



2018-2021

// CORPORATE PLAN



safe railways for Australia

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CHIEF EXECUTIVE'S // MESSAGE



All of us in this industry will know the somewhat clichéd association rail has with bygone eras – the time of early settlers and epic frontier journeys and the age old romance of steam locomotives. Sometimes it seems railways were a constant staple of the good old days. The reality is rail transport in Australia has an exciting new story to tell, one of modern operations and advanced systems and strategies that are every bit as influential as those of the pioneering past.

It's a theme that resonates strongly with the path the Office of the National Rail Safety Regulator (ONRSR) is following as we too modernise and adapt our regulatory functions to stay ahead of the curve.

Once again the ONRSR Corporate Plan outlines the projects and initiatives we are undertaking over the next three years in pursuit of our corporate goals. To reflect organisational maturity and adaptability, these goals have been reviewed and recast for this latest iteration of the plan. Five years on from our establishment, and with a presence in every state and territory, our four corporate goals now further focus our efforts on the key objectives we have under *Rail Safety National Law* to encourage safe rail operations, enforce compliance with the law and to promote and improve national rail safety. Specifically, the ONRSR Corporate Plan 2018–2021 reflects the important emphasis we are placing on the development of smart systems designed to optimise both our exchange of information with regulated parties and our regulatory intelligence capability. Together with our ongoing commitment to providing high quality and consistent regulatory interactions, safety improvement initiatives and industry guidance, the intent is to present a plan that when executed will ensure both industry and the Australian public are afforded all the benefits of *Rail Safety National Law*.

Importantly a number of the undertakings detailed in this plan had their genesis in our last stakeholder survey which along with our expanding bank of national knowledge has proven an invaluable resource with which to plan in the co-regulatory environment.

I trust the following pages provide you with a clear illustration of how we are combining technical advances and investment in our people with a continued focus on quality face-to-face interactions, and I look forward to continuing to work with all our stakeholders to keep Australians safe on our rail networks as we embrace an exciting future for the industry.

Sue McCarrey
Chief Executive
May 2018

ABOUT THIS PLAN

ONRSR's Corporate Plan 2018–2021 outlines our planned activities, strategic goals and milestones and how we will measure our performance over the next three years. It provides the framework for ONRSR's business plan and individual performance agreements.

OUR PURPOSE STATEMENT

ONRSR is a Body Corporate under the *Rail Safety National Law (South Australia) Act 2012* (RSNL). Our primary objectives are to encourage safe rail operations, enforce compliance with the RSNL and to promote and improve national rail safety.

OUR VISION

Safe railways for Australia

OUR VALUES

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

- > **INTEGRITY.**
We have moral courage and are honest and straightforward in our approach.
- > **RESPECT.**
We have respect for each other and our stakeholders.
- > **INDEPENDENCE.**
Our decision making is responsive and free from bias and influence.
- > **DILIGENCE.**
We persevere and apply ourselves in a conscientious manner.
- > **EXCELLENCE.**
We are professional, high performing and strive for continuous improvement.

**OUR GOVERNANCE
STRUCTURE**

The National Rail Safety Regulator and Chief Executive of ONRSR is Sue McCarrey. The Chief Executive is supported by two Non-Executive Members – Peter Batchelor and Catherine Scott.

The Chief Executive is also supported by an Executive team comprising Executive Directors and the Senior Manager Risk and Analysis. Delivery of operational regulatory functions is undertaken by staff either directly employed by ONRSR or working via a service level agreement. Operational staff in each state provide national rail safety regulation tailored to local contexts.

**OUR RELATIONSHIPS
AND STAKEHOLDERS**

Our primary objective is the safety of the community through encouraging and enforcing safe railway operations, including promoting and improving national rail safety on behalf of Australian governments. We aim to do this by working together to enhance and promote rail safety through effective risk-based regulation. We continue to develop our relationships with the wider rail industry – operators, unions, owners, contractors, maintainers – as well as state, territory and federal governments and agencies, rail safety associations and practitioners.

