SAFETY MANAGEMENT SYSTEM CHECKLIST

SAFETY MANAGEMENT SYSTEM (SMS) CHECKLIST
SAFETY POLICY
SAFETY CULTURE
GOVERNANCE AND INTERNAL CONTROL ARRANGEMENT
MANAGEMENT, RESPONSIBILITIES, ACCOUNTABILITIES AND AUTHORITIES
REGULATORY COMPLIANCE
DOCUMENT CONTROL ARRANGEMENTS AND INFORMATION MANAGEMENT
REVIEW OF THE SAFETY MANAGEMENT SYSTEM
SAFETY PERFORMANCE MEASURES
SAFETY AUDIT ARRANGEMENTS
CORRECTIVE ACTION
MANAGEMENT OF CHANGE
CONSULTATION
INTERNAL COMMUNICATION
TRAINING AND INSTRUCTION
RISK MANAGEMENT
HUMAN FACTORS
PROCUREMENT AND CONTRACT MANAGEMENT
GENERAL ENGINEERING AND OPERATIONAL SYSTEMS SAFETY REQUIREMENTS
PROCESS CONTROL
ASSET MANAGEMENT
SAFETY INTERFACE COORDINATION
MANAGEMENT OF NOTIFIABLE OCCURRENCES
RAIL SAFETY WORKER COMPETENCE
SECURITY MANAGEMENT
EMERGENCY MANAGEMENT
HEALTH AND FITNESS
DRUGS AND ALCOHOL
FATIGUE RISK MANAGEMENT
RESOURCE AVAILABILITY
SAFETY MANAGEMENT SYSTEM (SMS) CHECKLIST

The Safety Management System (SMS) Checklist is to provide accredited rail transport operators with guidance on the mandatory elements of a Safety Management System that is compliant with rail safety legislation, including as part of a Change of Management process or annual review, namely:

- A Safety Management System that complies with the legislative requirements of Schedule 1 of the National Regulations.
- The legislative requirements for safety management in accordance with The Rail Safety National Law (RSNL).
- The requirements the National Rail Safety Regulator (NRSR) looks for when assessing the Safety Management System.

An effective SMS is inclusive of:

- Management’s commitment to safety with the continuous improvement in safety management and culture.
- The risk management process:
  - Recognition of the importance of a collaborative and consultative approach involving all stakeholders in all stages of the risk management process, including periodic management system reviews.
  - Systemic controls to ensure that hazards are recognised in a timely manner.
  - Systematic, explicit and comprehensive processes for proactive risk management.
- Evaluation and review processes, including inspections, internal and external audits.
- Technical and personnel operating, engineering and maintenance standards and procedures, inclusive of technical maintenance plans.

The SMS Checklist is a guidance tool. The Rail Safety National Law and National Regulations should be used as a reference.

Rail transport operators must undertake consultation in accordance with the legislation before establishing a Safety Management System.

Mandatory elements to be included in the rail transport operator’s Safety Management System are as follows.
SAFETY POLICY

- The SMS must specify and substantiate the initiatives in place for discharging and maintaining a Safety Policy. The documented Safety Policy should explicitly outline the rail transport operator’s commitment to risk management and compliance with internal and external procedures in which risk controls are embedded, and commit to the development and maintenance of a positive safety culture.
- A Safety Policy(s) that is affiliated with other organisational policies are approved and endorsed by the Chief Executive and Governing Body of the rail transport operator.
- The rail transport operator’s commitment to guarantee effective implementation of a Safety Policy is established by:
  - Creating a culture of working safely.
  - Creating an environment where all incidents are reported and associated learnings are conveyed.
  - Implementation of quantifiable objectives/targets to ensure continuous improvement designed at eliminating work-related injury and illness.
  - Execution and implementation of effective risk management systems to identify hazards in order to eliminate the hazard or control/reduce risks.
  - Full compliance with all relevant health and safety legislation and regulatory requirements.
  - Effective consultation and communication mechanisms that ensure involvement of employees and stakeholders in the decision making process that could potentially impact on health and safety.
  - Provision of applicable training and awareness programs to ensure competency of all employees.
  - Implementation of formal management safety accountabilities and performance reviews.
  - Robust processes to monitor and review health and safety performance.
  - Resources to meet the objectives of the Safety Policy.
- The rail transport operator’s commitment that the Safety Policy is reviewed annually.
- The rail transport operator’s commitment to communicate its Safety Policy, inclusive of any changes, to its employees and stakeholders.
SAFETY CULTURE

