part of a fee payable under Part 3 Division 4 or Division 5 of the Law (see sections 77 and 96 of the Law). The Regulator may, for example, waive or refund part of the fee payable by a rail transport operator in respect of an application that relates to the operation of a not for profit tourist or heritage railway.

**Schedule 1 — Content of safety management system**

[r. 16]

**1. Interpretation**

In this Schedule, a reference to the chief executive and governing body of the rail transport operator includes a reference to any other person or body that has control of the rail transport operator.

**2. Safety policy**

- (1) A safety policy or policies that aligns or align with other organisational policies and that is, or that are, endorsed by the chief executive and governing body of the rail transport operator.
- (2) A safety policy or policies that includes or include an express commitment to safety, the development and maintenance of a positive safety culture and the continuous improvement of all aspects of the safety management system.

**3. Safety culture**

Methods to promote and maintain a positive safety culture, so far as is reasonably practicable, with consideration given to —

- (a) the importance of leadership and commitment of senior management; and
- (b) the executive safety role of line management; and
- (c) the need to involve rail safety workers at all levels; and
- (d) encouraging open communication; and
- (e) the need for human factors to be positively addressed; and
- (f) the promotion of a just culture and environment; and
- (g) the awareness and recognition of opportunities for safety improvement; and
- (h) a willingness to devote resources to safety.

**4. Governance and internal control arrangements**

- (1) Systems and procedures to ensure that the chief executive and governing body of the rail transport operator, or the people managing the railway operations, have sufficient knowledge —
  - (a) of the risk profile of the railway operations carried out by the rail transport operator to enable the operator to probatively manage the risks arising from those operations; and
  - (b) of the level of compliance by the organisation with its duties and obligations under the Law and these regulations; and
  - (c) to determine whether —
    - (i) the safety management system is working effectively; and
    - (ii) risks to safety are being identified, assessed and managed so far as is reasonably practicable; and
    - (iii) controls used to monitor safety and to manage risks to safety are being regularly reviewed and revised.
- (2) Systems and procedures to ensure that decisions and directions made by the chief executive and governing body of the rail transport operator, or of the people managing the railway operations, that affect safety are being implemented effectively.

**5. Management, responsibilities, accountabilities and authorities**

- (1) Policies that indicate how safety responsibilities, accountabilities, authorities and interrelationships have been determined.
- (2) Documents that describe the responsibilities, accountabilities, authorities and interrelation of the personnel who manage or carry out rail safety work, or who verify such work.
- (3) Procedures for the reporting of risks to safety by personnel with safety responsibilities.
- (4) Documents that describe the authorities given to personnel with safety responsibilities to enable them to meet those responsibilities.

**6. Regulatory compliance**

- (1) Systems and procedures for the identification of safety requirements under the Law and other safety legislation.
- (2) Systems and procedures to ensure compliance with those requirements.

**7. Document control arrangements and information management**

Systems and procedures to control and manage all documents and information relevant to the management of risks to safety associated with railway operations, including systems and procedures for —

- (a) the identification, creation, maintenance, management, storage and retention of records and documents; and
- (b) ensuring the currency of documents required for operations; and
- (c) the communication of any changes to the document control systems and procedures to rail safety workers and employees of the rail transport operator who rely on those systems and procedures to carry out their work.

**8. Review of the safety management system**

- (1) Systems and procedures for the review of the safety management system in accordance with section 102 (Review of safety management system) of the Law and regulation 17.
- (2) Documentation of the matters set out in regulation 17(3).

**9. Safety performance measures**

- (1) Systems and procedures to ensure that the safety management system is effective by using key performance indicators to measure safety performance and determine the effectiveness of the safety management system.
- (2) Systems and procedures to ensure the collection, analysis, assessment and dissemination of safety information held by the rail transport operator.

