

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<b>1 General Requirements</b>					
1.0.1	<p>Does the rail transport operator have a SMS that provides for the following matters that are relevant to their railway operations in a level of detail that is appropriate having regard to the scope, nature and risks to safety of those operations, and the operator's general safety duty?</p> <ul style="list-style-type: none"> <li>• Safety policy and safety culture</li> <li>• Governance and internal control arrangements</li> <li>• Management, responsibilities, accountabilities and authorities</li> <li>• Regulatory compliance</li> <li>• Document control arrangements and information management</li> <li>• Review of the safety management system</li> <li>• Safety performance measures</li> <li>• Safety audit arrangements</li> <li>• Corrective action</li> </ul>	S57(1) Reg CI 9 and Schedule 1	n/a	n/a	

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	<ul style="list-style-type: none"> <li>• Management of change</li> <li>• Consultation and internal communication</li> <li>• Risk management</li> <li>• Human factors</li> <li>• Procurement and contract management</li> <li>• Asset management - including general engineering and operational systems safety requirements and process control</li> <li>• Safety interface coordination</li> <li>• Management of notifiable occurrences</li> <li>• Security management</li> <li>• Emergency management</li> <li>• RSW competence; d &amp; a management; fatigue management ; health and fitness</li> <li>• Resource availability</li> </ul>				
1.0.2	<p>Is the SMS in the form approved by the rail safety regulator? Is the SMS:</p> <ul style="list-style-type: none"> <li>• evidenced in writing?</li> <li>• set out and expressed in a way that its contents are readily accessible and comprehensible to persons who use it?</li> <li>• prepared in accordance with the regulations?</li> <li>• kept and maintained in accordance with the regulations?</li> </ul> <p>Does the SMS:</p> <ul style="list-style-type: none"> <li>• provide a comprehensive and integrated management system for all aspects of control measures adopted in accordance with the legislation?</li> <li>• state the persons responsible for the development of all, or all parts of, the safety management system?</li> </ul>	S57(1) , 57(4) and National SMS Guideline	n/a	n/a	

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	Question	NML	NAP	4292 06	Comments
1.0.3	<p>Does the SMS include a Safety Management Plan that describes, and serves as a guide to, the safety management system?</p> <p>Does the safety management plan:</p> <ul style="list-style-type: none"> <li>• provide contextual information as to the organisation to which the safety management system applies, including organisational charts;</li> <li>• specify the scope and nature of the railway operations to which the safety management system applies. (Further information in relation to describing the scope and nature of railway operations is provided by the <i>National Rail Safety Guideline for Accreditation of Rail Transport Operators</i>);</li> <li>• state the persons responsible for the implementation of the safety management system and the relationship between these persons. The plan should explain the framework for implementation of the safety management system and keeping the safety management system up to date;</li> <li>• include the rail transport operator's risk register;</li> <li>• list the elements of the safety management system and, where appropriate, explains the relationship between the elements of the safety management system;</li> <li>• provide a list of key standards and procedures and an indication of the safety management system elements to which they relate;</li> <li>• include documents explaining how standards or codes are to be applied in the context of the rail transport operator's railway operations, or information on where such documentation may be found.</li> </ul>	s57(1)(a) and National SMS Guideline			
<b>2 Safety Policy</b>					

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	Question	NML	NAP	4292 06	Comments
<p>The SMS must include:            A safety policy or policies that            *align or aligns with other organisational policies and that is or that are, endorsed by the CEO and Board (or any other person or body controlling the rail transport operator).            *that include an express commitment to safety, the development of a positive safety culture and the continuous improvement of all aspects of the safety management system.</p>					
2.0.1	<p>Does the organisation have safety management policy that includes a commitment to :</p> <ul style="list-style-type: none"> <li>• safety?</li> <li>• development and maintenance of a positive safety culture?</li> <li>• continuous improvement of all aspects of the SMS?</li> </ul> <p>Does the policy align with other organisational policies (eg discipline policy)?</p>	<p>Schedule 1 A</p> <p>Implicit in Sch 1A</p>	<p>3.2 3.13</p>	<p>2.2</p>	
2.0.2	<p>Is the policy endorsed at the highest management level (eg, CEO and Board or equivalent)?</p>	<p>Schedule 1 A</p>	<p>3.2</p>	<p>2.2</p>	
2.0.3	<p>Is the general policy statement and arrangements reviewed following changes in the organisation (including changes in the Board, CEO or equivalent) or at least annually as part of the annual review of the SMS?</p>	<p>RSB s59</p>	<p>3.2</p>	<p>2.2</p>	

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	Question	NML	NAP	4292 06	Comments
2.0.4	Are there documented systems and procedures for the communication of the rail transport operator's safety policy and safety objectives to all people who are to participate in the implementation of the SMS? Is there evidence that the process is being followed and is effective?	Reg Schedule 1L(b)			
2.0.5	Is consultation undertaken before the development / review of the safety policy?	RSB S57(2)	3.14	2.2	
2.0.6	Does the organisations rail safety policy note the importance of the human within the system? Does the policy consider Human Factors as a domain of practice, in some instances requiring specialist skills?	sch 1N			
Vic 2.0.7					
<b>3 Safety Culture</b>					

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	Question	NML	NAP	4292 06	Comments
<p>No mandatory requirements beyond inclusion within the Safety Policy to the development and maintenance of a positive safety culture.</p>					
3.0.1	<p>Has the rail transport operator identified programs through which a positive safety culture will be developed and maintained? Are these programs being implemented and/or complied with?</p>	<p>NML s58 Reg Sch1A</p>	<p>n/a</p>	<p>2.14</p>	
3.0.2	<p>Has the organisation established a set of principles for drawing the line between acceptable and unacceptable actions?</p>	<p>Implicit in Sch1A</p>	<p>3.28 para 2 3.13</p>	<p>2.1 (I)</p>	
3.0.3	<p>Have the principles in the previous question been developed consultatively between management and railway safety workers?</p>	<p>NML s57</p>	<p>3.14 3.13</p>	<p>2.14(c)</p>	

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	Question	NML	NAP	4292 06	Comments
3.0.4	<p>Do position descriptions of Line Managers identify accountabilities and responsibilities for safety performance? Is that measured / assessed?</p> <p>Are there systems in place to effectively gather, analyse and act on safety related information? Is this fed back to the workforce?</p> <p>Do the reward and disciplinary systems encourage employees to raise and report safety issues without fear of unreasonable discipline?</p> <p>Are there systems in place which capture “lessons learned” from inside and outside the organisation? Are the results of learning transferred and applied to improve the management and training of safety?</p> <p>Does the organisation have documented processes for assessing the safety climate/culture, identifying necessary initiatives?</p>	Sch 1A			
3.0.5	<p>Has the rail operator implemented programs to encourage rail safety workers’ awareness, understanding and participation in the SMS?</p>				

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	Question	NML	NAP	4292 06	Comments
3.0.6	<p>Does the SMS include methods to develop and maintain a positive safety culture taking account of:</p> <ul style="list-style-type: none"> <li>- the importance of leadership and commitment of senior management?</li> <li>- the executive safety role of line management?</li> <li>- the need for openness of communication?</li> <li>- the need for human factors to be positively addressed?</li> <li>- awareness and recognition of opportunities for safety improvement?</li> <li>- willingness to devote resources to safety?</li> <li>- the need to involve rail safety workers at all levels, including employees, contractors and other related stakeholders?</li> <li>- the need for openness of communication?</li> <li>- awareness and recognition of opportunities for safety improvement?</li> <li>- willingness to devote resources to safety?</li> </ul>				
<b>4 Management and Governance</b>					
4.1	<b>Governance</b>				
<p>The SMS must include systems and procedures to ensure that the CEO and Board (or any other person or body controlling the rail transport operator), or the people managing railway operations, have sufficient knowledge.</p> <p>The SMS must include systems and procedures to ensure that decisions and directions made by those controlling the rail transport operator, or managing the railway operations that affect safety are being implemented effectively.</p>					

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	Question	NML	NAP	4292 06	Comments
4.1.1	<p>Does the SMS include systems and procedures to ensure that the CEO and board receive regular, documented briefings on the following:</p> <ul style="list-style-type: none"> <li>• the risk profile of the organisation, including high risk hazards faced by the organisation?</li> <li>• the level of compliance by the organisation with its duties and obligations under the Act and Regulations?</li> <li>• the safety performance of the organisation?</li> <li>• periodic SMS and risk management reviews?</li> <li>• full audit reports or summaries of audit findings or audits undertaken as appropriate?</li> <li>• outstanding corrective actions or hazard reports that have not been responded to and finalised.</li> </ul> <p>Are these systems and procedures complied with?</p>	Reg Schedule 1B	3.3 para 1 3.9 (audit reports)	none	
4.1.2	<p>Does the SMS include systems and procedures to enable the CEO and Board (or equivalent) to determine whether:</p> <ul style="list-style-type: none"> <li>• the SMS is working effectively?</li> <li>• risks to safety are being identified, assessed and managed SFAIRP?</li> <li>• controls used to monitor safety and to manage risks to safety are being regularly reviewed and revised?</li> </ul> <p>Are these systems and procedures complied with?</p>	Reg Schedule 1B	3.3 bullet 2	none	

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	Question	NML	NAP	4292 06	Comments
4.1.3	<p>Is there evidence that the board (or equivalent ie managing committee):</p> <ul style="list-style-type: none"> <li>• has accepted the risk management policies for the organisation?</li> <li>• is consulted/informed when decisions that could affect the safety performance of the organisation are made?</li> </ul>	not explicit	3.3 para 1	none	
4.1.4	<p>Are the CEO and Board briefed on how assets are being managed, including future renewal and upgrading programs? Are the safety implications made clear?</p>	Reg Schedule 1 R	3.3 bullet 4	none	
4.1.5	<p>Are the CEO and Board able to verify that:</p> <ul style="list-style-type: none"> <li>• sufficient resources are available for establishing and maintaining the SMS?</li> <li>• employees with safety responsibilities are competent for their positions?</li> </ul> <p>...Such that the organisation retains its overall competence and capacity to meet its railway safety objectives.</p>	S57 S30, S34 Reg Schedule 1B	3.3 bullets 5 & 6	none	
4.1.6	<p>Are there internal controls and review processes to be applied to the board to ensure appropriate governance of safety is being provided?</p>	Schedule 1H	3.3 bullet 7	none	

