



corporate plan

2013 to 2016

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ABOUT THIS PLAN

This is the inaugural Corporate Plan for the Office of the National Rail Safety Regulator (ONRSR) for the period July 2013 to June 2016. It is designed to ensure that the ONRSR meets its obligations under the Rail Safety National Law (RSNL). The plan positions the ONRSR to deliver upon its primary objectives and to work together to develop and maintain the stakeholder relationships that are critical to the successful management and ongoing improvement of rail safety.



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CHIEF EXECUTIVE'S MESSAGE

The ONRSR Corporate Plan July 2013 to June 2016 presents the ONRSR's goals and initiatives in order to implement the COAG national reform 'to improve the efficiency of transport regulation by establishing a national rail safety regulator.' The plan outlines what we have set out to achieve and how we will measure our performance over the next three years. The Corporate Plan will be supported by an annual work program setting out more detailed priorities, particularly in respect to planned operational activities.

This is the inaugural Corporate Plan for the ONRSR and represents a significant milestone for rail transport and safety in Australia. Over the period covered by this plan we have a number of demanding challenges. Whilst we are a new organisation, we have retained a wealth of experience, skill and knowledge from the previous state based regulators, as well as attracting new professionals into the ONRSR that will assist us in meeting those challenges that are ahead.

Our primary objectives are to encourage safe operations, enforce compliance with the law where necessary, and to promote and improve national rail safety. Facing and successfully dealing with the dynamics of industry, and local and national economic environments, will require us to work cohesively and with purpose.

Our plan sets out six clear goals:

- Maintain and improve rail safety through a risk-based approach to regulation;
- Reduce regulatory burden on industry;
- Promote greater self-regulation by industry;
- Prepare for and support the entry of other state regulators into the ONRSR;
- Promote safety awareness and safety improvement initiatives; and
- Develop and enable our people to optimise internal capability and organisational effectiveness.

Implementation of this plan, through the detailed annual work program, will test the co-regulatory approach intended by the reform in so far as many milestones require both the regulator and the industry to work together and deliver. Regularly referring to these goals will maximise our opportunities to succeed, and drive towards an ever increasingly safe rail industry. In this, we must all play our part fully.

Rob Andrews
CHIEF EXECUTIVE

STATEMENT OF INTENT

The ONRSR is required to set out a Statement of Intent for agreement by the Standing Council of Transport and Infrastructure Ministers (SCOTI). This Statement of Intent, as agreed by SCOTI in May 2013, is available on the ONRSR's web site at www.onrsr.com.au. The Statement of Intent in conjunction with this Corporate Plan provides the overall objectives, deliverables, accountabilities and stakeholder base of the ONRSR.

WHO WE ARE

The Office of the National Rail Safety Regulator (ONRSR) was established in July 2012 and commenced operations on 20 January 2013 with the responsibility for regulatory oversight of rail safety law in the jurisdictions of South Australia, New South Wales, Tasmania, and the Northern Territory. Subject to the passage of applied or mirror legislation, it is expected that Victoria, Queensland, the Australian Capital Territory and Western Australia will also be regulated by the ONRSR within the first 12 months of this plan.

The ONRSR is a Body Corporate under Section 12 of the *Rail Safety National Law (South Australia) Act 2012*.

OUR STRUCTURE

The National Rail Safety Regulator (NRSR) and Chief Executive of the ONRSR is supported by two Non-Executive Members, appointed by SCOTI. The role of the Non-Executive Members is to work with the Chief Executive to provide leadership, strategy and governance for the ONRSR.

The Chief Executive is supported by an Executive team covering a wide range of disciplines including corporate policy, communications, planning, technical operations, risk, commercial, legal and finance.

The national office of the ONRSR is situated in Adelaide.

Delivery of regulatory functions is undertaken by staff either directly employed by the ONRSR or through a Service Level Agreement.