**10. Safety audit arrangements**

- (1) An audit program that provides for —
  - (a) the scheduling and frequency of audits; and
  - (b) safety management system audits as part of the audit program; and
  - (c) the giving of priority to those matters that represent the greatest safety risk.
- (2) Documented audit procedures to ensure there is a process for the collection of information to determine whether the railway operations comply with the safety management system and the effectiveness of the safety management system.
- (3) Procedures to ensure that auditors —

- (a) have the skills and knowledge to undertake audits; and
  - (b) are independent from the area being audited to the maximum extent that is practicable.
- (4) Procedures for —
  - (a) communicating the results of audits to those people who are responsible for the oversight of the railway operations in the area audited for review and, where appropriate, for corrective action; and
  - (b) where appropriate, the registration and effective implementation of recommendations for action identified by the audit; and
  - (c) the review of the effectiveness of the audit program.

**11. Corrective action**

- (1) Procedures to ensure, so far as is reasonably practicable, that corrective action is taken in response to any safety deficiencies identified following inspections, testing, audits, investigations or notifiable occurrences.
- (2) Procedures for —
  - (a) registering any corrective actions taken; and
  - (b) the review of those corrective actions; and
  - (c) the implementation of corrective action if it is determined that corrective action is required; and
  - (d) the assigning of responsibilities for corrective action.
- (3) Procedures for giving priority, when undertaking corrective action, to those matters representing the greatest safety risk.

**12. Management of change**

Procedures for ensuring that changes that may affect the safety of railway operations are identified and managed, including procedures for ensuring, so far as is reasonably practicable, that —

- (a) changes are fully identified and described in the context of the railway operations; and
- (b) affected parties are identified and, if practicable, consulted; and
- (c) the roles and responsibilities of rail safety workers and employees of the rail transport operator are clearly specified with respect to the change; and
- (d) the rail safety workers and employees of the rail transport operator are fully informed and trained to understand and deal with the proposed change; and

- (e) the requirements of section 99(1)(c) and (d) (Safety management system) of the Law are observed in relation to any risks associated with the proposed change; and
- (f) the change, once implemented, is reviewed and assessed by the rail transport operator to determine whether or not the change has been appropriately managed.

**13. Consultation**

Systems and procedures to ensure that the consultation required by section 99(3) (Safety management system) of the Law occurs when the safety management system is reviewed or varied.

**14. Internal communication**

Systems and procedures —

- (a) for the dissemination of information about the content of the safety management system to people who are to participate in the implementation of the system or who may be otherwise affected by the implementation; and
- (b) for the communication of the rail transport operator's safety policy and safety objectives to all people who are to participate in the implementation of the safety management system; and
- (c) for the internal reporting of accidents and incidents involving the operator's railway operations, including accidents and incidents involving contractors and subcontractors; and
- (d) to support communication and the dissemination of information throughout, and between all levels of, the operator's railway operations.

**15. Training and instruction**

- (1) Systems and procedures —
  - (a) for the training of rail safety workers who are to participate in the implementation of the safety management system or who may otherwise be affected by the implementation; and
  - (b) to encourage the awareness, understanding and participation of rail safety workers in the safety management system.
- (2) Provision for induction and ongoing training with regard to rail safety including information, instruction and training on new work practices, procedures, policies and standards, specified hazards and relevant control measures.

**16. Risk management**

- (1) Systems and procedures for compliance with the risk management obligations set out in sections 46 (Management of risks) and 99(1)(c), (d) and (e) (Safety management system) of the Law.
- (2) A risk register that includes —
  - (a) a listing of the risks to safety identified under section 99(1)(c) (Safety management system) of the Law; and
  - (b) details of the assessment of those risks (including their likelihood, likely consequences and ranking); and
  - (c) a description of any elimination or risk control measures that are to be used to manage, so far as is reasonably practicable, those risks, including, where appropriate —
    - (i) the identification of who is responsible for implementing the measures; and
    - (ii) a reference to the general location or locations in the safety management system where more details on the measures can be found.
- (3) Systems and procedures to ensure that the details in the register are current, so far as is reasonably practicable.