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	Question	NML	NAP	4292 06	Comments
4.1.7	<p>Does the SMS include systems and procedures to ensure that decisions taken by the CEO, Board and Management</p> <ul style="list-style-type: none"> <li>• are clearly documented?</li> <li>• have follow up action identified?</li> <li>• have responsibility allocated to an appropriate individual?</li> <li>• subject to reporting processes and timeframes that have been identified?</li> <li>• are communicated to those responsible for implementation?</li> <li>• are noted on an issues log and followed up until complete or implementation is self-sustaining?</li> </ul> <p>Are these systems and procedures complied with?</p>	Schedule 1B (2)	none	none	
<b>4.2</b>	<b>Safety responsibilities, accountabilities and authorities</b>				
<p>The safety management system must include:</p> <ul style="list-style-type: none"> <li>• Policies that indicate how safety responsibilities, accountabilities, authorities and interrelationships have been determined.</li> <li>• Documents that describe the responsibilities accountabilities, authorities and interrelation of the personnel who manage or carry out rail safety work, or who verify such work</li> <li>• Procedures for the reporting of risks to safety by personnel with safety responsibilities.</li> <li>• Documents that describe the authorities given to personnel with safety responsibilities to enable them to meet those responsibilities.</li> </ul>					
4.2.1	<p>Has the rail transport operator established policies that indicate how safety responsibilities, accountabilities, authorities and relationships have been determined?</p>	Schedule 1C(1)	none	none	

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	Question	NML	NAP	4292 06	Comments
4.2.2	<p>Is the interrelation between all personnel who manage, perform and verify work affecting safety clearly defined?</p> <p>Are there documents that describe the authorities given to personnel with safety responsibilities to enable them to meet their safety responsibilities?</p>	Schedule 1C(2) and (4)	3.4 bullet 2	2.4	
4.2.3	<p>Do these personnel have the authority and freedom to:</p> <ul style="list-style-type: none"> <li>• for managers in charge of sites, eg, Station Managers, Depot Managers, Workshop Managers, prohibit work being carried out by third parties until it is established that the work methods and outcomes are safe?</li> <li>• initiate action to prevent unsafe occurrences?</li> <li>• identify and record any railway safety issues?</li> <li>• initiate, recommend or provide solutions to railway safety issues through designated channels?</li> <li>• initiate action to learn from railway occurrences and to prevent any recurrence?</li> <li>• verify the implementation of solutions?</li> <li>• control further design, construction, commissioning, operation or maintenance activities so that any observable deficiency or unsatisfactory railway safety condition is corrected; and</li> <li>• identify internal verification requirements, provide adequate resources and assign trained and qualified personnel for verification activities.</li> </ul>	non mandatory	3.4	2.4	

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	Question	NML	NAP	4292 06	Comments
4.2.4	<p>Is accurate and up-to date documentation available which clearly show:</p> <ul style="list-style-type: none"> <li>• agreed contractor responsibilities?</li> <li>• how safety critical tasks that are part of those activities are assigned to individuals (who also may be contractors)?</li> <li>• how activities that have a safety critical aspect are assigned to individual managers?</li> </ul>	S57(1)(c) Reg Sch 1O Reg Sch 1C also s28A	3.4 bullet 4	2.4	
4.2.5	Are procedures in place for the reporting of risks to safety by personnel with safety responsibilities?	NM Reg Schedule 1C(3)			
4.2.6	Does the organisation have processes for clearly allocating accountability for services involving the control of hazards that are wholly or partly provided across responsibility areas or between separate entities?	evidentiary to schedule 1C	3.4 bullet 3	2.4	
4.2.7	Have the responsibilities, authorities and accountabilities of position holders and contractors been adequately communicated and understood?	Sch1L	3.4 bullet 2 also 3.15.1	2.3	
4.2.8	<p>Do the internal verification activities for processes and products include responsibilities, accountabilities and authorities for:</p> <ul style="list-style-type: none"> <li>• installation and servicing?</li> <li>• production?</li> <li>• inspection, testing and monitoring of design?</li> </ul>	evidentiary to schedule 1C(2)	3.4 para 2		

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	Question	NML	NAP	4292 06	Comments
4.2.9	Have safety critical assets and equipment, including where appropriate rollingstock, infrastructure and component parts, been identified?	Sch 1P(1) also evidentiary to sch 1C	3.4 para 2	None	
4.2.10	Where an organisation has identified safety critical assets and equipment have: <ul style="list-style-type: none"> <li>• permitted operations relating to safety critical equipment been defined and responsibilities, authorities and accountabilities allocated?</li> <li>• verification tasks been defined and allocated?</li> <li>• safety critical tasks relating to the safe and reliable functioning of such equipment been defined and allocated?</li> </ul>	Sch 1P also evidentiary to schedule 1C	3.4 para 2		
4.2.11	Is there a process for managers to report performance indicators for safety management activities to senior management? Does senior management assess performance and address shortcomings?	s28 s57(1)(e)	3.4 para 3	none	
4.2.12	Have individuals with the authority to approve waivers to company standards been identified? Has the extent of such authorities been defined and documented?	Safety duty S28	3.4 Note	none	

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	Question	NML	NAP	4292 06	Comments
4.2.13	<p>Has the organisation allocated responsibility for ensuring human factors, as a domain, is considered and addressed within the organisations Safety Management System?</p> <p>Who is responsible for implementing/managing Human factors issues? What qualifications does this person have?</p> <p>Does the position allow the incumbent the freedom to initiate, recommend, or provide solutions to risk associated with the limitations of humans within the system?</p> <p>Can the organisation provide examples where this has happened?</p> <p>How does the organisation identify and manage situations where issues cannot be resolved by expertise in house?</p> <p>Who signs off on projects which require input by human factors experts?</p>	sch 1N			
	See jurisdiction specific requirements at right.				

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	Question	NML	NAP	4292 06	Comments
4.2.14	Has the rail operator appropriately defined knowledge, skills and qualifications required for those persons nominated within the management structure to enable them to perform their allocated tasks and discharge their allocated responsibilities?	NML S34(b)			
4.2.15	Has the rail operator established arrangements to ensure that persons who are to participate in the implementation and management of the SMS have the knowledge and skills necessary to enable them to perform their allocated tasks and discharge their allocated responsibilities?	NML S34(b)			
4.2.16	Has the rail operator assessed the knowledge, skills and qualifications of those that have been allocated responsibilities and tasks for safety management within the organisation and through the SMS?	NML S34(b)			
4.2.17	Has the organisation nominated a person who irrespective of other responsibilities is responsible for the implementation and management of the organisation's safety management system?	implicit in sch1C	3.4	2.3	
4.2.18	Has the organisation documented the specific tasks and responsibilities allocated to this person and their location in the organisational structure? Does the nominated manager have appropriate qualifications, experience and competence to discharge the responsibilities of the position?	s34(b)	3.4	4.2	

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	Question	NML	NAP	4292 06	Comments
4.2.19	<p>In addition to the matters in question 4.2.3 does the nominated person have the authority to ensure that the:</p> <ul style="list-style-type: none"> <li>• rail operator produces and maintains railway safety documentation covering procedures and instructions?</li> <li>• railway safety documentation is effectively implemented?</li> <li>• railway safety system controls are effective and auditable?</li> <li>• control and accuracy of SMS documentation is properly monitored?</li> </ul>	non mandatory			
<b>5 Regulatory Compliance</b>					
<p>The safety management system must include:</p> <ul style="list-style-type: none"> <li>• systems and procedures for the identification of safety requirements under the Act and other safety legislation; and</li> <li>• systems and procedures to ensure compliance with those requirements.</li> </ul>					
5.0.1	<p>Is a system used to identify and review regulatory requirements, applicable industry codes and external standards, to determine their impact on the organisation's overall safety management system now and in the future?</p> <p>Does the organisation keep a register of such requirements?</p>	Schedule 1D	3.6	2.6	
5.0.2	<p>Does the organisation's change management process recognise regulatory requirements?</p>	Schedule 1D	3.6.1	none	

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	Question	NML	NAP	4292 06	Comments
5.0.3	<p>Does the organisation have a documented process for preparation and submission of the organisation's safety performance report to the Regulator?</p> <p>Does the process for the rail operator 's annual safety report cover the following requirements:</p> <ul style="list-style-type: none"> <li>- comply with any requirements prescribed by the Rail Safety Act and supporting Regulations?</li> <li>- outline safety initiatives proposed to be undertaken in relation to the railway operations in the succeeding reporting period?</li> <li>- review significant developments relating to the safety of those railway operations during that period?</li> <li>- describe and assess the safety performance of the railway operations for which the person was accredited during the preceding reporting period?</li> </ul> <p>Does the process include processes for validation of the accuracy and completeness of information provided within the report?</p>	S60(1) Schedule 1D	3.6.2	2.9 2.9.2	
5.0.4	<p>Is the organisation aware of their conditions of accreditation? How does the organisation ensure compliance with their conditions of accreditation?</p>	Schedule 1D			

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	Question	NML	NAP	4292 06	Comments
5.0.5	<p>Does the SMS include procedure/s for creating and reviewing procedures and work instructions, that checks rail safety legislation?</p> <p>Do the rail operator's procedures and work instructions make reference to rail safety legislation and reflect the requirements of such legislation?</p> <p>Do changes in legislation and applicable standards generate a review of existing procedures?</p>	Schedule 1D			
<b>6 Document control arrangements and information management</b>					
<p>The safety management system must include systems and procedures to control and manage all documents and information relevant to the management of risks to safety associated with railway operations, including systems and procedures for:</p> <ul style="list-style-type: none"> <li>• the identification, creation, maintenance, management, storage and retention of records and documents; and</li> <li>• ensuring the currency of documents required for operations; and</li> <li>• the communication of any changes to the document control systems and procedures to rail safety workers and employees of the rail transport operator who rely on those systems and procedures to carry out their work.</li> </ul>					
6.0.1	<p>Has the organisation established systems and procedures to control and manage all documents and information relevant to the management of risks to safety associated with railway operations?</p>	NM Reg Schedule 1E	3.7	2.7.1	

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	Question	NML	NAP	4292 06	Comments
6.0.2	Have records management training needs been identified and an ongoing program of records training been established covering: <ul style="list-style-type: none"> <li>• roles and responsibilities of management, employees, contractors, volunteers?</li> <li>• specific practices and requirements for the management of safety records?</li> </ul>	s34(b)	3.7		

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	Question	NML	NAP	4292 06	Comments
6.0.3	<p>Does the system ensure:</p> <ul style="list-style-type: none"> <li>• that safety records are identified, created and managed?</li> <li>• that any gaps in documentation are identified and addressed?</li> <li>• the retention periods for safety records are established, documented and complied with?</li> <li>• safety records are stored and maintained in such a way that they are readily retrievable, and stored in facilities which provide a suitable environment to minimise deterioration or damage and to prevent loss (including disaster preparedness)?</li> <li>• the accuracy and clarity of language used in documents such that the target audience easily understands them? Is controlled language applied where necessary?</li> <li>• review and approval of documents by appropriately qualified personnel prior to release?</li> </ul>	sch1E	3.7	<p style="color: red;">2.7.2</p> <p style="color: red;">2.7.3</p> <p style="color: red;">2.7.4</p> <p style="color: red;">2.7.5</p>	