• The SMS requisite to include procedures to develop and maintain a positive safety culture, so far as reasonable practicable, with particular attention given to:
  - Clear demonstration and prominence of senior management’s commitment to safety.
  - The executive safety role of line management.
  - Rail safety workers involvement in safety decisions at all levels.
  - Effective top-down communication between management and employees for the development of a positive safety culture and interdependency. This is applicable to both personal safety and major accident prevention.
  - Active employee participation in risk identification, risk assessment, usability and maintainability assessments to prevent and control hazards.

• Effective processes for the integration of human factor principles into all aspects of rail safety. The SMS must reflect an understanding within the railway organisation that human error is normal and that systems need to be designed to complement the human-related issues which contribute to safety.

• Commitment to maintaining and demonstrating continual improvement in all aspects of safety.

• Sufficiency of resources for the implementation, management and maintenance of the rail transport operator’s SMS.

GOVERNANCE AND INTERNAL CONTROL ARRANGEMENT

• The SMS is inclusive of appropriate systems and procedures to certify that those with a responsibility for governance are provided with sufficient information in relation to the impact of high level decisions on the safety performance of the railway organisation.

• The implementation of systems and internal control mechanisms, which facilitate the Chief Executive and Governing Body of the rail transport operator to determine whether:
  - The SMS is working effectively.
  - Potential risks to safety arising from reasonably foreseeable hazards are identified, assessed, eliminated or controlled, as far as reasonably practicable.
  - Risk assessments and methods used to monitor safety and control risks are subjected to regular review and improvement.
  - The rail operator is compliant with its duties and obligations under the RSNL and regulatory requirements.
  - Asset condition and reliability will be achieved and sustained through engineering, technical and financial management, enabling safety and performance targets to be met.
  - Sufficient resource allocation for maintaining the SMS.
  - Internal systems and procedures demonstrate the rail transport operator have exercised due diligence in discharging their responsibilities in relation to safety.

• Procedures to ensure effective implementation of safety decisions and directions made by the Chief Executive and Governing Body of the rail transport operator.
MANAGEMENT, RESPONSIBILITIES, ACCOUNTABILITIES AND AUTHORITIES

• The SMS must incorporate the appropriate assignment and delegation of safety responsibilities, inclusive of risk control measures and compliance with The Rail Safety National Law and National Regulations.

• The SMS must include:
  – Identification of personnel who are responsible for maintaining the rail transport operator’s SMS. The nominated personnel will have specific responsibilities and authority for monitoring and review, hold the qualifications, experience and competence necessary to discharge their responsibilities effectively.
  – Organisational charts and policies which clearly define the responsibilities, accountabilities, authorities and interrelation of all personnel who manage, perform and verify work relating to and affecting safety.

• Documentation which clearly defines lines of accountability for personnel certifying the safety of critical infrastructure, equipment and operations.

• Procedures through which personnel with safety responsibilities must report risks and be assessed against to ensure that they are discharging their obligations with due diligence.

REGULATORY COMPLIANCE

• The SMS must be include overarching systems and procedures for the identification of safety requirements and monitoring of legislation changes under the Rail Safety National Law (RSNL) and other safety legislation, inclusive of processes to ensure compliance with such requirements.
DOCUMENT CONTROL ARRANGEMENTS AND INFORMATION MANAGEMENT

- The SMS must incorporate sufficient systems and procedures for document management control and information relevant to the management of risks to safety concomitant with rail transport operations, namely:
  - Identification, creation, management, storage and retention of safety documentation and records.
  - Ensuring the currency of safety documentation and records required for rail transport operations.
  - Prompt communication to rail safety workers and personnel of any changes to the document management control systems and procedures, inclusive of dissemination of amended safety information and documentation.