At the commencement of this plan, the ONRSR operated two branches. The Central Branch comprises of direct employees that covers South Australia, Tasmania and the Northern Territory. The previous State Regulator for New South Wales (NSW) operates the ONRSR NSW Branch under a Service Level Agreement. Progressively, as the Rail Safety National Law (RSNL) is passed, the other state regulators will form additional branches of the ONRSR. The Australian Capital Territory (ACT) will be regulated as part of the Central Branch.

The ONRSR organisation chart is available on the ONRSR's web site at www.onrsr.com.au

WHAT THE ONRSR STANDS FOR

OUR AIM

To enhance and promote rail safety through effective risk-based regulation.

OUR VALUES

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

INDEPENDENCE	We are independent from industry, political and individual influences
CO-REGULATORY	We support and encourage industry to operate safely and enforce compliance with the Law
EFFECTIVE	We are committed to working cooperatively with industry to improve rail safety
CLARITY	We actively engage and communicate with the rail industry and other stakeholders, and are unambiguous in the decisions we make
FAIRNESS AND INTEGRITY	We are open and honest in all we do and act with integrity at all times
LEADERSHIP	We are committed to building and maintaining a positive team culture between regulator and industry for a shared purpose on safety
RESPECT	We show respect for others at all times, value our people and support professional and personal development so that we attract the highest quality of people to our workforce

RISK MANAGEMENT

Risk is inherent in everything we do and cannot be entirely eliminated by any active organisation. However, exposure to unnecessary risk can be minimised and the ONRSR is committed to ensuring it has the necessary expertise, processes and agreements in place, and will be vigilant and proactive in identifying its risks and implementing appropriate mitigation strategies. Whilst there is a shared responsibility throughout the organisation, management of risk is overseen by the ONRSR Audit and Risk Committee, chaired by a Non-Executive Member. The ONRSR maintains a detailed business risk register. Regular reviews of policies, procedures, finance, operational practice and performance under Service Level Agreements will be undertaken.

Identified key risks that the ONRSR is actively working to mitigate include:

- delays in transition of the remaining state based regulators into the ONRSR;
- a lack of national regulatory consistency;
- an inability to attract and retain specialist staff due to resource shortages; and
- accessibility and preparedness of IT business systems to support the national regulatory reporting and records management requirements.

GOALS AND MILESTONES

The following goals and measurable milestones will be the blueprint for ONRSR activity over the period of this plan and reflects our commitment to working together with industry and other key stakeholders to maintain and improve rail safety in Australia.

This Corporate Plan is underpinned by annual business and work programs which provide more specific objectives and which are used as the basis for team and staff performance agreements. Key performance indicators form part of the annual business plan.

The first year of the plan includes a focus upon the transition of existing state based regulators into the ONRSR, subject to passage of legislation. This transition together with robust safety regulation of operators will take priority over the activities aimed at improving the safety regime.



Goal 1: Maintain and improve rail safety through a risk-based approach to regulation

Identifying and understanding local and national risks is a long term key priority for delivering a risk-based approach to regulation. Data on safety risk will be collected at the local and national levels, with structures in place to develop broader safety intelligence and deliver on risk-based priorities. Activities and milestones included under this goal directly relate to how Rail Safety Officers interact with operators to maintain and improve safety.

At the local level, direct regulation of operators is undertaken by branch staff, including appointed Rail Safety Officers. Local regulatory activity is co-ordinated through the National Operations Committee (NOC) to ensure effective and consistent sharing of knowledge at the national level.

National risk-based policy is set by the National Office and is based upon input from the NOC and stakeholders. Activities and milestones under this goal relate to how Rail Safety Officers will be positioned to influence operators to maintain and improve safety.

Robust data based upon analysis of individual and national performance will inform the annual development of local and national priorities, and a risk-based work program will enable the ONRSR to deliver upon its core responsibilities.

A continuing priority will be to encourage appropriate use of, and compliance with, industry generated standards. ONRSR will work with the Rail Industry Safety Standards Board (RISSB) to develop and promote the use of industry standards.

Within the constraints of maintaining levels of regulatory oversight within each branch, resources will be allocated according to risk. ONRSR Rail Safety Officers will be trained and developed to contribute to national regulatory activities.