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	Question	NML	NAP	4292 06	Comments
6.0.4	<p>Does the system ensure:</p> <ul style="list-style-type: none"> <li>• recording of current status of documents and history of changes to documents?</li> <li>• obsolete documents are removed from circulation?</li> <li>• obsolete documents retained for legal or knowledge preservation purposes are suitably identified?</li> <li>• records are protected from unauthorised alteration, disposition or removal?</li> <li>• changes to documents are reviewed and approved by the same functions/organisations that performed the original review and approval unless specifically designated otherwise?</li> <li>• persons reviewing documents are provided with appropriate background information upon which to base their review and approval?</li> <li>• rail safety workers are promptly and reliably advised of all changes and updated on safety information through dissemination of amended documentation?</li> </ul>	sch1E	3.7	<p style="color: red;">2.7.2</p> <p style="color: red;">2.7.3</p> <p style="color: red;">2.7.4</p> <p style="color: red;">2.7.5</p>	
6.0.5	<p>Are the processes for management of safety records integrated into the business processes to which the safety records relate?</p>	NML s57 (1)(a) & National SMS Guideline	3.7		

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	Question	NML	NAP	4292 06	Comments
6.0.6	<p>Has the organisation set standards for the design and layout of documentation?</p> <p>Has the organisation undertaken any testing of documentation to ensure that its language is understandable and can be used by rail safety workers.</p> <p>Is there a process to log, track down and close out identified human factors issues?</p>	sch 1N			
6.0.7	<p>Are safety records:</p> <ul style="list-style-type: none"> <li>- sufficient to be relied upon in the course of subsequent transactions or activities?</li> <li>- a full and accurate representation of the transactions, activities, or facts to which they attest?</li> <li>- created at the time of the transaction or incident to which they relate, or soon afterwards?</li> </ul>	sch1E			
6.0.8	<p>Are authorised changes to safety records explicitly indicated and traceable?</p> <p>Do policies and procedures for the management of safety records specify:</p> <ul style="list-style-type: none"> <li>- who is authorised to make additions or annotations?</li> <li>- under what circumstances additions or annotations may be authorised?</li> <li>- what additions or annotations may be made to a safety record after it is created?</li> </ul>	sch1E			
6.0.9	<p>Does the system ensure that all commissioned reports on safety issues are kept and recorded, with the rationale for action or inaction in relation to the reports documented and available for inspection?</p>	sch1E			

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	Question	NML	NAP	4292 06	Comments
6.0.10	<p>Does the system distinguish between storage, ownership and responsibility for records and adequately manage interfaces (see also contractor management element 16)?</p> <p>Are the processes for management of safety records integrated into the business processes to which the safety records relate?</p> <p>Is the system subject to compliance monitoring and regular review of organisational performance and user satisfaction with the system?</p>	sch1E			
<b>7 Review of the safety management system</b>					

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<p>The safety management system must include systems and procedures for the review of the safety management system in accordance with s59 and reg 19. Documentation of consultation conducted before carrying out the review. Those consulted must be asked for their opinion on whether, and if so, how, the safety management system can be improved.</p> <p>In conducting the review, the operator must ensure -</p> <ul style="list-style-type: none"><li>• that the effectiveness of the SMS is assessed (including an examination of the operator's records in relation to notifiable occurrences and breaches of the system); and</li><li>• that the effectiveness of any revisions that were made as a result of the last review are assessed; and</li><li>• that any recommendations or issues arising out of any audits or safety investigations that have occurred since the last review are taken into account; and</li><li>• that any issues arising from prohibition or improvement notices issued since the last review are taken into account; and</li><li>• that any deficiencies in the system are identified; and</li><li>• that methods of remedying any deficiencies are designed and assessed; and</li><li>• that any opinions provided by persons consulted are assessed; and</li><li>• that any other suggestions for improving the system that arise during the course of the review are assessed; and</li><li>• if any deficiencies or practicable improvements are identified, that a plan is created to remedy those deficiencies, or to effect those improvements (as the case may be).</li></ul>					

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	Question	NML	NAP	4292 06	Comments
7.0.1	Does the SMS include systems and procedures for the review of the SMS? Does the SMS record the required frequency of reviews? Is the review period set in accordance with the requirements of the legislation?	s59, NMRReg 19			
7.0.2	Does the organisation's senior management review the safety management system at the required times?	S59	3.3 3.4 3.8 3.9	2.9	
7.0.3	<ul style="list-style-type: none"> <li>• Is consultation undertaken before carrying out the review?</li> <li>• Does consultation comply with the requirements of the legislation? (see element 12 of this checklist)</li> <li>• Are those consulted asked for their opinion on whether, and if so how, the safety management system can be improved?</li> </ul>	Reg 19	n/a	n/a	

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	Question	NML	NAP	4292 06	Comments
7.0.4	<p>In conducting the review does the rail transport operator ensure that:</p> <ul style="list-style-type: none"> <li>• the effectiveness of the safety management system is assessed (including an examination of the operator's records in relation to notifiable occurrences and breaches of the system)?</li> <li>• the effectiveness of any revisions that were made as a result of the last review are assessed?</li> <li>• any recommendations or issues arising out of any audits or safety investigations that have occurred since the last review are taken into account?</li> <li>• that any issues arising from any prohibition notices or improvement notices that have been issued since the last review are taken into account?</li> <li>• that any deficiencies in the system are identified?</li> <li>• that methods of remedying any deficiencies are designed and assessed?</li> <li>• that any opinions provided by those consulted are assessed?</li> <li>• that any other suggestions for improving the system that arise during the course of the review are assessed?</li> <li>• if any deficiencies or practicable improvements are identified, that a plan is created to remedy those deficiencies, or to effect those improvements?</li> </ul>	Reg 19	n/a	2.9.1	
7.0.5	Is the outcome of the review summarised and reported to the rail safety regulator in the safety performance report?	Reg 19	n/a	n/a	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
7.0.6	<p>Does the organisation's senior management ensure that review of the safety management system includes a review of literature:</p> <ul style="list-style-type: none"> <li>• external incident investigation reports, safety alerts?</li> <li>• current good practice in safety management, advances in technology and safety science, changes to cost or availability of control measures etc?</li> </ul>	implicit s28	3.1.1 para 3 bullet 2, para 5 bullet 7; 3.15.3 3.16(e) 3.16.3 final para		
7.0.7	<p>Does the rail transport operator conduct reviews of parts of the safety management system at other times when there is evidence that a review is needed? Eg:</p> <ul style="list-style-type: none"> <li>• where a variation to accreditation is required?</li> <li>• where an incident has occurred?</li> <li>• where an audit of the SMS has recommended review?</li> </ul>	implicit s28, s57(1)(e)			
7.0.8	<p>As part of the sign off on changes to the organisations SMS, is there a requirement for input from a domain expert? Is there evidence that this occurs?</p>	sch 1N			
7.0.9					
7.0.10					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<b>8 Safety Performance Measures</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>The safety management system must include systems and procedures to ensure:</p> <ul style="list-style-type: none"> <li>• that the safety management system is effective by using key performance indicators to measure safety performance and to determine the effectiveness of the safety management system;</li> <li>• the collection, analysis, assessment and dissemination of safety information held by the rail transport operator.</li> </ul>				
8.0.1	Have key safety management activities, based on controls identified in the risk management process been identified?	NM Reg Schedule 1G	3.8 para 3	none	
8.0.2	Have safety performance objectives for key safety management activities been defined?	implicit in Schedule 1G	3.8	2.8	
8.0.3	Have safety performance indicators for key safety management activities been defined? Are they measurable? Do they measure outcomes rather than processes? Is there a process for identifying trends?	implicit in Schedule 1G	3.8	2.8	
8.0.4	Is information about the safety performance of the rail transport operator collected, analysed, assessed and disseminated within the rail transport operator?	NM Reg Schedule 1G			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
8.0.5	Is the information provided to rail safety workers as well as to management? Is the information provided in a form that rail safety workers can readily understand?	NM Reg Schedule 1G			
8.0.6	Does the organisation use indicators which take into account factors such as error, contributing factors, near misses? How does the organisation review and analyse this data? How does the organisation consult with affected stake-holders?	sch 1N			
8.0.7	Does the process for reviewing safety performance levels and identifying trends allow the effectiveness of safety management activities within the SMS to be assessed?	Sch 1G			
8.0.8					
<b>9 Safety Audit Arrangements</b>					
<p>The safety management system must include an audit program that provides for</p> <ul style="list-style-type: none"> <li>• the scheduling and frequency of audits</li> <li>• safety management system audits as part of the audit program</li> <li>• the giving of priority to those matters that present the greatest safety risk.</li> </ul>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
9.0.1	<p>Is there a documented system for conducting unbiased, independent and comprehensive audits of the organisation's safety management system, which includes:</p> <ul style="list-style-type: none"> <li>• current and comprehensive organisation charts which demonstrate that all parts of the organisation which have railway safety functions are covered by the audit plan?</li> <li>• procedures for conducting audits?</li> <li>• an audit plan?</li> <li>• audit protocol and/or checklists?</li> </ul>	Implicit in Sch 1H(1)	3.9		
9.0.2	<p>Does the organisation have an audit program that provides a schedule and frequency of audits?</p> <p>Are safety management system audits part of the audit program?</p> <p>Is priority given within the audit schedule to those matters that present the greatest safety risk?</p>	NM Reg Schedule 1H	3.9	2.10.2	
9.0.3	Is the audit system itself subject to audit to ensure its effectiveness?				
<p>The safety management system must include documented audit procedures to ensure there is a process for the collection of information to determine whether the railway operations comply with the safety management system and to determine the effectiveness of the safety management system.</p>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
9.0.4	Does the SMS include systems and procedures to ensure that regular audits are carried out to verify whether the railway operations comply with the safety management system and to determine the effectiveness of the safety management system? Are these systems and procedures complied with? Have appropriate performance measures been developed?	NM Reg Schedule 1H	3.9	2.10.1	
9.0.5	Does the audit system documentation include procedures to ensure that auditors: • have the skills and knowledge to undertake audits? • are independent from the area being audited to the maximum extent that is practicable?	NM Reg Schedule 1H	3.9		
9.0.6	Does the audit system documentation include procedures for: • communicating the results of audits to those people who are responsible for the oversight of the railway operations in the area audited for review, and where appropriate for corrective action? • where appropriate the registration and effective implementation of recommendations for action identified by audit? • the review of the effectiveness of the audit program? (see also element 10 Corrective Action)	NM Reg Schedule 1H	3.9	n/a	
9.0.7	Do line managers perform an independent monitoring function by inspection and supervision? Is this documented? Is this reviewed as part of the audit program?	NM Reg Schedule 1B Implicit s28	3.9		
<b>10 Corrective Action</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include procedures to ensure, so far as is reasonably practicable, that corrective action is taken in response to any safety deficiencies identified following inspections, testing, audits, investigations or notifiable occurrences.</p> <p>The SMS must include procedures for</p> <ul style="list-style-type: none"> <li>* registering any corrective action taken</li> <li>* the review of those corrective actions</li> <li>* the implementation of corrective action if it is determined that corrective action is required</li> <li>* the assigning of responsibilities for corrective action</li> <li>* giving priority, when taking corrective action, to those matters representing the greatest safety risk.</li> </ul>					
10.0.1	<p>Does the safety management system include procedures to ensure so far as is reasonably practicable that corrective action is taken in response to any safety deficiencies identified following inspections, testing, audits, investigations or notifiable occurrences?</p> <p>Does the safety management system include procedures for:</p> <ul style="list-style-type: none"> <li>• registering any corrective action taken?</li> <li>• the review of those corrective actions?</li> <li>• the implementation of corrective action if it is determined that corrective action is required?</li> <li>• the assigning of responsibilities for corrective action?</li> <li>• giving priority to when taking corrective action to those matters representing the greatest safety risk?</li> </ul>	Reg sch 11 (2)			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
10.0.2	Do procedures for the management of corrective action include links to change management processes where appropriate?	s57(1)(a) & National SMS Guideline			
10.0.3	Do the procedures provide for oversight of the implementation of corrective actions at an appropriate level of management , having regard to the associated safety risk? Is there a process for the escalation of corrective action reports to higher levels of management when timeframes for completion are not met?	Implicit s28, sch 1B, sch 1I			
10.0.4	Have specific controls recognising the potential for human error creating hazardous events been established? Can examples be provided? What corrective actions are typically taken in response to human error? How is their effectiveness reviewed?	sch 1N			
<b>11 Management of Change</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>The safety management system must include procedures for ensuring that changes that may affect the safety of railway operations are identified and managed, including but not limited to procedures for ensuring that, so far as is reasonably practicable changes are fully identified and described in the context of the railway operations See element 12 for consultation requirements</p>				
11.0.1	Does the rail transport operator have a change management process?	NM Reg Schedule 1J	3.10	2.11.1	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
11.0.2	Does the process include proceduress for ensuring that changes are fully identified and described in the context of the railway operations?	NM Reg Schedule 1J	3.10	2.11.1	
11.0.3	Are there procedures for ensuring that affected parties are identified and, so far as is reasonably practicable, consulted and the consultation requirements of the legislation are complied with?	S57 (2) and NM Reg Schedule 1J			
11.0.4	Is consultation being effectively managed? Has a consultation plan been prepared where necessary, for example where there are multiple stakeholders or where the impact on stakeholders is high?	National SMS Guideline	n/a	n/a	
11.0.5	Are there procedures for ensuring that the roles and responsibilities of rail safety workers and employees of the rail transport operator are clearly specified with respect to the change?	NM Reg Schedule 1J			
11.0.6	Are there procedures for ensuring that the rail safety workers and employees of the rail transport operator are fully informed and trained to understand and deal with the proposed change?	NM Reg Schedule 1J			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
11.0.7	Are there procedures to ensure the identification, assessment and control of risks to safety associated with the change? Are risks identified included in the the risk register as required (see element 14)?	NM Reg Schedule 1J			
11.0.8	Are there procedures to ensure that the change, once implemented, is reviewed and assessed to determine whether or not the change has been appropriately managed?	NM Reg Schedule 1J			
11.0.9	Does the change management process include the following points: <ul style="list-style-type: none"> <li>• identifying the stakeholders, internal and external to the AO that are affected by the change or involved in implementation of the change?</li> <li>• identifying the stakeholder objectives to be achieved by the change and the acceptance criteria for each?</li> <li>• identifying the procedural context of the change?</li> <li>• describing the internal environment within which the change is proposed?</li> <li>• identification of the external context of the change, eg regulatory requirements?</li> <li>• clearly describing the scope and limits of the primary change proposed?</li> <li>• a strategy for identifying and managing "incremental change"</li> </ul>	Implicit	n/a	n/a	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
11.0.10	<p>Does the change management process include the following points:</p> <ul style="list-style-type: none"> <li>• identifying any additional controls necessary after introduction of the change?</li> <li>• managing the risk that the change will not be effectively communicated to internal and external persons whose activities are affected by the change</li> <li>• what is the action plan for implementation (responsibility, accountability, timeframe)?</li> <li>• what are the monitoring and review process(es)</li> <li>• what risks have been transferred to others for management?</li> </ul> <p>Include provision of evidence of acceptance of management responsibility for that risk.</p> <ul style="list-style-type: none"> <li>• sign-off by: Nominated Officer under accreditation; Managers responsible for: safety, operations, infrastructure, rollingstock, interface organisations?</li> <li>• clearly describing any associated secondary changes necessary to accommodate the primary change?</li> </ul>	Implicit	n/a	n/a	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
11.0.11	<p>Does the Organisation's change management process address changes to:</p> <ul style="list-style-type: none"> <li>• infrastructure and rolling stock?</li> <li>• procedures, processes, standards, rules and systems?</li> <li>• organisational structure?</li> <li>• job roles and responsibilities?</li> <li>• changes external to the organisation and changes to interfaces coming to the attention of the railway organisation (eg development of neighbouring land affecting usage of level crossings)?</li> <li>• Safety Management System framework and documentation?</li> <li>• Use of sub contractors?</li> </ul>	implicit	n/a	2.11.1	
11.0.12	<p>Does the change management process take account of:</p> <ul style="list-style-type: none"> <li>• change that is planned but which must take into account any unintended consequences in related areas?</li> <li>• unavoidable, unplanned or unintended changes, including "creeping" or "incremental" change?</li> <li>• temporary Changes?</li> <li>• emergency or abnormal changes which may be required within a short time frame?</li> </ul>	implicit	3.10.1	n/a	
11.0.13	Where appropriate, does the change management process require preparation and approval of a safety validation prior to implementation of the change?	implicit	n/a	2.11.3	
11.0.14	Are safety validations undertaken by appropriately skilled, knowledgeable and experienced people?	implicit	3.18	2.11.4	

