

## **EXECUTIVE SUMMARY**

The Special Commission of Inquiry (SCOI) into the Waterfall Rail Accident released its Final Report on 17 January 2005. In accordance with the Commission's recommendations, the NSW Government agreed that the Independent Transport Safety and Reliability Regulator (ITSRR) should report quarterly on implementation progress. This is the sixth Quarterly Report. It outlines progress made between 1 April 2006 and 30 June 2006.

### **Implementation Summary**

Substantial implementation progress was made during the quarter with significant numbers of recommendations nominated for closure by agencies or verified and closed by ITSRR:

- ITSRR validated and closed out 22 (12%) recommendations (17 RailCorp, 1 RailCorp and NSW Emergency Services and 4 ITSRR) in the following areas:
  - Establishment of a training centre for emergency services personnel;
  - Introduction of training for drivers and guards to promote teamwork and discourage authority gradients;
  - Implementation of an integrated safety management system with the management of Occupational Health and Safety for RailCorp; and
  - Development of new regulations and guidelines to require mandatory drug and alcohol (D&A) testing following certain accidents and/or incidents.
  
- The 5 (3%) recommendations including 4 sub-elements (detailed on page 10) that slipped do not pose an immediate concern. These recommendations focus on the following areas:
  - training provided to train guards in the use of the MetroNet radio in an emergency; and

- establishment of a formal performance management system incorporating safety accountabilities for managerial positions;
- establishment of criteria for recruitment and promotion of management staff; and
- development of Key Performance Indicator's for management positions.

At the end of the reporting period, the cumulative implementation progress to date for all 177 recommendations (including 127 recommendations and 50 sub-elements) was as follows:

- 132 (75%) recommendations verified and closed<sup>1</sup>;
- A further 20 recommendations (11%) were claimed for closure by agencies and are currently being verified by ITSRR;
- A further 6 (3%) recommendations are due for completion by the end of 2006;
- 1 (1%) recommendation (the introduction of national communications technical standards) will be implemented by 2010; and
- 18 (10%) recommendations referred to the National Transport Commission (NTC) have revised implementation timeframes based on advice from the NTC.

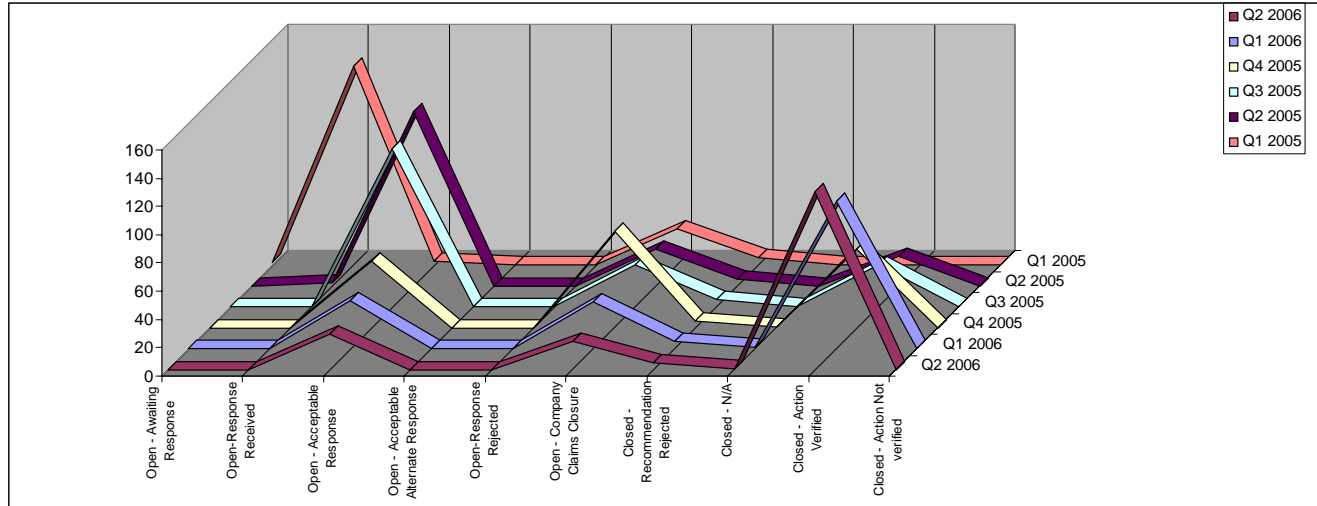
This brings the total number of recommendations currently closed or claimed by agencies to be closed (and being verified by ITSRR) to 152 or 86% of all recommendations.