Additionally, we regularly communicate and consult with jurisdictional government departments, the National Transport Commission, the Australian Transport Safety Bureau, the Rail Industry Safety and Standards Board, the Australasian Railway Association, the Association of Tourist and Heritage Railways Australia, industry safety managers and unions.

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

OUR OPERATING ENVIRONMENT

ONRSR's current national safety priorities:



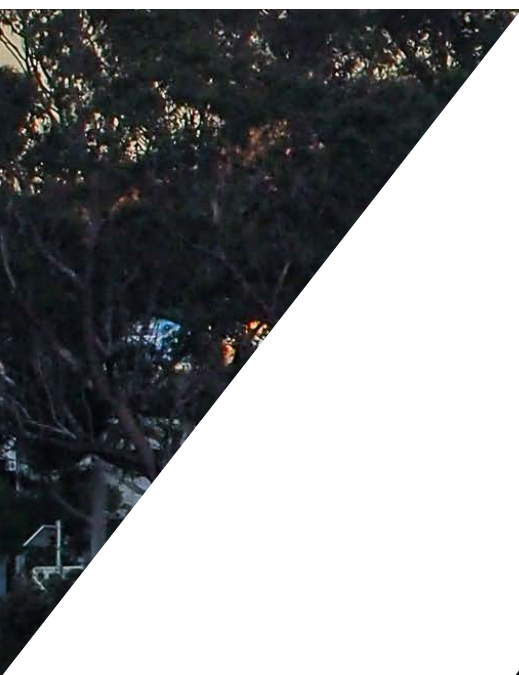
1. TRACK WORKER SAFETY

Track work – competency and communication has been an ONRSR priority since 2016 and was the focus of a national compliance project throughout that time. Findings from this project have led ONRSR to redefine the scope of this priority area in 2018 and launch a new national compliance project, focusing on unplanned and reactive track work activities. An industry-wide safety improvement initiative will also be progressed, which will be based on the findings of the compliance projects, as well as the research investigation undertaken by the Australian Transport Safety Bureau.



2. LEVEL CROSSING SAFETY

Excluding trespass and suicide, accidents at level crossings account for the largest number of railway-related fatalities involving members of the public. Industry and governments are taking a leading role in addressing safety risks at level crossings and ONRSR continues to provide its full support. A number of jurisdictions have level crossing committees and ONRSR provides regular occurrence data and information to inform the safety-related decisions made by these committees. ONRSR will increase its focus on this area by scoping a safety improvement project which will support industry and government to promote improvements in level crossing safety nationally.





3. TOURIST AND HERITAGE SECTOR, SAFETY MANAGEMENT CAPABILITY

Through its interactions with the sector ONRSR is aware of the challenges that tourist and heritage operators face with maintaining a safety management system that is compliant with legislative requirements, yet suitable for volunteer-resourced organisations to administer. ONRSR will increase its efforts in this area by scoping a safety improvement project focused on tourist and heritage operators, involving safety management capability.



4. ROAD RAIL VEHICLE (RRV) SAFETY

This area has been a national priority for ONRSR since 2016 and was the focus of a national compliance project throughout that time. While there has been some evidence that operators have responded to guidance material offered by ONRSR, the persistently concerning rate of RRV-related occurrences means it will continue to be a focus of ONRSR's. A new national compliance project will be delivered which will shift attention from RRV operators to rail infrastructure managers, who must maintain effective management and control of RRV operations on their network.



ONRSR RAIL SAFETY REPORT

ONRSR's Rail Safety Report is our annual record and statistical analysis of safety performance across the Australian rail industry. The Rail Safety Report and updated information on Australia's rail safety environment is available at www.onrsr.com.au

STATEMENT OF INTENT

Our Statement of Intent outlines our objectives and describes our key functions and priorities. These priorities provide the framework for the strategic and operational goals set out in this plan.

Our Statement of Intent 2018–2021 was agreed by the Transport and Infrastructure Council in May 2018 and is available at www.onrsr.com.au

THE ONRSR WAY

The ONRSR Way clearly articulates how the national regulator works by setting out our high level approach to regulating rail safety and achieving compliance with the RSNL. It outlines the key principles that underpin our regulatory activities.