The ONRSR recognises that the Tourist & Heritage (T&H) sector would benefit from specialist regulatory skills in their areas and ONRSR will consider how best to address this, once all jurisdictions are regulated by ONRSR.

Milestone	When*
Produce regulatory activity work program	Q3 annually
Agree annual operational ONRSR key performance indicators for each branch	Q3 annually
Review effectiveness of Service Level Agreements	Quarterly
Undertake a national drug and alcohol testing program, with annual review	Ongoing
Strategy for standardisation of audits	Q4 2013

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Goal 2: Reduce regulatory burden on industry

Reducing regulatory burden on industry is a key driver for the ONRSR. Consistent regulatory decision making (Goal 1); access to single accreditation and variation processes – accompanied by a one fee and one invoice payment structure; and nationally applicable regulatory policy all contribute to reducing regulatory burden.

ONRSR will work with industry to provide clarity on how to consolidate multiple accreditations.

Developing a national data strategy, national data safety reporting and intelligence gathering will, in the long term, ease industry burden and assist in the management of risk reduction.

ONRSR will work with the various work health and safety regulators, through the established Memoranda of Understandings, to reduce areas of duplicative investigation to the extent possible.

Milestone	When*
Develop a national 'one invoice' structure	Q3 2013
Consult on data to be presented in annual safety report	Q3 annually
Annual ONRSR safety report published	Q4 2013
Develop a program with industry to increase the numbers of operators who will have replaced multi-jurisdictional accreditation notices with a single accreditation notice	2014
National data strategy developed and consulted	Q4 2014
National data capture regulations reviewed (and if required) modified	2015
Review drug and alcohol and fatigue risk management legislative arrangements to further enhance regulatory consistency; stakeholder consultation and review of practices	2016
Review efficacy of Work Health and Safety MoUs	2016

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Goal 3: Promote greater self-regulation by industry

The ONRSR seeks to support industry to effectively identify and manage its risks at an individual operator level and at a national level.

In support of greater self-regulation at a national level, the collection and analysis of national occurrence data by the ONRSR, for the benefit of its own regulatory activities, will be made available to industry so that the national safety picture is shared. The ONRSR believes that a national database needs to be further supported by a risk assessment tool to provide the platform for robust risk management. Industry will be strongly encouraged to undertake data collection and analysis using risk-based tools as a medium term aim.

The ONRSR will support the rail industry through its national bodies, as best as it is able, to promote harmonisation, standardisation and interoperability to the benefit of safety, and will work co-operatively with industry and unions to develop national standards. ONRSR will provide certainty to industry by endorsing standards that it believes are in the national safety interest.

Milestone	When*
Agree with RISBB where ONRSR can participate and support the delivery of RISSB outputs	Q3 annually
Assist industry with the development of national standards, guidelines and products	As required and dependent on industry program

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

Goal 4: Prepare for and support the entry of other state regulators into the ONRSR

The ONRSR will continue to work closely with government representatives and the regulators in those states/territory that are yet to enact the Rail Safety National Law. As jurisdictions become part of the ONRSR, the needs of national employee groups will be identified. ONRSR will develop, communicate and implement consistent and robust HR practices together with the ongoing review of the ONRSR's workforce planning to meet national requirements.

Corporate and business systems will continue to be developed to meet ONRSR national requirements.

Milestone	When*
Successfully, test and implement the RegIS IT system to baseline 1 scope	Q3 2013
Define, agree, schedule and cost any necessary enhancements to RegIS	Q3 2013
Support legislative development to enable the RSNL to be passed through state/territory parliaments	Q1 2014
Provide timely and appropriate business and human resource systems and processes that are aligned with transitional timelines	Q1 2014

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec



Goal 5: Promote safety awareness and safety improvement initiatives and research

Promoting the provision of advice, information, education and training for safe railway operations, together with promoting public confidence in the safety of transport of persons or freight by rail, is a key object of the Law and the ONRSR. The ONRSR will partner with RISSB and key stakeholder groups, including union and industry members, to agree common safety awareness and improvement elements for endorsement and promotion, and utilise data analysis and reporting capabilities to inform safety improvement initiatives.