REVIEW OF THE SAFETY MANAGEMENT SYSTEM

- In accordance with section 102 Review of Safety Management System of the Rail Safety National Law and Regulation 17, the SMS must incorporate systems and procedures for the review of the rail transport operator’s Safety Management System.
- Documentation of the matters set out in Regulation 17(3).

SAFETY PERFORMANCE MEASURES

- The SMS must incorporate suitable and sufficient systems and procedures for reviewing and reporting on both SMS effectiveness and projected safety objectives and performance levels, inclusive of time scales, to ensure risks are as low as reasonably practicable.
- Development of appropriate key performance indicators tailored to the specific circumstances of the rail transport operator to measure safety performance and determine the effectiveness of the SMS, which is linked to the risk management process.
- Implementation of appropriate systems and procedures to certify the collection, analysis, assessment and dissemination of safety information held by the rail transport operator.
SAFETY AUDIT ARRANGEMENTS

• The SMS is inclusive of processes and procedures for collecting information on the efficacy, proficiency and dependability of the SMS through sufficient safety audit programs and to determine whether the rail transport operations comply with the Safety Management System.

• A safety audit program with procedures to ensure:
  – Suitably qualified persons carry out periodic audits and assessments of the SMS components in an impartial, independent and transparent way. Auditors should be independent from the organisational unit being audited and conflict of interest between the assessing and the assessed party should be avoided.
  – The frequency and scheduling of audits are prioritised based on activities which are associated with the greatest level of safety risks.
  – Audit reports with recommendations for corrective action are submitted to the Chief Executive and Governing Body of the rail transport operator with detailed documentation on the rationale and level of escalation.
  – Line managers to perform separate documented inspection and supervision processes, which are appraised as part of the audit program.
  – Substantial concerns identified from audit reports must be subjected to a risk assessment and any changes must be managed in accordance with internal change management protocols and procedures.
  – The audit system itself is subject to audit to ensure its effectiveness.

• Procedures for:
  – Communicating the findings of audits to those people who are responsible for the management of the rail transport operations in the area audited for review and, where pertinent, for corrective action.
  – The registration and effective implementation of recommendations for corrective action identified by the audit.

CORRECTIVE ACTION

• The SMS must include procedures to ensure that corrective action is undertaken in response to safety insufficiencies identified following inspections, testing, audits, investigation, hazard identification/reporting or notifiable occurrences, so far as reasonably practicable.

• The provision of specific procedures for:
  – Corrective actions undertaken to be registered.
  – Reviewing the effectiveness of recommended corrective actions undertaken.
  – Prioritising corrective action appropriately to rectify non-conformance and prevent reoccurrence to those matters signifying the utmost safety risk.
  – The appropriate assignment and delegation of responsibility for corrective action to competent persons.
MANAGEMENT OF CHANGE

• The SMS must include comprehensive processes and procedures to ensure the safe Management of Change (MOC). It is a condition of accreditation that certain decisions, proposed events or changes must be notified to the National Rail Safety Regulator (NRSR) in writing within the time prescribed in the legislation.

• The MOC processes must identify and manage the various risks associated with change, which is planned or unplanned, unavoidable or unintended, where the impact of change can significantly affect the safety of railway operations and the rail transport operator’s accredited activities.

• Procedures including, but not limited to, for ensuring, so far as is reasonably practicable, that:
  – Changes are clearly defined and described in the context of how the changes may affect the safety of the railway operations.
  – Consultation undertaken with stakeholders and all relevant personnel in the rail transport operation, interfacing external organisations and other affected persons are aware of the proposed change, with the opportunity to comment on safety aspects, prior to varying the SMS.
  – Changes are documented and updated in the SMS in a specific change register or the Risk Register, inclusive of any amendments to risks and control measures.
  – Rail safety workers involved in the railway operations, and employees of the rail transport operator, are fully informed and trained to understand the ramifications of the changes.
  – The proposed changes, where applicable, are consistent with accepted codes.

