

Safety Management System Modules

Element 5 – Management, Responsibilities, Accountabilities and Authorities

What and Why

One of the key components of a safe workplace is that everyone who works there understands what they are required to do, how to do it, what they have authority to do, and what the roles and responsibilities of others are.

This means that people are clear on what they can and cannot do and should normally operate within the bounds of those tasks/duties.

It is also important to identify and communicate how roles inter-relate. For example, if a fitter is authorised to repair a tram to a particular standard and a supervisor is authorised to certify that the tram is fit for purpose and safe to operate – are the descriptions of their authorities aligned in this way and clearly stated in position descriptions and procedures?

Procedures in the Safety Management System (SMS) should also describe how risks to safety are to be reported, and to whom. They should also describe the authorities that are given to roles which have safety responsibility and to the level that the authority is made.

The development of these types of documents and procedures is also a requirement under prevailing health and safety legislation.

How

A simple organisation chart should be developed which details the allocation of key safety roles and identifies those roles with specific responsibilities such as certification of rolling stock, or, being the contact person for the Office of the National Rail Safety Regulator.

An organisation chart should indicate roles not individuals as some people may perform safety work across multiple roles. Each role has a job /role description which details:

- Their responsibilities;
- Their accountabilities; and
- Level of authority.

The competency that is required to hold each position and carry out the role should be documented in the SMS. This might be as part of a job description or as part of a training or competency matrix/framework.

Some operators will have position holders sign their job description as confirmation of their understanding of their accountabilities and responsibilities.

Depending on the level of complexity, the operator may describe the responsibilities, accountabilities and authorities as part of the safety policy document.

Operators may develop a governance process which include describes the hierarchy of authorities for board /management decisions. An example could include, that the Board approves an annual insurance renewal, not the General Manager.

Who

All rail safety workers and people with safety responsibilities are expected to work within the limits of their authorities and only when competent to do so.

When

Organisational structure and changes to authorities and accountabilities should be considered as part of the risk assessment process, when a change that may affect rail safety occurs. For example, this would be of significant benefit as part of a change, such as when an operator introduces a new type of rolling stock not previously operated.

List of relevant documents (internal)

Element 2 – Safety Policy

Element 4 - Governance and Internal Controls.

Element 15 - Training and Instruction

Element 24 - Assessment of RSW Competence

Element 27 – Health and Fitness

Element 30 - Resource Availability

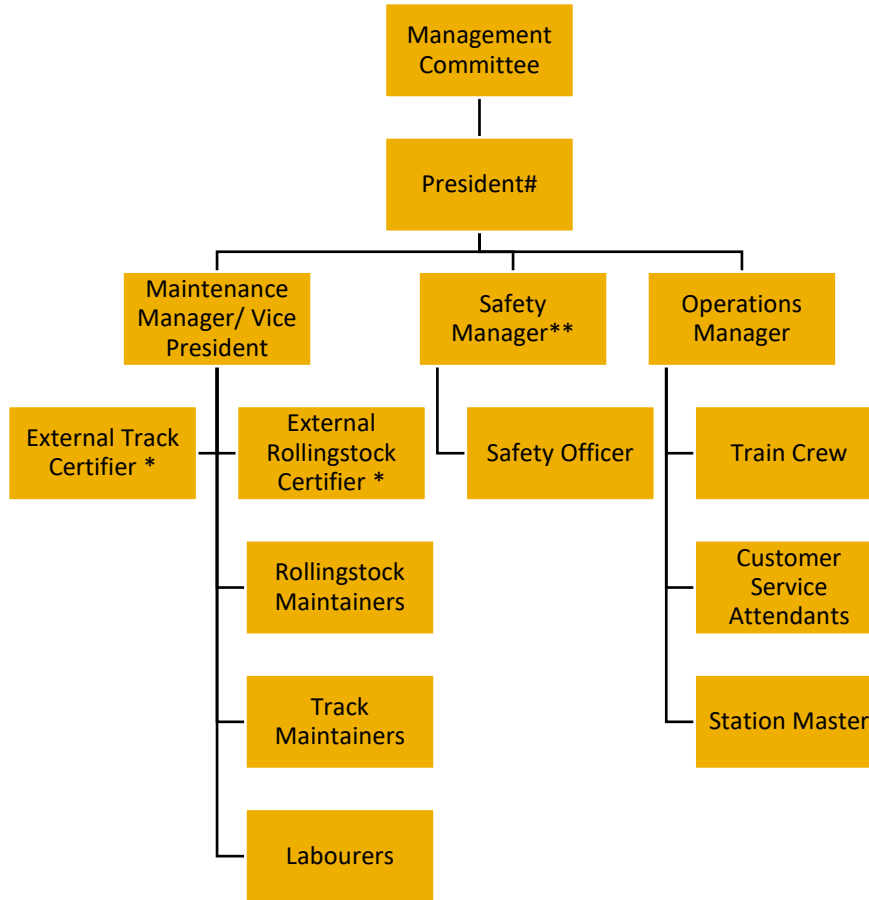
Links (external)