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	Question	NML	NAP	4292 06	Comments
11.0.15	Has the level and independence of people/positions approving safety validations been identified?	implicit	n/a	2.11.4	
11.0.16	Is the change management process applied whenever a change occurs that affects the organisation's accredited activities?	s58	4.21.1	n/a	
11.0.17	<p>Are there triggers to ensure that any changes to the operational systems take into account the human element?</p> <p>What is the organisations process to identify human factors issues associated with the design of the change, the implementation, the transition and the monitoring of the change?</p> <p>Does the organisation's processes for managing change include links to, where appropriate:</p> <ul style="list-style-type: none"> <li>• error tolerability / recoverability?</li> <li>• interface design?</li> <li>• usability?</li> </ul> <p>How does the organisation decide when it is necessary to involve human factors expertise in the change management process?</p> <p>Are people with human factors knowledge/expertise involved in the sign off of change where appropriate?</p> <p>Are changes trialled and tested before implementation?</p> <p>Are operators of the system included in the trials or tests of the system?</p>	sch 1N			
<b>12 Consultation</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include systems and procedures to ensure that the consultation required by the legislation occurs when the safety management system is reviewed or varied.</p>					
12.0.1	<p>Does the rail transport operator have systems and procedures in place for consultation where reasonably practicable with:</p> <ul style="list-style-type: none"> <li>• affected parties eg rail safety or other workers?</li> <li>• OHS representatives of any of the people likely to be affected (above)?</li> <li>• any union representing persons affected (above)?</li> <li>• any other rail transport operator with whom there is an interface coordination plan?</li> <li>• the public, as appropriate?</li> </ul>	S57(2)			

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	Question	NML	NAP	4292 06	Comments
12.0.2	<p>Is consultation undertaken before the establishment, variation or review of the safety management system? Ie:</p> <ul style="list-style-type: none"> <li>• during the development of the SMS?</li> <li>• at appropriate points in the risk management process?</li> <li>• before the implementation of any change to railway operations, systems or processes etc?</li> <li>• as part of reviews of the safety management system or sub-systems?</li> </ul>	S57(2)			

### 13 Internal communication

The safety management system must include systems and procedures:

- for the dissemination of information about the content of the safety management system to people who are to participate in the implementation of the system or who may otherwise be affected by its implementation
- for the communication of the rail transport operator's safety policy and safety objectives to all people who are to participate in the implementation of the safety management system
- to support communication and the dissemination of information throughout, and between all levels of, the operator's railway operations.