• In accordance with the condition of accreditation, proposed changes and specified decisions, must be notified to the National Rail Safety Regulator (NRSR) within the time prescribed in the legislation.

• The requirements of section 99(1)(c) and (d) Safety Management System of the RSNL are observed in relation to any risks associated with the proposed change.

• Monitoring, review and assessment of the change is undertaken, documented and required corrective actions implemented, to ensure that control measures perform as planned and are being appropriately managed.
CONSULTATION

• In accordance with section 99(3) Safety Management System of Rail Safety National Law, the SMS must include effective processes and procedures for the participation of, and consultation with, rail safety workers, their representatives and other stakeholders, in regard to decisions that affect the safety of the rail transport operations.

• The collaboration and consultation of rail safety workers, their representatives and stakeholders:
  – In the risk management process.
  – In the development, improvement and review of the Safety Management System.
  – In the development, review and improvement of procedures.

• Recommended rail safety worker and representative consultation in:
  – Drafting the rail transport operator’s Safety Policy. A collaborative approach will help ensure that significant employee concerns are addressed in the policy and will provide an additional vehicle for communicating the rail transport operator’s commitment to safety.
  – Setting annual safety targets and identifying the associated safety initiatives.
  – The risk assessment process inclusive of mechanisms for employees to identify safety issues and concerns on a routine and ongoing basis. These mechanisms should have a high level of visibility and participation to ensure that all risks are identified.
  – The development of risk control strategies, particularly for risks that they have identified.

• Rail safety workers, their representatives and stakeholders should be informed of corrective actions that are being undertaken or that are planned to address the safety
INTERNAL COMMUNICATION

• The SMS must include a verifiable process for disseminating safety information and procedures in regard to the context of the Safety Management System, where appropriate, to all stakeholders who are to participate in the implementation of the system or who may be otherwise affected by the implementation.
• The processes must ensure that all people undertaking rail safety work are provided with the necessary information to enable them to effectively discharge their responsibilities in relation to safety, which is supported by ongoing monitoring and review of the effectiveness of these pathways.
• Systems and procedures to ensure:
  – The communication of the rail transport operator’s Safety Policy, inclusive of safety objectives to all stakeholders who are to participate in the implementation of the Safety Management System.
  – Dissemination of information and communication throughout all levels of the railway organisation.
  – The internal reporting of occurrences and accidents involving the rail transport operations with supporting policies, including occurrences and accidents involving contractors and subcontractors.

TRAINING AND INSTRUCTION

• Systems and procedures:
  – 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.
  – To encourage the awareness, understanding and participation of rail safety workers in the Safety Management System.
• Provision for induction and ongoing training with regard to rail safety including information, instruction and training on new work practices, safe work procedures, policies and standards, specified hazards and relevant control measures.
RISK MANAGEMENT

• The SMS must provide for the development and implementation of a systematic approach to risk management to ensure that all reasonably foreseeable hazards are identified, safety risks relevant to the operations are assessed, improvements prioritised and effective control and mitigation measures are executed.

• For risk management principles to be an effective component of an overall SMS, rail transport operator should follow systems and procedures for compliance obligations set out in sections 46 Management of Risks and 99(1)(c), (d) and (e) Safety Management System of the Rail Safety National Law (RSNL).

• A Risk Register must be included in the SMS with procedures to ensure the details are current, so far as is reasonably practicable. The need to keep a risk register updated introduces a necessary interface with asset management systems in order to ensure that works undertaken and changes in asset condition are reflected in the register. Such a link should be evident in the rail transport operator’s SMS.

• The Risk Register should identify, prioritise and give references to the management measures to control, mitigate or eliminate significant risks. This should include risk to employees, passengers, public, contractors and any other operators who may be affected.