ONRSR strives to be a visible player in the rail industry, respected for conducting value-adding interactions that are informed by a strategic combination of industry intelligence, knowledge of operations and use of rail safety data. We have the dual, but complementary, roles of administrator of the RSNL accreditation regime and the regulator of a duty-based safety management regime.

The ONRSR Way is supported by our corporate policies, procedures and guidelines and, along with all key documents, is available at www.onrsr.com.au

LAST YEAR'S PERFORMANCE

In addition to our comprehensive national regulatory activities, ONRSR successfully delivered upon a majority of the milestones set out in its Corporate Plan 2017–2020 for the financial year 2016–2017. Achievements included the transition to direct delivery of rail safety regulation in New South Wales and the establishment of operations in Queensland, the provision of summary national occurrence data to enable benchmarking of performance, the completion of Executive and emerging staff leadership programs and unqualified financials. Elsewhere 2017 saw ONRSR implement a new cost recovery methodology and regulation for the collection of fees for major projects, recast our national operational priorities and play a successful role in delivering the inaugural Australian Rail Safety Roadshow.

As with any organisation, emerging challenges and changing priorities impacted on the delivery of some milestones. Detailed achievements against the plan will be contained in our Annual Report 2017–2018.



INTEGRATED RISK, PLANNING AND REPORTING

ONRSR recognises that good governance requires a focus on risk management and strategic planning and reporting to ensure it achieves its objectives. Our Risk Management Policy and framework reflect regulatory and enterprise risks and the principles and processes outlined in the international risk management standard AS/NZS ISO 31000.

Regulatory risks are those associated with rail safety and are assessed and addressed under a comprehensive risk-based assessment process based on rail safety industry performance data and ONRSR regulatory intelligence. Oversight of ONRSR's regulatory risk management is provided through our internal National Operations Committee.

Enterprise risks are those which may impact ONRSR's ability to achieve our legislative and strategic objectives. These are also assessed to determine where ONRSR focuses its resources to achieve its objectives. Oversight of ONRSR's enterprise risk management is provided by the ONRSR Audit and Risk Committee. This includes review of ONRSR's enterprise risk register and its financial position and risks.

In addition, the Audit and Risk Committee reviews and recommends approval to the ONRSR (which includes Non-Executive Members) of the annual financial statements and reviews the detailed business risk register. The ONRSR Executive undertakes regular reviews of our financial position and risks to ensure we prioritise and mitigate risks in accordance with our operational environment. This includes risks associated with the transition of Victoria from a service level agreement into the national regulator and issues that may impact upon ONRSR's organisational reputation.



OUR GOALS AND // MILESTONES



THE GOALS AND
MEASUREABLE MILESTONES
OUTLINED IN THIS PLAN
PROVIDE A BLUEPRINT FOR
ALL ONRSR ACTIVITY OVER
THE NEXT THREE YEARS.



ONRSR CONTINUES TO PURSUE A GENUINELY RISK-BASED APPROACH UNDERPINNED BY EDUCATION AND MONITORING OF ACCREDITED PARTIES

GOAL 1



ENHANCE OUR RISK-BASED APPROACH TO RAIL SAFETY REGULATION

Guided by a comprehensive risk-based regulatory framework, ONRSR continues to pursue a genuinely risk-based approach underpinned by education and monitoring of accredited parties. By using enforcement powers that range from improvement notices to suspension of accreditation – and include the ability to close down unsafe operations and to prosecute – we can most effectively target regulatory measures to minimise the likelihood of major incidents. This goal is driven by an ongoing focus on improvements to the quality and analysis of data and the infield regulatory intelligence collected in relation to the broad spectrum of rail operations and a growing suite of nationwide major projects.