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<sup>1</sup> including 5 that were rejected by the NSW Government and 1 which is no longer applicable

The current status of all of the safety actions, compared to their status in the previous quarters, is summarised below:

**GRAPH 1: PROGRESSIVE STATUS ALL RECOMMENDATIONS BY QUARTER**



As time progresses, it is expected that the peak will shift along the x-axis until all recommendations are closed.

## Quarterly Progress

### Recommendations Verified and Closed

In the reporting period, ITSRR verified and closed 22 recommendations and sub-elements. Seventeen of these were the responsibility of RailCorp. They included:

- Implementation of rail emergency management procedures including removal of power to the overhead 1500 volt power supply together with procedures to stop oncoming trains to ensure the safety of passengers, crew, nearby members of the public and emergency services personnel at accident sites (Recommendations 6 & 25);
- Implementation of a maintenance plan ensuring that processes are in place for reporting and responding to signal telephone faults (Recommendation 8);

- Implementation of an overall training development program for safety critical employees based on competences identified in Glenbrook Recommendations 1-7 (Recommendation 65);
- Implementation of interactive simulator training for guards and drivers in circumstances such as passing signals at stop or trespassers in the rail corridor (Recommendation 66 & 67);
- Implementation of training for drivers and guards to encourage teamwork and discourage authority gradients (Recommendation 68);
- Implementation of an integrated safety management system (SMS) which includes management of Occupational Health and Safety (OHS) (Recommendation 85 & 86);
- Implementation of training of relevant personnel in the location and operation of external emergency door release (EDR) mechanisms on passenger trains (Recommendation 96);
- Implementation of safety action plans for issues arising from external audits (Recommendation 109); and
- Establishment of an integrated SMS including a system for managing audit and investigation findings and analysis of safety data information. Additionally communications protocols and standard phraseology have been implemented (Recommendation 122 (c), (d), (f) parts (vi), (ix), (x) and (xi)).

The 4 ITSRR recommendations closed included:

- Introduction of the National Accreditation Package (NAP) for rail operators which sets out the requirements of a rail operators SMS. This package includes procedures for the design, manufacture, testing and

commissioning of rollingstock as key elements of an operator's SMS (Recommendation 29);

- Introduction of new regulations and guidelines to require mandatory drug and alcohol (D&A) testing following certain accidents and/or incidents (Recommendation 55);
- Accepted advice from the NTC that appropriate follow-up examinations for safety critical employees are provided for in the National Standard for Health Assessment (Recommendation 57 (e)), and
- Accepted advice from the NTC that the National Standard for Health Assessment enables appropriate monitoring of trends in employees' health (Recommendation 57 (f)).

The one RailCorp and NSW Emergency Services recommendation closed included:

- Establishment of a training centre for emergency services personnel (Recommendation 28).

### **Recommendations Claimed for Closure (and being verified)**

During the reporting period, a further 4 recommendations were claimed for closure. The 3 RailCorp recommendations claimed for closure included:

- Training of all operational rail staff in action check lists which outline the steps to follow in an emergency (Recommendation 20);
- Provision of access to electronic versions of safety documentation for RailCorp's operational staff (Recommendation 61); and
- Completion of a task analysis and training needs analysis for RailCorp employees (Recommendation 69).

The RailCorp & NSW Emergency Services recommendation claimed for closure included:

- Provision of access keys and maps identifying all access gates to RailCorp's tracks to Emergency Services (Recommendation 9).

## **Slippage**

During the reporting period, 5 recommendations including 4 sub-elements were not implemented by their scheduled target dates. In ITSRR's view, these recommendations do not pose immediate or significant safety risks to the NSW traveling public. The slippages in timeframes are now scheduled for completion by the end of December 2006. The recommendations that slipped are in the following areas:

- Training provided to guards in the use of MetroNet radio in an emergency. Field activities conducted by ITSRR indicated that further training in this area is required. RailCorp has undertaken to provide revised training which is scheduled to begin at the end of August 2006. ITSRR will commence verification of this training in November 2006 which will allow sufficient time for the roll-out and progression of the training (a slippage of six months) (Recommendation 5);
- Recommendation 122 required RailCorp to develop an integrated safety management system (SMS) which included 17 sub-elements. Thirteen of these have been incorporated into RailCorp's SMS. The 4 sub-elements not yet implemented require RailCorp to:
  - establish a performance management system incorporating safety accountabilities for managerial positions;
  - establish criteria for recruitment and promotion of management staff; and
  - develop key performance indicators for management positions.

In RailCorp's original claim for closure of Recommendation 122, it submitted a program referred to as the "Performance & Development Process". During verification ITSRR was not satisfied that this program adequately addressed the 4 sub-elements listed above. Consequently ITSRR has requested RailCorp to re-submit its claim for closure with a revised implementation plan and timeframe (Recommendation 122 (a), (b), (e) & (f) part (viii)).