• The following components must be included in the Risk Register:
  – A comprehensive listing of the risks to safety identified under section 99(1)(c) Safety Management System of the RSNL.
  – Estimated levels/ranking of consequences, likelihood and risk within existing controls and with proposed additional controls implemented.
  – Risk assessments undertaken with supporting data.
  – Risk control measures that have been considered, but rejected.
  – Key standards applicable to each control measure (engineering, operational, maintenance), and cross-referencing to other relevant aspects of the SMS such as operating rules/procedures, training and competency requirements, inspection/testing/audit regime etc.
  – A description of risk control measures that are to be implemented to eliminate or manage those risks, so far as is reasonably practicable.
  – Nomination of person responsible for implementing each risk control measure.
  – A reference to the general location or locations in the SMS where specific details on the control measures can be found.
• The key aspect of the risk register is the demonstration of the linking of control measures to the associated risk and the information that it contains should include as a minimum the area, activity function, or scope that the register relates to, such as:
  – Information detailing when the register was last amended or reviewed.
  – A brief description of each potential incident, including a summary of the main hazards.
  – Other organisations responsible where the risk is not under direct control.
  – Existing control measures applicable to each hazard.
  – Control measures proposed for future implementation together with a plan for implementation.

• The rail transport operator’s Safety Management System must include systems and procedures for the review and revision of the adequacy of control measures, namely:
  – The effectiveness and reliability of the control measures have been periodically assessed, particularly with respect to human reliability where operator behaviour is a critical control measure.

**HUMAN FACTORS**

• The SMS must include effective processes for the integration of human factor principles into all aspects of rail safety. The SMS must reflect an understanding within the railway organisation that human error is normal and systems need to be designed to complement the human operator.
• Integration of human factors is essential in many aspects of operational and business systems that are the framework of the SMS.
• Systems and procedures to ensure the systematic identification and analysis of relevant human factor issues and the application of appropriate tools, methods and control measures to address such issues.
The SMS must include suitable and sufficient processes to warrant the competence and capacity of all contractors and suppliers and ensure they have appropriate risk management and SMSs in place. Implementation of an appropriate management system where the maintenance and engineering support for key safety assets is contracted to other parties.

The SMS must include suitable and sufficient procedures for:

- The review of tender documents and contracts to ensure that safety requirements outlined in the rail transport operator’s SMS are adequately defined and documented.
- Ensuring the terms of any tender documents or contracts do not lead to unsafe work or an activity that may affect the safety of rail transport operations.
- Selection criteria and accreditation of contractors.
- Ensuring contractors are subject to the safety duty of the rail transport operator for whom they undertake work and so far as is reasonably practicable, the safety of the railway operations they undertake.
- Regular recording and reviewing of the performance of contractors and sub-contractors, including conducting or commissioning audits of the contractor’s performance in relation to the safety aspects of the contract.
- Ensuring that safety duties under the Rail Safety National Law are being met under contracts, inclusive of procedures for undertaking corrective action where necessary.
- Ensuring through appropriate monitoring, that the supplies and services offered consistently meet the standards and specifications of the rail
GENERAL ENGINEERING AND OPERATIONAL SYSTEMS SAFETY REQUIREMENTS

• A documented set of engineering standards and procedures, operational systems safety standards and procedures must be incorporated in the Safety Management System to cover all relevant aspects of the following, and, if appropriate, the interface between two or more of them:
  – Rail infrastructure.
  – Rolling stock.
  – Operational systems.

• Details of the implementation and updating of these documents, in accordance with Document Control Arrangements and Information Management.

• 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.

• Systems, procedures and standards for the following in relation to rail infrastructure and rolling stock:
  – Engineering design.
  – Construction and installation.
  – Implementation and commissioning.
  – Monitoring and maintenance.
  – System operation.
  – Modification.
  – Decommissioning or disposal.

PROCESS CONTROL

• The SMS must include documented procedures that are suitable and sufficient to ensure the safe implementation of railway operations. These are attained by:
  – Establishment and suitable application of standards and procedures.
  – Procedures to effectively monitor the rail transport operator’s compliance with the standards and procedures specified.
  – Corrective action in response to inadequacies identified.