// MILESTONES

WHEN

// Deliver an annual risk-based national work program	ANNUAL
// Work with proponents of major rail projects to ensure safety issues are addressed	ONGOING
// Develop a national cost recovery model based on regulatory effort and risk for consideration by the Transport and Infrastructure Council	NOV 2018
// Deliver a national drug and alcohol testing program with annual review	JUN 2021
// Develop a National Data Strategy and Action Plan in partnership with industry	DEC 2018
// Optimise our data analytics to underpin our risk-based approach to regulatory activities	JUN 2019
// Identify and complete compliance projects associated with national safety priorities	ONGOING

GOAL 2



REDUCE REGULATORY BURDEN ON INDUSTRY

ONRSR recognises two distinct levels of regulatory burden. The first drives our work with jurisdictional transport agencies, transport ministers and the National Transport Commission on legislative clarity and efficiency to influence reductions in duplication and enable innovation and productivity. The second relates to our efforts to constantly improve the quality and efficiency of our regulatory interactions including our requests for, and exchange of, information. We continually encourage feedback on both the legislative and regulatory frameworks and the activities they facilitate. This goal is further underpinned by memoranda of understanding with key stakeholders and ONRSR's support for the ongoing development and adoption of quality national industry standards.

// MILESTONES

WHEN

// Prepare a report to the Transport and Infrastructure Council on the review of drug and alcohol management arrangements under RSNL	2018
// Prepare a report to the Transport and Infrastructure Council on the review of fatigue management arrangements under RSNL	NOV 2018
// Implement outcomes from the review of drug and alcohol management arrangements under RSNL	JUN 2020
// Implement outcomes from the review of fatigue management arrangements under RSNL	DEC 2020
// Undertake maintenance review of RSNL and prepare a submission to the Transport and Infrastructure Council on proposed amendments	ANNUALLY (NOV)
// Work with government to encourage the removal of the service level agreement in Victoria	ONGOING
// Work with governments and industry to deliver reforms made possible by the establishment of a national regulation framework	JUN 2019
// Analyse and prepare input for the Productivity Commission's review of the economic benefits of national transport safety reforms	2019
// Identify, in consultation with industry, areas for improving the efficiency of regulatory interactions	DEC 2018
// Deliver an online portal for the exchange of information between ONRSR and operators	JUL 2018 (ONGOING)



WE CONTINUALLY
ENCOURAGE FEEDBACK ON
BOTH THE LEGISLATIVE AND
REGULATORY FRAMEWORKS
AND THE ACTIVITIES THEY
FACILITATE.



ONRSR ENGAGES WITH
INDUSTRY TO RAISE
AWARENESS OF ISSUES
AND SEEK SOLUTIONS
THAT REFLECT A SHARED
RESPONSIBILITY

GOAL 3



WORK WITH INDUSTRY TO ADDRESS NATIONAL RAIL SAFETY ISSUES

To complement compliance and enforcement activities, ONRSR engages with industry to raise awareness of issues and seek solutions that reflect a shared responsibility for rail safety. ONRSR expects industry to take a proactive approach on safety initiatives, performance and harmonisation. This goal reflects the important role ONRSR has to use the information and resources at its disposal to educate accredited parties in relation to RSNL generally and safety issues specifically.

// MILESTONES

WHEN

// Deliver priority projects in the safety improvement work plan:	
> Track worker safety	JUN 2019
> Risk management	JUN 2020
> Level crossing safety	DEC 2019
> Tourist and heritage sector, safety management capability	JUN 2019
// Develop an ONRSR Safety Improvement and Education Strategy	
	DEC 2018
// Input into further enhancement of the National Standard for Health Assessment of Rail Safety Workers	
	DEC 2018
// Actively contribute to industry's effective implementation of its safety strategy	
	DEC 2019
// Develop guidance material that provides clarity for operators and helps address potential delays and costs that can arise from uncertainty	
	AS REQUIRED
// Support industry and RISSB with the development of selected national standards, guidelines and products as appropriate	
	AS AGREED WITH INDUSTRY/RISSB
// Distribute regular safety bulletins to accredited / registered operators	
	AS REQUIRED



GOAL 4



INVEST IN ONRSR'S NATIONAL CAPABILITY, GOVERNANCE AND CULTURE TO DRIVE OUR STRATEGIC INTENT

ONRSR recognises its people are its most important asset and that complementary investment in our capabilities, governance and culture will drive our strategic intent. Building this culture and enhancing the skill set remains a priority. Similarly important is the ongoing enhancement of our business and regulatory information systems. This goal recognises the desire for ONRSR staff to be equipped to work smart and safely in an efficient, informed, coordinated and consistent manner wherever they are located around Australia.