An on-line resource centre will be a central repository for existing regulatory safety products and will promote the availability of new safety products including from industry associations such as RISSB.

Milestone	When*
First safety data bulletin issued (and frequency determined)	By Q3 2013
Initial population of an on-line resource centre for education and awareness tools	Q4 2013
Safety Education & Promotion strategy developed	Q1 2014
Develop in consultation with industry, an initial draft of an SMS maturity 'tool'/methodology	By Q2 2014
Produce guidance on asset management (including scalability approach for T&H)	By Q3 2014

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec



Goal 6: Develop and enable our people to optimise internal capability and organisational effectiveness

Our people are our most important asset. Specialist skill shortages, competition for resources and financial limitations, are challenges that the ONRSR must address by continuously working to improve its corporate systems and harness the corporate knowledge that supports the organisation.

Promoting safe work practices and well-being through the creation of work place health and safety (WHS) committees and employee groups will ensure engagement and consultation with staff. The ONRSR will promote the importance of leadership and accountability in line with the Chief Executive's 'commitment to safety' statement.

We will ensure a workforce that has a clear understanding of the role and goals of the ONRSR and provide ongoing employee training on ONRSR systems and processes. Appropriate training in risk and safety system skills will be developed. We will roll out the induction process progressively to employees and obtain feedback and input to effect continuous improvement as the ONRSR develops.

Sound financial practices, including annual reviews of insurance provisions will ensure the ongoing financial health of the ONRSR.

Milestone	When*
Maintain proactive monitoring of health, safety and welfare, and the effectiveness of the ONRSR work place health and safety program in line with the CE's 'commitment to safety' statement	Quarterly report to Executive via WHS committee and other employee consultation vehicles
Develop a competency based national training program for all rail safety officers that will enable national deployment of resources	Q4 2014
Undertake a review of current funding allocations from each jurisdiction	Q4 2013
Review and prepare revised cost recovery methodology to Standing Council Of Transport and Infrastructure (SCOTI) for consideration	Q4 2016
Maintain a financial system that will provide accurate data to report on the activities of the ONRSR and that enables analysis of individual jurisdiction data	Monthly financial reports to the Board and the Executive team
Oversight by the ONRSR Audit and Risk Committee of the internal risk register	Bi-annual report to ONRSR Board

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec

OUR RELATIONSHIPS AND STAKEHOLDERS

Working together to enhance and promote rail safety through effective risk-based regulation is the aim of the ONRSR. As jurisdictions pass the RSNL, the ONRSR will continue to develop its relationships that encompass the wider rail industry – operators, unions, owners, contractors, maintainers – state, territory and federal governments and agencies, rail safety associations and practitioners. By employing a range of stakeholder engagement and communication activities, the ONRSR will work cohesively in order to improve national rail safety and successfully meet its goals. We will establish a formal engagement with a range of stakeholders including the unions, a senior industry reference group and an annual national rail safety forum.

ONRSR reports bi-annually to responsible transport ministers via SCOTI from which budgetary and legislative authority and support is sought.

Additionally, we will regularly communicate with bodies such as RISSB, the Australian Tourist and Heritage Railway Association (ATHRA), the Australasian Railway Association (ARA) and industry safety managers. Our interface and relationship with the Australian Transport Safety Bureau (ATSB) is important to rail safety improvement, and collectively, we will regularly review the interface arrangements.

Milestone	When*
Develop a national communications plan for internal and external communications	Q3 2013
Develop a stakeholder satisfaction survey	Establish benchmarks in Q1 2015 and conduct annual survey
Review of ONRSR/ATSB relationship	Quarterly

*Q1 = Jan-Mar; Q2 = April-June; Q3 = July-Sept; Q4 = Oct-Dec





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ISSN 2202-3127

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