• The Safety Management System must include safety related inspection and testing procedures in relation to engineering and operational systems which explicitly defines:
  – The scope and frequency of testing and inspections undertaken with consideration given to operational criteria, rate of deterioration, consequences of failure and rate of reoccurrence.
  – The establishment and maintenance of inspection and test records in accordance with Document Control Arrangements and Information Management standards to document evidence of the condition of rail infrastructure or rolling stock and links to processes for corrective action, as required.
  – Maintenance, control and calibration of all testing equipment used to inspect rail infrastructure or rolling stock.
ASSET MANAGEMENT

• In accordance with legislative requirements, the SMS must incorporate an effective Asset Management Policy inclusive of processes, which address all phases of the asset lifecycle of the rail infrastructure or rolling stock operations. With the adoption of a strategic approach which is aligned to the documented risk management framework in each phase of an asset’s lifecycle, including:

  – Concept.
  – Design.
  – Construction.
  – Implementation.
  – Commissioning.
  – Operation.
  – Monitoring (testing and inspection).
  – Maintenance.
  – Modification.
  – Decommissioning phases.

• The Asset Management Policy and processes must clearly indicate:

  – The accountability of line management for all asset safety and the approval and endorsement by the Chief Executive and Governing Body of the rail transport operator in accordance with Governance and Internal Control Arrangements and Management, Responsibilities, Accountabilities and Authorities.
  – The identification of technically qualified and competent persons responsible for asset integrity and safety, inclusive of contractors.
  – Defined serviceability and safety standards as specified in General Engineering and Operational Systems Safety Requirements.
  – Controlled processes in accordance with Process Control.
SAFETY INTERFACE COORDINATION

• The SMS must include processes for the development and implementation of Safety Interface Agreements in accordance with Part 3 Division 6 Subdivision 2 Interface Agreements of the Rail Safety National Law (RSNL) for:
  - The identification of interface risks to the safety of railway operations.
  - Interface agreements to manage the interface risks identified.
  - Monitoring the implementation and effectiveness of and compliance with interface agreements.

• The Interface Agreement must incorporate the following minimum provisions:
  - The implementation and maintenance of control measures applied to manage safety risks associated with the interface, inclusive of evaluation, testing and, if required, the modification of control measures.
  - Each parties’ respective roles and responsibilities of the Interface Agreement in relation to each control measure.
  - Monitoring procedures to determine and evaluate each parties compliance with the obligations under the Interface Agreement.
  - The exchange of information between the parties as part of their obligations under the Interface Agreement.
  - The activation and frequency of reviews of the Interface Agreement, and if required, the amendment of the Interface Agreement.
  - Details of the parties’ representatives and emergency contact details should be recorded in the Interface agreement.

• The establishment and maintenance of an Interface Agreement register in accordance with RSNL.

MANAGEMENT OF NOTIFIABLE OCCURRENCES

• The Safety Management System must include systems and procedures for:
  - The reporting of notifiable occurrences to the NRSR, within the time and manner required in the legislation, and including all the information required by the NRSR.
  - The management of the scene of a notifiable occurrence and for the preservation of evidence where reasonably practicable.
  - 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.

• Supporting systems and procedures to ensure staff are appropriately trained and competent to deal with a notifiable occurrence.
RAIL SAFETY WORKER COMPETENCE

- The rail transport operator must ensure that each rail safety worker who is required to carry out rail safety work in relation to railway operations is accredited and has the competence to carry out that work in accordance with section 117 of the RSNL.
- The RSNL prescribes certain requirements for competency that rail transport operators must demonstrate, including that:
  - Rail safety workers have the knowledge and skills required to do their work safely.
  - Rail safety workers have been trained in accordance with the appropriate Australian Quality Training Framework (AQTF) and any units of competency recognised under the Australian Qualifications Framework (AQF).
  - Records of training have been retained.
  - A rail safety worker’s qualifications can be checked.
  - There is periodic re-assessment of rail safety workers.

