



# The Regulator

safe and reliable transport services for new south wales



## Message from the Chief Executive

Welcome to this quarter's edition of 'The Regulator'. Once again it has been an extremely busy period for ITSRR. Since the last edition we have presented both the second and third quarterly reports on the implementation of the NSW's Government's Response to the Special Commission of Inquiry (SCOI) into the Waterfall Accident to the Minister for Transport.

This quarter has also seen:

- Interim Report - Stage 1 - *Impacts of freight incidents on CityRail passenger service reliability* to the Minister for Transport;
- The establishment of the ITSRR Rail Safety Strategic Forum (RSSF);
- The release of the CityRail Customer Survey 2005;
- The release of an information paper on Automatic Train Protection; and
- The launch of our new website.

Planning has begun for the next Executive Safety Seminar (ESS) to be held on Monday, 5 December 2005, which will focus on Collaborative Approaches to Rail Safety Data Collection & Analysis. ITSRR is also proposing new initiatives in respect to safety culture, the details of which can be located on pages 3-4.

I would like to take this opportunity to thank the NSW industry for its invaluable input into the National Model Legislation proposals. As many of you know, one of the SCOI recommendations for NSW required establishment of nationally consistent safety regulations without compromising safety. At this stage, it is expected that the National Transport Commission (NTC) will provide a final position for subsequent voting by the Australian Transport Council (ATC) membership later this month. For further information please visit the NTC's website at <http://www.ntc.gov.au/>

Carolyn Walsh  
Chief Executive  
ITSRR

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## ITSRR Quarterly Waterfall Reports

ITSRR has presented both the second and third quarterly reports to the Minister for Transport on the implementation of the NSW's Government's Response to the Special Commission of Inquiry (SCOI) into the Waterfall Accident. The reports were tabled in Parliament on 5 August and 7 November 2005.

At the end of the most recent reporting period (30 September 2005) the implementation schedule for the 177 recommendations (including 127 recommendations and 50 sub-elements) contained in the Commission's report is as follows:

- 35 recommendations are now closed (including 5 that have been rejected by the NSW Government), compared to 26 as at the end of last quarter;
- 30 recommendations are claimed by agencies to be closed (but are yet to be verified);
- 71 recommendations remain to be implemented by December 2005; (compared to 84 last quarter);
- a further 20 recommendations are scheduled to be implemented by December 2006 (unchanged from last quarter);
- 1 recommendation (the introduction of national communications technical standards) will be implemented by 2010 (unchanged from last quarter); and
- 20 recommendations were referred to the National Transport Commission (NTC) which will report to the Australian Transport Council of Ministers in November 2005. This report will outline a work program for those recommendations involving development or review of certain railway standards and regulations. The timeframe for these recommendations are therefore noted as "interim" in the table detailing the status of all outstanding recommendations at Appendix 3 of ITSRR's Third Quarterly Report.

With 20% of recommendations closed, 17% claimed for closure and a further 40%

scheduled for implementation by the end of the 2005 calendar year, satisfactory progress is being made against the implementation plan.

If you would like to obtain a copy of the report, please visit our website [www.transportregulator.nsw.gov.au](http://www.transportregulator.nsw.gov.au)



## Survey of CityRail Customers – 2005

The Annual Survey of CityRail Customers 2005 was released on 12 October 2005. The Annual Survey measures changes over time in the quality of CityRail Services from a customer perspective. The content of the survey questionnaire was developed from focus groups and discussions with potential data users.

Some 2,700 suburban and regional rail users were randomly chosen to provide input into the survey by telephone. The core questions in the survey related to 37 separate aspects of service identified in focus groups as being of most importance to customers.

Users of CityRail services were asked to rate the importance and quality of various aspects of these services and also about their own experience and perceptions.

To ensure representation from all types of train users, the CityRail service area was split into seven regions. These consisted of three regions in metropolitan Sydney and four regions along InterCity train lines. The suburbs and localities sampled were those estimated to have a reasonably large proportion of train users resident in the area, based on Census data.

The Survey results assist ITSRR in providing objective information and advice to

Government, RailCorp and the community on service quality issues associated with CityRail.

If you would like to obtain a copy of the report, please visit our website [www.transportregulator.nsw.gov.au](http://www.transportregulator.nsw.gov.au)



## Safety Culture

The Final Report of the Special Commission of Inquiry (SCOI) into the Waterfall Accident and contemporary safety theory suggests that an organisation's safety culture is integral to successful safety management.

The safety climate of an organisation provides an indication of the attitudes, beliefs and perceptions that people have towards safety. The safety culture of an organisation includes safety climate but also provides an indication of what people within an organisation actually do to achieve safety outcomes.

ITSRR considers that in line with contemporary safety theory, a continuously improving safety culture, together with an effective safety management system (SMS) leads to safer rail operations.

The Rail Safety Regulators Panel has also identified safety culture as a priority and although acknowledging that it is not possible to regulate for safety culture, the National Transport Commission (NTC) considers that the regulatory framework and regulator behaviour can be supportive of the establishment of a strong safety culture.