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
13.0.1	Has the organisation established robust communication processes for dissemination of safety information and procedures to people who are to implement the system or who may be affected by it? Have railway safety workers been consulted in establishing communication processes?	NML s57 (2) NM Reg Schedule 1L [also 1D regulatory compliance]	3.15.1	Parts 2-5 Section 1.9, and Part 6 Section 1.7	
13.0.2	Have work processes been analysed to identify what information is needed to enable rail safety workers to effectively discharge their rail safety responsibilities?	Implicit in schedule 1D	Implicit in 3.15.1		
13.0.3	Are these communication processes subject to regular monitoring and review?	Schedule 1F and 1H	3.15.1		
13.0.4	Have effective systems to support communication between people as business is conducted been established?	Schedule 1L (d)	3.15.2		
13.0.5	What are the processes and tools (briefings, factsheets, etc) for informing / educating employees about human factors activities and their integration?	sch 1N			
13.0.6	Has the organisation developed standards for consistent use of language and effective communication? How does the organisation share these with staff – is there an audit or validation process? Does the organisation have in place methods to track and record systems breaches? Are these analysed and considered in reviews?	sch 1N			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
The safety management system must include systems and processes for the internal reporting of accidents and incidents involving the operator's railway operations, including accidents and incidents involving contractors and sub-contractors.					
13.0.7	Does the organisation have a process for reporting of safety incidents? Do these processes include reporting of accidents and incidents involving contractors and sub-contractors? Are learnings from rail safety investigations promulgated to relevant persons in the organisation to prevent recurrence? (see also element 8 Safety Performance Measures)	Schedule 1L (c)	3.15.3	8.1.2	
<b>14 Risk Management</b>					
14.0.1	Has the organisation defined a clear policy relating to the systematic identification of risks to the safety , the development of controls and a decision making framework for determining the adequacy of the level of risk control for railway operations?	none	3.16(a)	none	
<b>14.1</b>	<b>Staff Risk Management Competency</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.1.1	<p>Does the SMS provide for the promotion of risk management competency within the organisation such that all staff with safety management responsibilities understand and can apply the following concepts as they relate to risk management:</p> <ul style="list-style-type: none"> <li>• the overall risk management process and the role of risk assessment in the context of the organisation's SMS?</li> <li>• systemic or organisational factors which can create safety hazards?</li> <li>• human factors and the human/ machine interface, including errors and violations?</li> <li>• typical and potential high impact outcomes?</li> <li>• the susceptibility to failure of engineered controls due to inadequate design, installation, operation or maintenance?</li> <li>• the concept of multiple layers of defence for complex hazards?</li> </ul>	NML s28	3.16(b) 3.16.7	Implicit in 4.2(a)	
14.1.2	Do senior managers actively participate in risk assessment activities? (Is there evidence of this in meeting attendance records?)	Sched 1A, 1AA NML s57	3.13(a) 3.16(c)	2.14(a)	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include systems and procedures for identification and assessment of any risks to safety that have arisen or may arise from the carrying out of railway operations on or in relation to the rail transport operator's rail infrastructure or rolling stock.</p>					
<b>14.2</b>	<b>Risk Identification and Assessment</b>				
14.2.1	Does the organisation have a documented and implemented process for risk identification?	s57(1)(c) sched 1M	3.16(d) 3.16.2	none	
14.2.2	Is there evidence the risk identification process is followed?	NML s58	3.16 (d) 3.16.2	none	
14.2.3	<p>Has a scoping statement been written that “establishes the context” for risk assessments?</p> <p>Have stakeholders, persons who interact with systems under examination, or groups who are affected by exposure to the hazard (including general public, passengers, contractors, employees of other organisations) been identified?</p> <p>Does the scoping statement clearly document the following areas:</p> <ul style="list-style-type: none"> <li>• scope/limits of interest?</li> <li>• stakeholder listing - internal and external?</li> <li>• stakeholder objectives?</li> <li>• acceptance criteria (see further detail below)?</li> <li>• whether degraded modes of operation have been considered?</li> </ul> <p>Is it clear what the boundaries are? Ie- what subject matter is considered and what subject matter is excluded.</p>	NML s57	3.16.1 3.16 (d) 3.16.3	none	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.2.4	<p>Has the rail transport operator identified credible incidents that could occur on or at rail infrastructure or while carrying out rail infrastructure operations or while carrying out rolling stock operations?</p> <p>Has the rail transport operator recorded the hazards, together with precursors that contribute (whether individually or in combination) to overall risk of the operation, including those which refer to catastrophic or fatal consequences?</p> <p>Has the rail transport operator kept records of the identification process, including the methods and criteria used, and the persons participating in the identification process?</p>	NML s57	3.16 (d) 3.16.2		
14.2.5	<p>Is there evidence that suitable information was used to support incident/hazard identification and risk assessment? eg</p> <ul style="list-style-type: none"> <li>- documentation (e.g. drawings, specifications, operating procedures)?</li> <li>- historical knowledge within the organisation or similar organisations?</li> <li>- analysis of failures?</li> <li>- results of incident investigations?</li> <li>- results of audits and inspections?</li> <li>- overseas experiences?</li> <li>- findings from group exercises or other drills?</li> <li>- task analysis</li> <li>- relevant published literature</li> <li>- market research</li> </ul> <p>Have determinations of likelihood and severity assigned to hazardous events been justified through reference to supporting information (where available)?</p>	NML s57			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.2.6	<p>Can the organisation provide examples of risk assessments where the involvement of humans, and consequences of their involvement, has been considered?</p> <p>What processes are in place so that the organisation can be satisfied that it is controlling relevant human factors risks?</p> <p>What are the processes to ensure that the potential for human error is systematically addressed in all risk assessments?</p> <p>How are human factors risks recorded?</p>	sch 1N			
14.2.7	<p>Has the rail transport operator given special consideration to special hazards, as applicable, including:</p> <ul style="list-style-type: none"> <li>- tunnels?</li> <li>- bridges?</li> <li>- below ground stations?</li> <li>- dangerous goods?</li> <li>- other unique locations or geographical areas?</li> <li>- interfacing issues with other rail operators?</li> </ul> <p>Has the rail transport operator given special consideration to special hazards within varying operational contexts, including:</p> <ul style="list-style-type: none"> <li>- normal operations?</li> <li>- maintenance?</li> <li>- planned changes (either permanent or temporary)?</li> <li>- activities of third parties (eg trespass and vandalism)?</li> <li>- other non-routine activities?</li> </ul>	NML s57			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.2.8	<p>Has the rail transport operator used an appropriate assessment/ analysis methodology appropriate to the hazard being considered?</p> <p>Is there a process for evaluating existing controls?</p> <p>Does the risk assessment process describe when it is appropriate to use</p> <ul style="list-style-type: none"> <li>• quantitative risk assessment ?</li> <li>• semi-quantitative risk assessment?</li> <li>• qualitative risk assessment ?</li> </ul>	NML s57	3.16.2, 3.16 (d)	none	
14.3	<p><b>Risk Acceptability Criteria and Treatment - identification of reasonably practicable control measures</b></p>				
<p>The safety duty imposed on a person to ensure so far as is reasonably practicable, safety requires the person:</p> <ul style="list-style-type: none"> <li>• to eliminate risks to safety so far as is reasonably practicable;</li> <li>• if it is not reasonably practicable to eliminate risks to safety, to reduce those risks so far as is reasonably practicable.</li> </ul>					
14.3.1	<p>Have risk acceptance criteria been established which include:</p> <ul style="list-style-type: none"> <li>• risk criteria (tolerability levels)?</li> <li>• a decision framework that considers the risk, benefit, resource balance to determine if further controls are reasonable and practical? Does this test of reasonableness and practicality include consideration of good practice?</li> </ul> <p>Do risk criteria have a referenced or justified basis?</p>	NML s7(2), s28 s57, Sch1M	3.16.3, 3.16 (d), 3.1 para 2 bullet 4	3.1 calls AS 4360	
14.3.2	<p>Does the risk evaluation and treatment step of the process consider if there is sufficient depth of controls, so that cases are where a single control is preventing realisation of a risk are avoided?</p>	NML s7(2), s28 s57, Sch1M			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.3.3	<p>Does the risk evaluation and treatment step of the process require options for further risk controls to be identified? Is a hierarchy of controls considered? Such as:</p> <ul style="list-style-type: none"> <li>• elimination?</li> <li>• substitution?</li> <li>• isolation of the hazard from the person put at risk?</li> <li>• minimisation by engineering?</li> <li>• minimising by administrative means (ie, procedural controls)?</li> <li>• use of personal protective clothing/equipment?</li> </ul>	<p>NML s7(1), s28 s57, Sch1M</p>			
14.3.4	<p>Are the findings of risk assessments appropriately:</p> <ul style="list-style-type: none"> <li>• communicated internally to facilitate understanding and awareness of risk levels and associated controls?</li> <li>• communicated and shared with other business units and external agencies/stakeholders?</li> <li>• reviewed regularly and whenever new assessments are conducted?</li> </ul>	sch1(L)	3.16 (c) & (h) 3.15.1		