SECURITY MANAGEMENT

- The SMS must include a suitable and sufficient Security Management Plan for the integration of security into all aspects of rail safety as required by section 112 of the RSNL.
- Systems and procedures to ensure compliance with section 112 Security Management Plan of the RSNL and Regulation 18.
- The Security Management Plan should include the following:
  - An assessment of the security risks affecting the public, staff, rolling stock and associated infrastructure.
  - The measures to be used to eliminate or reduce identified security risks, including training, policies, procedures and practices, equipment, facilities and physical resources.
  - The measures to be used for responding to higher threat situations (low, medium, high and extreme) in accordance with the national terrorism alert levels.
  - Procedures that are effective and timely for reporting and dealing with security threats, security breaches and other security occurrences.
  - Provision for the establishment and maintenance of an intelligence database, containing details of security breaches and security occurrences for data analysis.
  - Procedures for dealing with emergencies and responses to emergencies, in situations dealt with by the railway organisation and situations coordinated by other bodies.
  - The allocation of responsibilities for security to appropriate and competent persons.
EMERGENCY MANAGEMENT

- The SMS must include an effective Emergency Management Plan as required by section 113 of the RSNL.
- Systems and procedures to ensure compliance with section 113 Emergency Management Plan of the RSNL and Part 4 Division 3 of these regulations.
- The Emergency Management Plan supporting systems and procedures must take into account the seriousness of the occurrence or emergency, and the potential danger.
- The Emergency Management Plan must include:
  - Allocation of roles and responsibilities within and between organisations.
  - Training and arrangements to maintain competence in emergency situations.
  - Initial response procedures.
  - Call-out procedures.
  - On-site management of the occurrence.
  - Liaison with relevant emergency services.
  - Arrangements for effective communications and co-operation throughout the emergency response.
  - Recovery procedures.
  - Initiation of investigation.
- The viability and efficiency of emergency procedures must be established by practical testing.

HEALTH AND FITNESS

- The SMS must include a program for the Management of Heath and Fitness to ensure employees and contractors who perform rail safety work are of sufficient good health and fitness to perform the functions for which they are certified or the tasks they undertake.
- The systems and procedures of the Management of Heath and Fitness program must comply with section 114 of the RSNL, regulation 27 and requirements of the National Standard for Health Assessment of Rail Safety Workers, published by the National Transport Commission, as amended periodically.
DRUGS AND ALCOHOL

- The SMS must include an effective Drug and Alcohol Management Program to ensure, so far as reasonably practicable, employees and contractors who perform rail safety work are not working under the influence of drugs or alcohol.
- The rail transport operator must implement systems and procedures of the Drug and Alcohol Management Program in accordance with the requirements set out in section 115 Drug and Alcohol Management Program of the Law and Regulation 28 of the National Regulations, for rail safety workers, as defined in the RSNL.
- In accordance with the RSNL, The Drug and Alcohol Management Program must include:
  - The provision of information to rail safety workers about their responsibilities and obligations in relation to drug and alcohol use.
  - Possible disciplinary action and other penalties that may be taken by the rail transport operator if there is a breach of those obligations.
  - Details of the drug and alcohol testing regime, including testing procedures.
- The Drug and Alcohol Management Program and testing regime should be regularly reviewed and continuously improved, taking into account the efficacy of the program which is subject to audit by the NRSR.

FATIGUE RISK MANAGEMENT

- The SMS must include a Fatigue Risk Management Program to ensure employees and contractors that perform rail safety work are not subject to levels of fatigue that compromise their ability to perform their work safely and competently.
- The rail transport operator must implement systems and procedures of the Fatigue Risk Management Program to ensure compliance with section 116 Fatigue Risk Management Program of the Law and regulation 29 of the National Regulations, for the management of fatigue of rail safety workers, as defined in the RSNL.

RESOURCE AVAILABILITY

- The SMS must include suitable and sufficient systems and procedures for sufficiency of resources, inclusive of people and equipment, to ensure the safe operation and maintenance of the railway operations, and to implement, manage and maintain the Safety Management System.