**17. Human factors**

Procedures to ensure that human factor matters are taken into account during the development, operation and maintenance of the safety management system and for the integration of human factors principles and knowledge into all relevant aspects of operational and business systems.

**18. Procurement and contract management**

Systems and procedures —

- (a) for the review of tender documents and contracts to ensure that safety requirements under the safety management system are adequately defined and documented in those tender documents and contracts; and
- (b) to ensure that the terms of any tender documents or contracts do not lead to unsafe work or an activity that may affect the safety of railway operations; and
- (c) for the selection and control of contractors and to ensure the monitoring of the performance of contractors, including conducting or commissioning audits of the contractor's performance in relation to the safety aspects of the contract; and



- (d) to ensure that safety duties under the Law are being met under contracts, and procedures for the taking of remedial action where necessary; and
- (e) to ensure that goods and services provided to the railway operation meet the standards and specifications required for the safety of the railway operation.

**19. General engineering and operational systems safety requirements**

- (1) A documented set of engineering standards and procedures, and operational systems, safety standards and procedures, to cover the following, and, if relevant, the interface between any 2 or more of them —
  - (a) rail infrastructure;
  - (b) rolling stock;
  - (c) operational systems.
- (2) Details of the implementation and updating of the documents specified in subclause (1).
- (3) Procedures for the control and verification of the design of structures, rolling stock, equipment, and systems, in accordance with the engineering standards and procedures, and operational systems safety standards specified in subclause (1).
- (4) Systems, procedures and standards for the following in relation to rail infrastructure and rolling stock —
  - (a) engineering design;
  - (b) construction and installation;
  - (c) implementation and commissioning;
  - (d) monitoring and maintenance;
  - (e) system operation;
  - (f) modification;
  - (g) decommissioning or disposal.

**20. Process control**

- (1) Procedures for the rail transport operator to monitor the operator's compliance with the standards and procedures specified in clause 19, including procedures for the inspection and testing of safety related engineering and operational systems.
- (2) Procedures for the control, calibration and maintenance of all equipment used to inspect or test rail infrastructure or rolling stock.

- (3) Arrangements for the establishment and maintenance of inspection and test records to provide evidence of the condition of rail infrastructure or rolling stock.

**21. Asset management**

An asset management policy and processes that address all phases of the asset life cycle of the rail infrastructure or rolling stock operations.

**22. Safety interface coordination**

- (1) Procedures for the identification of interface risks to the safety of railway operations and for the development and implementation of interface agreements in accordance with Part 3 Division 6 Subdivision 2 (Interface agreements) of the Law.
- (2) Procedures for monitoring the implementation and effectiveness of and compliance with interface agreements.

**23. Management of notifiable occurrences**

- (1) Systems and procedures for the reporting of notifiable occurrences in accordance with regulation 57.
- (2) Procedures for the management of the scene of a notifiable occurrence and for the preservation of evidence where reasonably practicable.
- (3) Procedures for the management of all notifiable occurrences, including procedures to enable the determination of which notifiable occurrences are to be investigated, and how investigations are to be conducted.

**24. Rail safety worker competence**

Procedures and, where necessary, standards to ensure compliance with section 117 (Assessment of competence) of the Law.

**25. Security management**

- (1) The security management plan required by section 112 (Security management plan) of the Law.
- (2) Systems and procedures to ensure compliance with section 112 (Security management plan) of the Law and regulation 18.

**26. Emergency management**

- (1) The emergency management plan required by section 113 (Emergency management plan) of the Law.
- (2) Systems and procedures to ensure compliance with section 113 (Emergency management plan) of the Law and Part 4 Division 3 of these regulations.

**27. Health and fitness**

Systems and procedures to ensure compliance with section 114 (Health and fitness management program) of the Law and with regulation 27.

**28. Drugs and alcohol**

Systems and procedures to ensure compliance with section 115 (Drug and alcohol management program) of the Law and with regulation 28.

**29. Fatigue risk management**

Systems and procedures to ensure compliance with section 116 (Fatigue risk management program) of the Law and regulation 29.