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.3.5	<p>Has a decision been made regarding whether risks are acceptable or unacceptable?</p> <p>Was consensus regarding risks achieved or have matters of disagreement been noted?</p> <p>Has the evaluation of the risk taken into consideration the tolerability of risks borne by other parties other than the organisation/functional area that benefits from it ?</p> <p>Has the range of control measures (risk treatments) been considered? (Treatment measures as part of a complete control plan should consider (a) the risks that are to be treated (b) the causes , sources or events that the treatment should target (c) what treatment measures should do, when, where and how and (d) the required performance level of treatment in terms of efficacy, reliability and availability.)</p>	NML s7(2), s28 s57, Sch1M			
14.3.6	<p>In the event of an incident occurring, have measures to control the magnitude of the incident and the severity of its consequences been considered?</p>	NML s7(2), s28 s57, Sch1M			
14.3.7					
<b>14.4</b>	<b>Risk Register</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include a risk register that includes -</p> <ul style="list-style-type: none"> <li>• a listing of the risks to safety</li> <li>• details of the assessment of those risks (including their likelihood, likely consequences and ranking)</li> <li>• a description of any elimination or risk control measures that are to be used to manage, so far as reasonably practicable, those risks, including, where appropriate               <ul style="list-style-type: none"> <li>- the identification of who is responsible for implementing the measures and</li> <li>- a reference to the general location or locations in the safety management system where more details on the measures can be found.</li> </ul> </li> </ul> <p>The safety management system must include systems and procedures to ensure that the details in the register are current, so far as reasonably practicable.</p>					
14.4.1	<p>Does the organisation have a documented risk register or other appropriate documentation that features:</p> <ul style="list-style-type: none"> <li>• a comprehensive listing of hazards?</li> <li>• risks associated with each hazard?</li> <li>• the controls applicable to each hazard?</li> <li>• nomination of the party responsible for each control?</li> <li>• key standards applicable to each control (engineering, operational, maintenance)?</li> <li>• all relevant cross referencing to other relevant aspects of the SMS eg operating procedures, competency requirements, inspection/testing/audit regime,etc</li> </ul>	<p>NM Reg Schedule 1M (2)</p>	<p>3.16.5</p>	<p>partly 2.1(c)(ii)</p>	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
14.4.2	<p>Does the organisation's risk register and associated documentation contain the following:</p> <ul style="list-style-type: none"> <li>• coverage of all business activities and locations?</li> <li>• consideration of all significant railway safety risks to the business?</li> <li>• ranking of risks in accordance with their potential likelihood of occurrence and potential severity of impact?</li> <li>• definitions of inputs to corresponding action plans?</li> <li>• procedures to ensure that it is documented, communicated and available to all management staff?</li> </ul> <p>Does the risk register nominate the timeframe(s) for implementation or monitoring activities for each control measure? Are safety management actions (work programs) prioritised based on the risk ranking?</p>	NM Reg Schedule 1M (2)	3.16.5 3.16.2, 3.16(d) 3.16.6	none	
14.4.3	Are there procedures to ensure that the risk register is maintained? Is there evidence of their use? Have the risks of recent occurrences been reviewed?	NM Reg Schedule 1M (3)	3.16 (i), 3.16.5	partly 2.1(c)(ii)	
14.4.4					
<b>14.5</b>	<b>SMS Integration</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>A rail transport operator must have a safety management system that is in a form approved by the rail safety regulator.</p> <p>The safety management system must provide a comprehensive and integrated management system for all aspects of control measures adopted in accordance with the legislation.</p>					
14.5.1	Are implementation plans created to establish further risk controls?	Implicit in sch1M	3.16.5 3.16 bullet 2	3.2	
14.5.2	Is a suitably competent person nominated to be responsible for the implementation of each risk control? Have timeframes been established for implementation of risk controls?	sch1M(2) s68 and sch1U	3.16.5	none	
14.5.3	Are there processes in place to ensure, so far as is reasonably practicable, that rail safety work is prioritised so that those hazards representing the greatest risk are given priority.	NM Reg Sch 1I			
14.5.4	Are there operational procedures and rules related to the defined controls?	sch1M(1)	3.16.6 para 2 bullet 1	none	
14.5.5	Does the risk assessment report indicate those areas where additional monitoring of risks is required? Has the SMS established monitoring / inspection/audit regimes to ensure ongoing effectiveness of controls?	s57(1)	3.16.6 para 2 bullet 4	none	
14.5.6	Does the risk assessment report indicate strategies for reviewing risks and confirming suitability and effectiveness of risk controls? Have performance indicators been established based on risk assessments and risk controls?	NML s57(1)(e) Sch 1G(1)	3.16(h) 3.8		
14.5.7	Does the risk assessment indicate how outcomes will be communicated to affected rail safety workers/ other parties affected ?	NM Reg Sch 1L			
<b>15 Human Factors</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include procedures to ensure that human factors matters are taken into account during the development, operation and maintenance of the safety management system and for the integration of human factors principles and knowledge into all relevant aspects of operational and business systems.</p>					
15.0.1	<p>Does the SMS include policies/procedures which outline how human factors has been integrated into relevant aspects of operational and safety systems? Is there supporting documentation (guidelines, training materials, briefings, etc of how this is done?</p> <p>How has the organisation set standards so that they take into account the strengths and weaknesses of human capabilities?</p>	sch 1N			
15.0.2	<p>Is there a standard / guideline the organisation follows for passenger safety signage?</p> <p>If not, how is the signage developed?</p> <p>Is the signage tested? How? What criteria are applied?</p>	sch 1N			
<b>16 Procurement and Contract Management</b>					
<b>16.1 Precontract</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The SMS must include systems and procedures:</p> <ul style="list-style-type: none"><li>• for the review of tender documents and contracts to ensure that safety requirements under the SMS are adequately defined and documented in those tender documents and contracts</li><li>• to ensure that the terms of any tender documents or contracts do not lead to unsafe work or an activity that may affect the safety of railway operations</li><li>• for the selection and control of contractors and to ensure the monitoring of the performance of contractors, including conducting or commissioning audits of the contractor's performance in relation to the safety aspects of the contract</li><li>• to ensure that safety duties under the Act are being met under contracts.</li></ul>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
16.1.1	<p>Does the organisation have procedures</p> <ul style="list-style-type: none"> <li>• for the review of tender documents and contracts to ensure that safety requirements under the SMS are adequately defined and documented in those tender documents and contracts?</li> <li>• to ensure that the terms of any tender documents or contracts do not lead to unsafe work or an activity that may affect the safety of railway operations?</li> <li>• for the selection and control of contractors and to ensure the monitoring of the performance of contractors, including conducting or commissioning audits of the contractor's performance in relation to the safety aspects of the contract?</li> <li>• to ensure that safety duties under the Act are being met under contracts?</li> </ul>	Sch 1O	3.19.1	5.2.1, 5.2.2, 5.2.3 5.3	
16.1.2	<p>Does the organisation have a documented procurement process including appropriate contract and purchasing procedures to warrant the competence and capacity of all their contractors and suppliers and ensure they have appropriate risk management and SMSs in place?</p>	Implicit in Sch 1O (c) & (e)	3.19	5.3	
16.1.3	<p>Does the organisation have a suitable and sufficient process for selection, control and ongoing review of contractors and subcontractors for safety-related work, including the coordination of these activities across all parts of the rail operator's organisation?</p> <p>Is the type and extent of control exercised dependent upon the type of service and where appropriate, on the records of contractors' and sub-contractors' previously demonstrated capability and safety performance?</p>	Sch 1O			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
16.1.4	Does the organisation's procurement process include the establishment and maintenance of procedures for the management of contracts in respect of safety issues?	Sch 1O(d)	3.19.1	5.2.1	
16.1.5	Has the organisation set any standard or specification for the management of human factors? Do these require the contractor to manage risks associated with human performance, including factors that may affect or be affected by the public? Do procedures used to manage contracts include requirements for design validation, and for testing and inspection and validation, where necessary, during the commissioning process? How does the organisation assess the competence and capacity of contractors who may be undertaking projects in the field of human factors?	Sch 1N			
16.1.6	Does the SMS include a suitable and sufficient process to ensure that any conflict between the specified railway safety requirements and those contained in a tender or proposal are resolved before a contract is awarded?	Sch 1O			
<b>16.2</b>	<b>Procurement</b>				
The safety management system must include systems and procedures to ensure that goods and services provided to the railway operation meet the standards and specifications required for the safety of the railway operation.					
16.2.1	Are procedures to ensure that purchased services and products conform to specified rail safety requirements established and maintained by the organisation?	NM Reg Schedule 1O(e)	3.19.2	5.3	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
16.2.2	<p>Do the purchased services and products procedures ensure that:</p> <ul style="list-style-type: none"> <li>• requirements applicable to shelf life and storage conditions of spares, components and tools is documented to ensure operational life is achieved?</li> <li>• the reassessment of suitability of spares, components and specialist tools produced to a revised specification is verified and documented?</li> <li>• if spares, components and specialist tools for use on safety critical equipment are produced to a revised specification, their suitability is reassessed?</li> <li>• where appropriate or specified, traceability of manufacture through batch or other identification is documented?</li> <li>• steps are documented to verify that the supplied product or service meet railway safety requirements prior to acceptance?</li> <li>• purchasing documents contain clear specifications or adequately specified railway safety requirements?</li> </ul>	Implicit sch 1O(e)	3.19.1 3.19.2	5.3	
16.2.3	Does the organisation have acquisition processes for rolling stock, infrastructure etc which conform to recognised standards?	Sch 1O and 1P	3.19.1 3.19.2	5.3	
<b>16.3</b>	<b>Contract Management</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include systems and procedures:</p> <ul style="list-style-type: none"> <li>• for the ... control of contractors and to ensure the monitoring of the performance of contractors, including conducting or commissioning audits of the contractor's performance in relation to the safety aspects of the contract</li> <li>• to ensure that safety duties under the Act are being met under contracts</li> <li>• to ensure that ..services provided to the railway operation meet the standards and specifications for the safety of railway operation.</li> </ul>					
16.3.1	<p>Has the organisation established systems and procedures for:</p> <ul style="list-style-type: none"> <li>• gaining a clear understanding of the work their contractors will undertake?</li> <li>• identifying, analysing and evaluating the risks that are related to the work to be performed or service to be provided?</li> <li>• identifying ways of eliminating and controlling those risks, where this is within the ability of the rail operator?</li> <li>• identifying standards which specify the conditions that the contractor must work to, including (competency standards, retention of safety related records, requirements in relation to the contractor's SMS, safety performance standards, adherence to safety standards and legislation applying to the work in question)?</li> </ul>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
16.3.2	<p>Does the organisation have an effective monitoring strategy for the safety performance of contractors that includes:</p> <ul style="list-style-type: none"> <li>• personnel involved in the monitoring process who are familiar with the proposed method of work, the risks and the risk control systems?</li> <li>• a reactive monitoring system as a result of incidents and reported events?</li> <li>• a proactive monitoring system which is relevant to the risks associated with the work being undertaken and the type of contract in place?</li> </ul>	sch 10 (c)	3.18 3.19.2	5.4.1	
16.3.3	<p>Does the organisation have a process for auditing the management and performance of contractors, including:</p> <ul style="list-style-type: none"> <li>• actual performance of contractors against specified requirements so that outcomes can be fed into the review process?</li> <li>• the contractors' management systems to verify compliance and alignment with specified requirements?</li> <li>• the organisation's system for the management of contractors?</li> </ul>	sch 10 (c)	3.19.2	5.5	
16.3.4	Is remedial action taken where deficiencies in contractor performance are identified?	sch 10 (d)			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
16.3.5	<p>Does the organisation have a documented process for reviewing information provided from agreed performance indicators and the auditing of contractors, including the:</p> <ul style="list-style-type: none"> <li>• process for feeding the lessons learnt back into each stage of the process - procurement, standard setting, management of the actual work?</li> <li>• process for recording the lessons learned from the contract review?</li> <li>• arrangements for the dissemination of outcomes from the contract review to affected parties</li> <li>• contractor involvement in the review process?</li> <li>• entire contractor management process from the decision to use contractors to their view at the end of the contract?</li> </ul>	s57(1) (e)	3.19.3	5.6	
16.3.6	Does the organisation have a documented process for verifying that the supplied product or service meets railway safety requirements prior to acceptance?	sch 10(e)	3.19.2	5.3(b)	
16.3.7	Does the organisation have a documented process for ensuring, where appropriate or specified, that the manufacturer or supplier of goods may be identified through batch or other identification?		3.19.2	5.3(c)	
16.3.8	Does the organisation have a documented process for verifying, where appropriate, that any delegated engineering authorities are appropriately exercised?	s57(1)(e) sch 1C	3.19.2	5.4.1	
<b>17 Asset Management</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
The SMS must include an asset management policy and processes that address all phases of the asset lifecycle of the rail infrastructure or rolling stock operations.					
17.1.1	Does the organisation have an effective asset management program in place that includes: <ul style="list-style-type: none"> <li>• an asset management policy?</li> <li>• accountability of all line managers up to the level of CEO for asset safety?</li> <li>• identification of technically qualified and competent persons responsible for asset integrity and safety?</li> <li>• defined serviceability standards?</li> </ul>	sch 1R sch 1C sch 1U sch 1P	3.25	2.1	
17.1.2	Does the organisation's asset management program address all phases of the asset lifecycle?	sch 1R	3.25	2.1	
<b>18 Engineering and Operational Systems</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The SMS must include a documented set of engineering standards and procedures, and operational systems, safety standards and procedures, to cover the following, and if relevant, the interface between any 2 or more of them</p> <ul style="list-style-type: none"><li>• rail infrastructure</li><li>• rolling stock</li><li>• operational systems.</li></ul> <p>The SMS must include details of the implementation and updating of the documents specified above.</p>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.0.1	<p>Does the organisation have a set of documented engineering and operational systems safety standards that cover:</p> <ul style="list-style-type: none"> <li>• track and civil infrastructure (where relevant)?</li> <li>• rolling stock?</li> <li>• signalling and telecommunications systems and equipment?</li> <li>• operations and train control systems?</li> <li>• IT systems that impact on rail safety?</li> <li>• electric traction systems (where relevant)?</li> </ul> <p>(see next requirement for interfaces)</p>	sch 1P	3.20	6.1	
18.0.2	<p>Do the documented engineering and operational systems safety standards indicate the relationships between the elements listed in 18.1.1 where required?</p>				
18.0.3	<p>Do the engineering and operational system safety standards cover the following in relation to rail infrastructure and rolling stock:</p> <ul style="list-style-type: none"> <li>• engineering design?</li> <li>• construction and installation?</li> <li>• implementation and commissioning?</li> <li>• monitoring and maintenance?</li> <li>• modification?</li> <li>• decommissioning or disposal?</li> </ul>	sch 1P		section 6	
<b>18.1</b>	<b>Infrastructure aspects</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.1.1	<p>Has the organisation established procedures for the following (where applicable):</p> <ul style="list-style-type: none"> <li>• ensuring the integrity of the track and other infrastructure?</li> <li>• ensuring that railway traffic and track and other infrastructure have compatible operating parameters?</li> <li>• ensuring the safety of persons and property on or adjacent to the railway?</li> <li>• communicating operating parameters, requirements and restrictions by adequate and effective means?</li> <li>• structure clearances?</li> <li>• track gauge and tolerance?</li> <li>• capacity of track and civil infrastructure?</li> <li>• track crossing work geometry?</li> </ul>	sch 1P(4)	3.21.2	Implicit in section 6	
<b>18.2</b>	<b>Electric traction infrastructure aspects</b>				
18.2.1	<p>Has the organisation established procedures for the following (where applicable):</p> <ul style="list-style-type: none"> <li>• fault protection?</li> <li>• power supply parameters?</li> <li>• electrical clearances and approach distances?</li> <li>• spatial location of conductors?</li> <li>• safety switching and isolation procedures?</li> <li>• earthing and bonding?</li> <li>• other electric distribution or supply systems?</li> </ul>	sch 1P(4)	3.21.3		
<b>18.3</b>	<b>Rolling stock aspects</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.3.1	<p>Has the organisation established procedures for the following (where applicable):</p> <ul style="list-style-type: none"> <li>• ensuring the integrity of rolling stock?</li> <li>• ensuring compatibility with track and other infrastructure parameters?</li> <li>• ensuring safe retention of loads on wagons?</li> <li>• provision of adequate passenger and rail safety worker protection in the event of a derailment, collision or other unscheduled event?</li> <li>• provision of reliable vehicle couplings, brake systems and other connections between vehicles?</li> <li>• vehicle and load dimensions, including clearances?</li> <li>• ensuring the roadworthiness of vehicle?</li> <li>• establishing permissible speed limits?</li> </ul>	sch 1P(4)	3.21.4	?	
18.3.2	<p>Has the organisation established procedures for the following (where applicable):</p> <ul style="list-style-type: none"> <li>• determining the size, shape, gauge and gauge tolerance of wheels?</li> <li>• determining the limits on wheel flange thickness, shape and wheel defects?</li> <li>• determining coupling types, height and maintenance limits?</li> <li>• monitoring the braking system, including train performance parameters?</li> <li>• monitoring vehicle equipment?</li> <li>• monitoring vehicle maintenance standards and procedures?</li> <li>• vehicle recognition, including bogie types?</li> <li>• electrical resistance tolerances between wheel to rail contact faces on the same axle?</li> <li>• electrical compatibility between traction systems and signalling</li> </ul>				
<b>18.4</b>	<b>Interfaces</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.4.1	<p>Does the organisation have a set of documented engineering and operational systems safety standards for interfaces with other transport modes for example road transport or pedestrian traffic, and other railway organisations, including:</p> <ul style="list-style-type: none"> <li>• minimising risk at level crossings and multiple user yard operations, including private sidings?</li> <li>• ensuring the integrity of rail-over or rail-under structures, including over-height protection for road-under-rail structures; and where practicable, minimising the risk of track obstruction arising from accidents on nearby roads or other transport routes, or involving services such as waterways, pipelines and high voltage power lines?</li> <li>• managing the risks associated with the construction and maintenance of non-railway services on and utilities on railway property?</li> <li>• managing the risks associated with the interface between rail and non-rail traffic on roadways, at terminals, yards and stations, and at joint/alternate use facilities such as dual use roadways and bridges?</li> </ul>	sch 1P(4)	3.20	1.6.2(d)	
18.4.2	<p>Does the organisation have a set of documented engineering and operational systems safety standards for interfaces with other rail networks: ie</p> <ul style="list-style-type: none"> <li>• connection of one network to another including the definition of the interface points and the management of the infrastructure and train operations through the connection?</li> <li>• crossings (at grade or separated) of the networks including the management of infrastructure and train operations at the crossing points?</li> <li>• management of infrastructure and train operations in shared corridors?</li> </ul>				
<b>18.5</b>	<b>Construction and Installation</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.5.1	<p>Has the organisation established and maintained standards and procedures for all aspects of the construction and implementation of new or modified equipment and systems, including:</p> <ul style="list-style-type: none"> <li>• the maintenance of safe railway operations during any system changes?</li> <li>• process control?</li> <li>• appropriate access control and protection?</li> <li>• the use of appropriate installation practices and procedures?</li> <li>• procedures to ensure use of approved and current plans and specifications?</li> <li>• preparation of operating and maintenance procedures and instructions where applicable?</li> </ul>	sch 1P(4)	3.20 3.25	6.4.1	
18.5.2	<p>Do the organisation's standards and procedures for construction and installation take into consideration, where appropriate, the following:</p> <ul style="list-style-type: none"> <li>• documentation requirements for system installation?</li> <li>• ensuring that there is no ambiguity on type of safe working system in force?</li> </ul>	sch 1P(4)	3.20 3.25	6.4.2	
<b>18.6 Implementation and commissioning</b>					
18.6.1	<p>Has the organisation established and maintained standards and procedures for the commissioning of new or modified systems and equipment to ensure that the new system and equipment is verified as meeting the appropriate requirements and standards?</p>	sch 1P(4)	3.25	6.5.1	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.6.2	<p>Do the organisation's standards and procedures for the commissioning of new or modified systems and equipment include:</p> <ul style="list-style-type: none"> <li>• specific inspection and testing processes?</li> <li>• the provision of as-constructed documentation, plans and drawings as relevant?</li> <li>• the handover process?</li> <li>• safe transition arrangements to the operating parameters of the railway?</li> <li>• an inspection and test plan covering verification and validation of conformance of the system to the design?</li> </ul>	sch 1P(4)	3.23 3.24 3.19	6.5.1, 6.5.2	
18.6.3	<p>Does the organisation have a process for conducting and documenting in-service monitoring in cases where the safety of part of a system cannot be verified prior to its commissioning or entry or re-entry into service?</p>	sch 1P(4)	3.24	6.5.3	
<b>18.7 System operation</b>					
18.7.1	<p>Has the organisation established procedures for the following:</p> <ul style="list-style-type: none"> <li>• worker competence?</li> <li>• protecting rail safety workers moving on or about the track?</li> <li>• minimising human error in formulation, transmission and execution of authorities or instructions?</li> </ul>	sch 1P(4)	3.21.1.1		