[ONRSR Website – Publications](#)

Appendices

- A. Example Organisation Chart
- B. Example Matrix of Responsibilities

**Appendix A – Management Responsibilities, Accountabilities and Authorities
(Example Organisation Chart)**



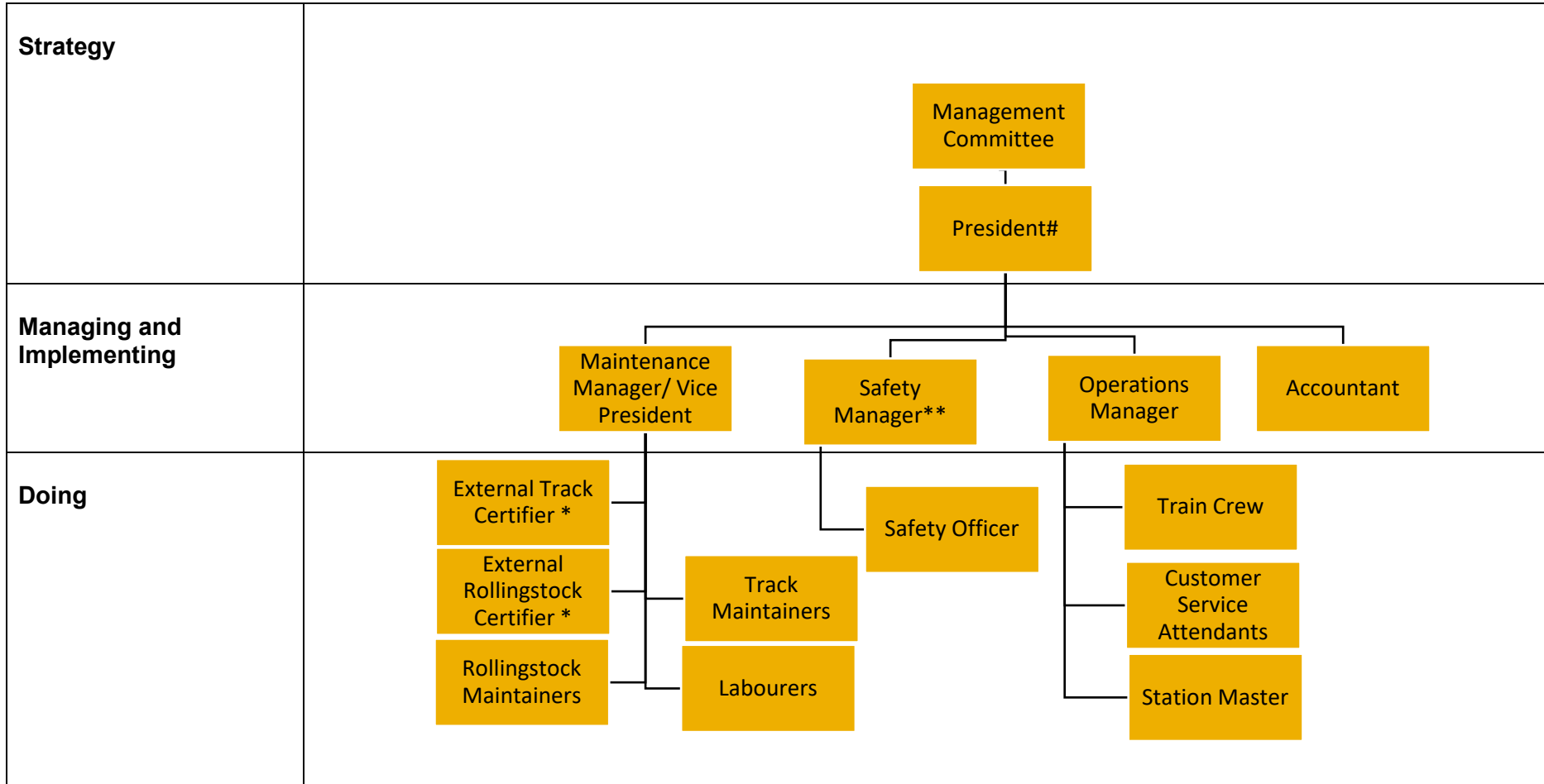
This role is the authorised contact person for the railway as described in the SMS.