The NTC considers that the development

and maintenance of a safety culture requires participation of employees at every level and in every aspect of operations. For this reason, the National Transport Commission has recommended in the proposed National Model Rail Safety Legislation a requirement to involve railway personnel in the development of an organisation's SMS.

Safety culture is measured in a number of different ways ranging from general observations at the workplace, to focus groups and to one-to-one interviews with employees. Research into measuring safety culture is essentially about how people behave, that is what they say and, importantly, what they do in respect of safety.

Measuring the safety culture within a rail organisation requires an in-depth understanding of day-to-day operations. A rail operator therefore is best placed to examine its own operations to ascertain: first, how safety culture is best measured; and second, how to promulgate an integrated safety culture within the organisation.

It would not be feasible or perhaps appropriate for a regulator to undertake such activity. Instead, ITSRR is examining ways of measuring safety culture trends in the rail industry.

To facilitate this, ITSRR is examining the feasibility of conducting a safety climate survey as a means of measuring trends in safety culture within the NSW rail industry. Compliance with the survey would be voluntary. The survey would be a questionnaire seeking to capture the attitudes, beliefs and perceptions held by rail safety workers employed within rail organisations.

It is envisaged that the climate survey will provide an industry-wide overview of safety culture trends without publicly identifying individual rail operators.

On an annual basis, ITSRR is also examining ways of obtaining a snapshot of safety culture in a rail operator.



## RailCorp Case Study - Safety Culture

Early in 2004, as part of the Special Commission of Inquiry into the Waterfall rail accident, Associate Professor Ian Glendon undertook a safety climate survey that involved 459 RailCorp staff responding to a questionnaire. Prior to this survey Prof Glendon had established that there appeared to be no currently valid rail safety climate survey available. This led the Waterfall Special Commission Expert Panel to develop their own questionnaire, based on a civil aviation safety climate survey developed by one of Prof Glendon's PhD students at Griffith University. Key findings from the 2004 RailCorp survey were published in Volume II of the Waterfall Inquiry report\*. As well as giving a general view of safety climate within RailCorp at that time, the statistical analysis also revealed significant differences in various occupational groups' perceptions of safety.

In association with an organisation-wide culture survey currently being undertaken within RailCorp, a revised version of the safety climate survey is being used on a much larger sample of RailCorp employees. Over 400 completed safety climate questionnaires had been received within the first two weeks of the start of the survey, and the aim is to obtain at least 5000 completed safety climate questionnaires from across the organisation. Because all of the questions that were included in the 2004 survey are also in the current 2005 survey, it will be possible to compare responses from different occupational groups (e.g., train drivers, train guards, signalling staff) between the two time periods.

The extended survey will also enable safety climate data from staff in different work locations to be associated with lost time injury data from comparable locations.

In addition to determining whether there have been differences over time, it will also be possible to make comparisons with other rail sector organisations, both in Australia and overseas. For example, towards the end of 2004, a safety climate survey was undertaken among rail workers in Queensland, using many of the same questions and distributed to some of the same occupational groups as the 2004 RailCorp survey. Prof Glendon is currently working with overseas



contacts with a view to expanding use of the rail safety climate survey to facilitate this inventory as an international benchmarking tool for rail sector organisations. He is also developing similar safety climate surveys for use in other industry sectors and in other languages (e.g., researchers based in Beijing are currently testing a Chinese language version).

With around 45 questions, including basic demographics, the safety climate questionnaire takes around ten minutes to complete and is a valid measure that can be used in conjunction with other measures of safety culture. In summary, the safety climate questionnaire can be used to make comparisons between:

- Different occupational groups and staff at different locations within an organisation.
- Safety climate perceptions within an organisation at different points in time.
- Different rail sector organisations within Australia and overseas.
- Safety climate perceptions and behavioural safety measures (e.g., LTIFR) for different groups and in different locations.
- A generic set of scales for organisations in different sectors – in due course.

\* McNerney, P. A., (2005). Final report of the Special Commission of Inquiry into the Waterfall Rail Accident Volume II. Sydney: Government of New South Wales.

To contribute to the content of  
**the Regulator**  
 or to request information on certain topics please email  
[contact@transportregulator.nsw.gov.au](mailto:contact@transportregulator.nsw.gov.au)

## Establishment of the ITSRR Rail Safety Strategic Forum (RSSF)

ITSRR has established a NSW Rail Safety Strategic Forum (RSSF) to facilitate open and transparent communication between ITSRR, its accredited operators and rail unions. The first meeting was held on Wednesday 19 October 2005 and focussed on the principles of the proposed national model legislation. The Forum provides ITSRR, operators and unions with the opportunity to exchange ideas and a place to discuss safety issues of strategic importance facing the rail industry.

The purpose of the Forum is achieved by:

- identifying and discussing priority rail issues, trends and concerns;
- disseminating information to the rail industry;
- providing a consultation forum for ITSRR.