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	Question	NML	NAP	4292 06	Comments
18.7.2	<p>Has the organisation established and maintained standards and procedures for the management of trains by train crews or others involved in respect of the following:</p> <ul style="list-style-type: none"> <li>• establishment and maintenance of train integrity, before and during a journey?</li> <li>• train crew possession of route knowledge, including the safeworking system in use, track, station, stopping place and terminal layout, communications system in use, signalling arrangements, speed limits, emergency procedures and any other local conditions affecting railway safety?</li> <li>• identification of changes in the safeworking system?</li> <li>• traction and train knowledge?</li> <li>• securing of rolling stock when stopped or parked?</li> <li>• protecting against over-speed operation?</li> <li>• train performance-monitoring arrangements?</li> <li>• axle loads?</li> <li>• securing of loads?</li> <li>• other operational procedures?</li> </ul>	sch 1P(4)	3.21.1.2	6.7.1	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.7.3	<p>Has the organisation established and maintained standards and procedures for the management of traffic by train controllers in respect of the following:</p> <ul style="list-style-type: none"> <li>• Establishment and maintenance of route integrity, including                             <ul style="list-style-type: none"> <li>-Ensuring that trains can operate safely over the route</li> <li>-Availability and suitability of route</li> </ul> </li> <li>• Application of safe working system rules and procedures</li> <li>• Train control and signalling and telecommunications systems, including but not limited to:                             <ul style="list-style-type: none"> <li>-Maintaining safe train separation</li> <li>-System knowledge including routes and layouts</li> <li>-Train knowledge</li> <li>-Route occupancy knowledge</li> <li>-Hand over protocols to other control areas</li> </ul> </li> <li>• Communication between the train crew and the person controlling trains</li> <li>• Failure and emergency procedures</li> <li>• Indication of track speed limits.</li> </ul>	sch 1P(4)	3.21.1.3	6.7.2	
18.8	<b>Operational Communications</b>				
18.8.1	Has the organisation established communication protocols and systems to support communication as rail safety work is conducted?	sch 1P(4)	3.15.2	6.2 7.4.2	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.8.2	<p>Does the organisation have a process for ensuring effective communication of safety critical operational and emergency information between network control officers and other rail safety workers, including:</p> <ul style="list-style-type: none"> <li>• procedures to be adopted in the event of communication failure?</li> <li>• availability of reliable back-up systems (eg signal phone, WB radio, mobile phone) to enable completion of a train journey if the primary system fails?</li> <li>• any other crew members being able to access the train radio system if the driver becomes incapacitated?</li> <li>• train radio systems meeting the local standard (eg urban network, country network)?</li> <li>• all trains in service on the state network having serviceable train radio systems as the primary means of communication?</li> <li>• network control officers have direct landline communication when required with other network control officers?</li> <li>• monitoring and follow-up by the organisation's management to ensure a high level of reliability of the train radio and other communication systems?</li> <li>• monitoring and follow-up by the organisation's management to ensure use of the correct communication protocols?</li> <li>• network control officers, crews, possession protection officers and rail safety workers trained in the correct communication protocols?</li> <li>• network control officers, crews, possession protection officers and other relevant rail safety workers trained in use of equipment?</li> </ul>	sch 1P(4)	3.15.2 3.21.1	6.3.2, 7.4.2	
<b>18.9</b>	<b>Modification</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.9.1	<p>Has the organisation established and maintained standards and procedures for the modification of safety related systems which include as appropriate:</p> <ul style="list-style-type: none"> <li>• the effects of the proposed modification?</li> <li>• implementation and commissioning of all or part of the modified system?</li> <li>• the need to record and promulgate changes and modifications?</li> </ul>	sch 1P(4)	3.25	6.8	
<b>18.10.</b>	<b>Decommissioning and Disposal</b>				
18.10.1	<p>Has the organisation established and maintained standards and procedures for decommissioning safety related equipment and systems prior to disposal, taking into consideration, where appropriate, the need to:</p> <ul style="list-style-type: none"> <li>• maintain safe railway operations during decommissioning and disposal?</li> <li>• ensure that no ambiguity exists regarding the type of safeworking system in force at any one location or time?</li> <li>• ensure that decommissioned equipment is clearly identified as such?</li> <li>• prevent inappropriate re-use of decommissioned equipment prior to disposal?</li> <li>• eliminate as far as practicable any public hazard associated with decommissioned equipment, considering both short and long-term conditions?</li> </ul>	sch 1P(4)	3.25	6.9	
<b>18.11</b>	<b>System integration</b>				
18.11.1	Is the set of documented engineering and operational safety standards informed by the risk register?	s57(1)			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.11.2	Are safe work procedures documented in a manner that ensures those involved or exposed to a process are equipped to conduct the railway activity in a safe and healthy manner?	national SMS Guideline section 20	3.21		
18.11.3	Does the SMS include suitable and sufficient processes to ensure that details of the implementation and updating of the rail transport operator's documented set of engineering and operational systems safety standards are kept?  Is the process for keeping details of the implementation and updating of engineering and operational systems safety standards integrated within the SMS for document control arrangements and information management	Sch 1E			
18.11.4					
<b>18.12</b>	<b>Engineering Design</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The safety management system must include procedures for the control and verification of the design of structures, rolling stock, equipment, and systems, in accordance with the engineering standards and procedures, and operational systems safety standards.</p> <p>The safety management system must include systems, procedures and standards for the following in relation to rail infrastructure and rolling stock -</p> <ul style="list-style-type: none"> <li>• engineering design</li> <li>• construction and installation</li> <li>• implementation and commissioning</li> <li>• monitoring and maintenance</li> <li>• system operation</li> <li>• modification</li> <li>• decommissioning or disposal.</li> </ul>					
18.12.1	Does the SMS include processes to identify the structures, vehicles, equipment, and systems that require control and verification against engineering standards and procedures, and operational systems safety standards?	sch 1P			
18.12.2	Has the organisation established and maintained procedures for the control and verification of the design of structures, vehicles, equipment, and systems in accordance with the engineering standards and procedures, and operational systems safety standards?	sch 1P	3.23	6.3	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.12.3	<p>Do design control procedures include the following:</p> <ul style="list-style-type: none"> <li>• allocation of responsibility for each design or development activity to persons holding the appropriate competencies?</li> <li>• safety review at appropriate stages, particularly at the design input and design output stages -taking into account reliability and maintainability?</li> <li>• adequate design verification functions?</li> <li>• impact on operations and maintenance functions?</li> <li>• notification of any change to affected staff?</li> <li>• creation and control of appropriate documentation including design input data, design reviews and verification?</li> <li>• interface of human factors?</li> </ul>	Implicit sch 1O(e)	3.23	6.3	
18.12.4	Are deliverables such as specifications and drawings appropriately controlled (see Element 1 Section 7 Document and Data Control)?	sch 1E	3.23	6.3 2.7.1	
18.12.5	Do design and engineering procedures define the need to conform to regulatory requirements?	sch 1D	3.6	2.6	
18.12.6	Do the procedures provide for the retention of design calculations and any other relevant safety design process information (such as minutes of meetings, design reviews and verification methods) ?	sch 1E	3.23	2.7.1	
18.12.7	Are documented procedures established and maintained to control and verify the design and development of (externally) produced designs?		3.23	6.1	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.12.8	<p>Does the organisation have a planned process for considering human factors issues throughout the design process?</p> <p>Does the organisation have a list of human factors standards and guidelines to be used in the design process?</p> <p>For new design projects (rollingstock, network control, communication equipment, etc) what standards / guidelines are followed for alarm design?</p> <p>Do processes to control and verify the design of structures, vehicles, equipment and systems require the consideration and identification of risks to those who use, operate or maintain them after construction?</p>	sch 1N			
18.12.9	<p>Are there triggers in place to ensure existing systems are subject to appropriate assessment/analysis, in consultation with those who use and maintain them, in order to identify issues with the existing system and its interface?</p> <p>Are systems designed to minimise the risk of operator error during their construction or maintenance? How does the organisation do this?</p> <p>Are new systems designed considering elements of existing methods of operation, including taking into account how operator/user understanding may affect or be affected by the operation of the new design?</p> <p>Do functional specifications take into account human abilities and limitations? How are they developed and how are they reviewed?</p> <p>Has some form of risk or task analysis been undertaken to identify potential for error or failure?</p> <p>Has the organisation identified and established appropriate communication processes to ensure that there is clarity in the transfer of information?</p>	sch 1N			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
18.12.10	<p>Do safe work procedures include:</p> <ul style="list-style-type: none"> <li>• a description of the activity?</li> <li>• the person or position that has a supervisory responsibility for the activity or process?</li> <li>• a clear explanation in sequential order of the steps or stages comprising the procedure or process?</li> <li>• potential hazards?</li> <li>• safety controls to minimise potential risk from any identified hazards?</li> <li>• recovery actions should the risks associated with the hazards be realised?</li> <li>• health and safety precautions to be followed in the course of carrying out railway activities?</li> <li>• mechanisms for reviewing procedures?</li> <li>• document control information?</li> </ul>				
<b>19 Process Control</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>The SMS must include:</p> <ul style="list-style-type: none"> <li>• procedures for the rail transport operator to monitor its compliance with the standards and procedures specified [by engineering and operational systems safety requirements] including procedures for the inspection and testing of safety related engineering and operational systems</li> <li>• procedures for the control, calibration and maintenance of all equipment used to inspect or test rail infrastructure or rolling stock</li> <li>• arrangements for the establishment and maintenance of inspection and test records to provide evidence of the condition of rail infrastructure or rolling stock.</li> </ul>				
19.0.1	<p>Has the organisation established a testing and inspection plan? Does the testing and inspection plan meet internal requirements for testing and inspection as well as those required by legislation, authorities or bodies external to the organisation, such as government agencies, industry associations and/or industry codes?</p>	Implicit in sch 1Q	3.24	6.6.2 2.6	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
19.0.2	<p>Has the organisation established and maintained standards and procedures for the monitoring and maintenance of safety-related systems and equipment, including the following:</p> <ul style="list-style-type: none"> <li>• inspection and testing?</li> <li>• assessment of serviceability?</li> <li>• preventive or corrective action, including maintenance practices/procedures, adjustment of equipment, repair/replacement of faulty equipment?</li> <li>• monitoring and maintaining engineering equipment and systems used in maintenance, including adjusting/calibration, testing and fault rectification?</li> </ul>	sch 1Q	3.24 3.22	6.6.2	
19.0.3	<p>Does the organisation have procedures/systems in place for the following:</p> <ul style="list-style-type: none"> <li>• inspection and testing of safety-related engineering and operational systems?</li> <li>• ensuring all equipment used for inspecting and testing is calibrated and maintained, used correctly with known measurement uncertainty and is consistent with the required measurement capability?</li> <li>• ensuring special provisions are in place for in-service monitoring when the safety of part of an engineering or operational system cannot be verified prior to its commissioning or its entry into service, ie safety issues become apparent only after the activity has started or the item has been placed into service? The requirements for such monitoring must be documented.</li> </ul>	sch 1Q	3.24	6.2 6.5.3	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
19.0.4	<p>Does the organisation have procedures/systems in place for ensuring the frequency of inspection and testing of each item of the safety-related engineering and operational system take the following into account (response to defined events and incidents must be additional to scheduled inspections):</p> <ul style="list-style-type: none"> <li>• traffic volume, operational speed and load limits?</li> <li>• known or estimated rate of deterioration of critical elements, for example:               <ul style="list-style-type: none"> <li>- consequences of failure of any part of the system?</li> <li>- adverse environmental factors;</li> <li>- incident or accident experience?</li> <li>- recommendations of the manufacturer? and</li> <li>- statistical records of safety performance (eg failures per distance travelled)?</li> </ul> </li> </ul>		3.24	6.2 (most criteria)	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
19.0.5	<p>Does the organisation have procedures/systems in place for the following:</p> <ul style="list-style-type: none"> <li>• establishment and maintenance of inspection and testing records that provide evidence of the condition of all elements critical to railway safety? Inspection and testing records are to be classified as safety records and managed in accordance with processes for information management required by section 3.7 Document Control and Information Management.</li> <li>• standards and procedures for assessing the condition of all safety-related engineering and operational systems as required by section 3.20 above?</li> <li>• assigning testing and inspection responsibilities to suitably skilled and qualified personnel. Responsibilities to be assigned must include the development of testing and inspection procedures, conduct of tests and inspections, conformance verification, identifying non-conformance and/or tasks associated with rectifying non-conformance.</li> <li>• appropriate training in inspection and testing procedures where required?</li> </ul>		3.24	4.2 6.2	