**30. Resource availability**

Systems and procedures for estimating the resources, including people and equipment, that the rail transport operator will need to operate and maintain the operator's railway operations and to implement, manage and maintain its safety management system, and for the preparation of plans to ensure that it has adequate access to those resources.

**Note:** Schedule 2 to the SA regulations relates only to New South Wales and accordingly has not been included in this regulation.

**Schedule 3 — Fees**

[r. 58]

**Division 1 — Application fees**

	<b>Section</b>	<b>Description</b>	<b>Fee</b>
1	64(2)(d)	Application for accreditation	\$10 000
2	68(3)(c)	Application for variation of accreditation	\$1 000
3	71(2)	Application for variation of conditions/restrictions of accreditation	\$1 000
4	84(2)(b)	Application for registration	\$1 000
5	87(3)(c)	Application for variation of registration	\$250
6	90(2)	Application for variation of conditions/restrictions of registration	\$250

	<b>Section</b>	<b>Description</b>	<b>Fee</b>
7	205(2)(d)	Application for exemption	\$1 000
8	208(3)(c)	Application for variation of exemption	\$100
9	211(2)	Application for variation of conditions/restrictions of exemption	\$100

## **Division 2 — Annual fees**

### **1. Annual fees**

- (1) Pursuant to section 76(1) of the Law, the annual fee payable by an accredited person in respect of a financial year is to be calculated by adding the fixed component (F) to the relevant variable component (V) for each of the jurisdictions in which the accredited person carries out railway operations. For example, if the accredited person carries out railway operations in 4 jurisdictions in a financial year, the annual fee payable in respect of that year would be calculated as follows —

$$A = F + V_{\text{jurisdiction 1}} + V_{\text{jurisdiction 2}} + V_{\text{jurisdiction 3}} + V_{\text{jurisdiction 4}}$$

where —

A is the annual fee

F is the fixed component (\$15 000) of the annual fee

**Note:** If an accredited person is both a rail infrastructure manager and a rolling stock operator, the fixed component of the annual fee is payable only once in respect of each financial year.

V, in respect of a particular jurisdiction, is the variable component of the annual fee (see explanation and formula set out below as to how to calculate the variable component)

The variable component (V), in respect of each jurisdiction in which the accredited person carries out railway operations, is the product of the relevant rates as set out in the table below and either (or both) of the following as relevant —

- (a) in the case of an accredited person who is a rail infrastructure manager — the number of kilometres of track over which the manager has effective management and control within the jurisdiction;
- (b) in the case of an accredited person who is a rolling stock operator — the number of kilometres travelled within the jurisdiction by trains over which the operator has effective management and control,

and is to be calculated as follows —

$$V_{\text{jurisdiction}} = (T \times R_T) + (t \times R_t)$$

where —

V, in respect of a particular jurisdiction, is the variable component of the annual fee

T is the kilometres of track managed by a rail infrastructure manager

R<sub>T</sub> is equal to the rate per kilometre of track managed by a rail infrastructure manager

t is the kilometres travelled by trains of a rolling stock operator

R<sub>t</sub> is equal to the rate per kilometre travelled by trains of a rolling stock operator

**Table**

Rate per kilometre of track managed by a rail infrastructure manager (\$/km) (R <sub>T</sub> )	95.83
Rate per kilometre travelled by trains of a rolling stock operator (\$/km) (R <sub>t</sub> )	0.051

- (2) Pursuant to section 95(1) of the Law, the annual fee payable by a registered person is \$500 (regardless of the number of private sidings in respect of which the person is registered and the participating jurisdiction or participating jurisdictions in which the private sidings are located).
- (3) For the purposes of section 76(2) and 95(2) of the Law, the prescribed date for the payment of annual fees is 31 October in each year.
- (4) For the purposes of section 76(4)(d) and 95(4)(d) of the Law, an additional fee of an amount equivalent to 15% of the annual fee is payable if the annual fee is not paid on or before the prescribed date.