* These roles are responsible for certification of track /rollingstock as described in the SMS.

** This role is responsible for the development and implementation of the SMS

Appendix B – Management Responsibilities, Accountabilities and Authorities (Example Matrix of Responsibilities)

This diagram provides an example structure that indicates which types of decisions are made by which roles.



This is an example table that may assist operators in determining roles and responsibilities.

Element	Rail Safety Workers	Admin Assistant	Safety Manager	Operations Manager	Maintenance Manager	President / GM	Committee Board
Safety Policy	Develop	Develop	Develop, Implement, Manage, Review, Approve	Manage, Review	Manage, Review	Manage, Review, Approve	Develop & Endorse
Safety Culture	Develop, Implement	Develop, Implement	Develop, Manage, Approve	Develop, Manage, Approve	Develop, Manage, Approve	Develop, Manage, Approve	Endorse
Governance & Internal Controls	Implement	Implement	Develop, Implement, Manage, Review,	Develop, Manage, Review	Develop, Manage, Review	Develop & Endorse	Develop & Endorse
Management Responsibility accountabilities and authorities	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Regulatory Compliance	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Document Control and Information Management	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Review of SMS	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Review & Endorse
Safety Performance Measures	Review & Implement	Review & Implement	Develop, Implement, Manage, Review,	Develop, Manage & Review	Develop, Manage & Review	Develop, Review & Approve	Review & Endorse
Safety Audit arrangements	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Review & Endorse
Corrective Action	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse

Element	Rail Safety Workers	Admin Assistant	Safety Manager	Operations Manager	Maintenance Manager	President / GM	Committee Board
Management of Change	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Review & Endorse
Consultation	Review & Implement	Review & Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Internal Communication	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Training and Instruction	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Risk Management	Review & Implement	Review & Implement	Develop, Implement, Manage, Review,	Implement, Manage & Review	Implement, Manage & Review	Implement, Review & Approve	Review & Endorse
Human Factors	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Procurement and contract management	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Review & Endorse
General Engineering & Operations System safety requirements	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Process Control	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Asset Management	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Interface Agreements	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse

Element	Rail Safety Workers	Admin Assistant	Safety Manager	Operations Manager	Maintenance Manager	President / GM	Committee Board
Notifiable Occurrences	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Review & Endorse
RSW Competence	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Security Management	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Emergency Management	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Health and fitness	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Drug and Alcohol	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Fatigue risk management	Review & Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Endorse
Resource Availability	Implement	Implement	Develop, Implement, Manage, Review,	Manage & Review	Manage & Review	Review & Approve	Review & Endorse