// MILESTONES

WHEN

Deliver ONRSR's Workforce Plan	DEC 2019
Undertake a regular trainee rail safety officer program	ONGOING
Deliver ONRSR's Information Management and Technology Strategic Plan	DEC 2019
Conduct an external audit of our Enterprise Risk Management Framework and program	JUN 2019
Review ONRSR's internal policies and procedures	FEB 2020





**THIS GOAL RECOGNISES
THE DESIRE FOR ONRSR
STAFF TO BE EQUIPPED TO
WORK SMART AND SAFELY**

KEY PERFORMANCE // INDICATORS

KPI	// KPI MEASURE
ONRSR PLANNED REGULATORY ACTIVITIES ARE TIMELY, EFFICIENT AND EFFECTIVE	<ul style="list-style-type: none"> > % of minimum interaction level targets for operators defined in the National Audit & Compliance Work Program met > % of applications for rail accreditation completed within six months as per requirements of RSNL) > % of applications for variation completed within six months (as per requirements of RSNL)
ONRSR CONTINUALLY IMPROVES REGULATORY RISK FRAMEWORK	<ul style="list-style-type: none"> > % of phases in ONRSR Regulatory Risk Framework Project Plan completed
ONRSR IMPLEMENTS CONSISTENT RISK-BASED RAIL SAFETY NATIONAL LAW	<ul style="list-style-type: none"> > No. of prohibition notices issued > No. of D&A tests and % positive (industry) > No. of D&A tests and % positive (ONRSR)
INDUSTRY SATISFACTION WITH REGULATOR VALUE	<ul style="list-style-type: none"> > % of surveyed operators indicating current regulatory arrangements are improved > % of surveyed operators indicating ONRSR is effective in delivering its functions under <i>Rail Safety National Law</i> > % of surveyed operators indicating ONRSR successful in delivering national rail safety reform objectives
ALL JURISDICTIONS FORM ONRSR	<ul style="list-style-type: none"> > % of Australian railway track and train kilometres regulated by ONRSR under <i>Rail Safety National Law</i>
ONRSR ACTIVELY CONTRIBUTES TO CONTINUOUS IMPROVEMENT OF REGULATORY FRAMEWORKS	<ul style="list-style-type: none"> > % of policies and legislative changes consulted on



KPI // KPI MEASURE

ONRSR HAS COLLABORATIVE PARTNERSHIPS WITH INDUSTRY SAFETY BODIES

- > % of surveyed stakeholders who agreed / strongly agreed that ONRSR and industry work co-operatively in a co-regulatory environment

INDUSTRY DEVELOPMENT OF INDUSTRY SAFETY RISK MODEL AND PRODUCTS

- > % of industry workplan to develop industry safety risk model progressed

INDUSTRY AWARENESS OF ONRSR SAFETY IMPROVEMENT PROGRAMS

- > % of industry survey respondents demonstrating awareness of ONRSR safety improvement programs

COMMUNICATION WITH REGULATED ENTITIES IS CLEAR, TARGETED AND EFFECTIVE

- > % of industry survey respondents rating ONRSR as an important source of rail safety information and advice

ONRSR HAS THE RIGHT PEOPLE IN THE RIGHT ROLES

- > % of objectives in ONRSR Workforce Plan met

ONRSR STAFF ENABLED WITH SKILLS AND KNOWLEDGE

- > % of objectives in ONRSR Workforce Plan met

ONRSR STAFF ARE SAFE

- > Lost time due to injury (days)
- > % of WHS risks managed SFAIRP
- > % of hazard reports closed out
- > % of incident reports closed out

ONRSR EVIDENCES GOOD GOVERNANCE

- > % of internal audit recommendations implemented

safe railways for Australia

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