Forum membership consists of the rail industry with representation from large operators, medium sized operators, heritage and isolated operators as well as contractors and maintainers), union representatives, and representatives of ITSRR.

The Forum has a total of nine (9) representatives from the NSW rail industry including:

- RailCorp
- Pacific National
- Australian Rail Track Corporation (ARTC)
- Silverton Rail
- Queensland Rail
- 3801 Limited
- NSW Transport Museum
- Barclay Mowlem
- EDI

The Forum has (3) three representatives from the union movement:

- Rail, Tram and Bus Union
- Australian Services Union
- Electrical Trades Union

The Forum has (3) ITSRR three members:

- Executive Director Corporate Strategy (Chair)
- Executive Director Reliability

- Executive Director Transport Safety Regulation

The terms of reference and operating guidelines along with copies of the minutes of meetings are available on the ITSRR website at:

<http://www.transportregulator.nsw.gov.au/aboutUs/RSSF.html>

## Impacts of Freight Incidents on CityRail Passenger Service Reliability

### Interim Report - Stage 1 - 2005

At the end of August ITSRR released the Interim Report into the Impacts of Freight Incidents on CityRail Passenger Service Reliability.

In May 2005 the Minister for Transport asked ITSRR to review the extent to which break-downs by freight trains delay CityRail passenger trains and strategies that may be introduced to minimise their impact. ITSRR is conducting this review in 2 stages and the release of the *Interim Report* marks the completion of Stage 1.

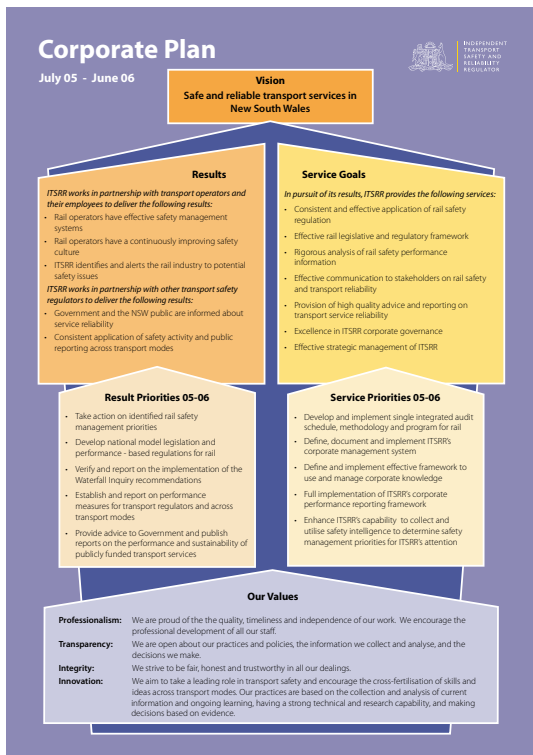
In summary, the *Interim Report* found that freight incidents do not at present have a substantial impact on aggregate CityRail on-time running. However, particular incidents at particular locations can from time to time cause considerable inconvenience to CityRail customers. RailCorp is largely addressing the issue through operational means.

In the final stage of the study it is intended to use and develop further the results from the first stage to identify issues that need to be addressed and some options that might be considered in the development of a strategy to deal with these issues. Stage 2 is scheduled for completion in November 2005.



## ITSRR's Corporate Plan

ITSRR's Corporate Plan for 2005/06 encompasses the vision, key results, priorities and values of the organisation; providing a framework for achieving ITSRR's vision of "Safe and reliable transport services for New South Wales". To view our 2005/06 Corporate Plan, please visit our website at [www.transportregulator.nsw.gov.au](http://www.transportregulator.nsw.gov.au)



## ITSRR Website

The new and improved website was officially released on 25 August 2005.

There are scheduled reviews of website material, but if you see something that needs amending please let us know by emailing [contact@transportregulator.nsw.gov.au](mailto:contact@transportregulator.nsw.gov.au), so that we can ensure the continued accuracy and quality of our new website.

## Contact Details

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## NSW Service Medallion

Congratulations to Allan McVay, ITSRR Accreditation and Compliance Officer who was honoured recently with a NSW Service Medallion for 40 years meritorious service in a ceremony held at Government House.

Allan began his career with the Department of Railways in 1961. During this time, he was involved in many facets of the industry principally related to the maintenance of rolling stock within the locomotive fleet. After 35 years in the rail industry, Allan took a position with the then rail regulator, the Transport Safety Bureau. Here he was involved in the Mechanical Branch and its various antecedents.

Allan believes that one of the biggest challenges facing the railway industry is striking a balance between the resources focussed on passenger trains as opposed to freight trains.

Other highlights within Allan's 40 years include the ongoing support of his wife, children and the joy of his grandchildren.



Allan McVay, ITSRR Compliance Office, being awarded with a NSW Service Medallion by the Hon. Morris Iemma, MP, NSW Premier