### National Audit Tool

	Question	NML	NAP	4292 06	Comments
19.0.6	<p>How does the organisation validate opinions or advice received from independent consultants?</p> <p>Do inspection and test plans require the organisation to involve end users early in the process to ensure that, as far as is reasonably practicable, factors that may affect the safe operation of the system or its maintenance, are identified and eliminated?</p> <p>Do test plans consider the potential for error?</p> <p>How does the organisation effectively contain or manage this risk?</p> <p>How does the organisation manage the validation of repair or rectification work?</p>	sch 1N			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
19.0.7	<p>Has the rail operator established and maintained standards and procedures for monitoring its compliance against documented procedures to ensure the safe carrying out of railway operations, including those procedures for the inspection and testing of safety related engineering and operational systems? eg - Random audits or inspections, formal inspections, formal audits, systems and procedures including methods for internal control?</p> <p>Are these standards and procedures applied to:</p> <ul style="list-style-type: none"> <li>• risk management activities including hazard identification and reporting, risk assessment and risk control (see also Section ? Risk Management)?</li> <li>• activities where procedures are applied to control an identified hazard?</li> <li>• emergency procedures?</li> <li>• managing change, especially those changes impacting upon operational practices?</li> <li>• safe working procedures?</li> <li>• operational procedures?</li> <li>• rolling stock management procedures?</li> <li>• traffic management procedures?</li> <li>• infrastructure integrity procedures?</li> <li>• corrective actions?</li> <li>• maintenance?</li> <li>• installation?</li> <li>• service delivery?</li> <li>• production?</li> </ul>				
<b>20 Safety Interface Coordination</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
The SMS must include procedures for the identification of interface risks to the safety of railway operations and for the development and implementation of interface agreements in accordance with the Act and Regs					
20.0.1	Has the organisation established, implemented and maintained a documented process for identification and management of safety issues at its interfaces with the infrastructure or activities of other rail transport operators? NB: one of the rail transport operators must be a rail infrastructure manager.	NML s61		section 7	
20.0.2	Has the organisation determined risk control measures for identified interface risks and established, or sought to establish, interface agreements with other rail transport operator/s in relation to those risks?	NML s61		section 7	
20.0.3	If the organisation is a rail infrastructure manager: Has the organisation identified and assessed risks arising from interfaces with roads (ie road/rail crossings)? Has the organisation determined risk control measures for risks arising from interfaces and established, and/or sought to establish, interface coordination plans in relation to: • all interfaces with public roads • those interfaces with other roads where an interface agreement is considered necessary	NML s61A s61B, s61C			
20.0.4	Has the organisation established, implemented and maintained a documented process for identification and management of safety issues at its interfaces between functional areas of its own operations, or with other external parties?	NML s28, s57		section 7	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
20.0.5	<p>Does the rail operator have a documented process for conducting risk assessments for identifying which particular interface matters need to be managed via an interface agreement?</p> <p>Do the risk assessments establish which controls are the responsibility of each party at the interface?</p>	<p>NML s57 NML s61A s61B s61C</p>		section 7	
20.0.6	<p>Does the interface identification process include interfaces between two or more railway organisations as follows:</p> <ul style="list-style-type: none"> <li>• track and civil infrastructure?</li> <li>• electrical infrastructure?</li> <li>• rolling stock?</li> <li>• signalling and telecommunication systems and equipment?</li> <li>• traffic and train management?</li> <li>• property access control and protection?</li> <li>• railway to railway management?</li> <li>• other developments above or below the railway?</li> <li>• interface between two track systems?</li> <li>• safeworking systems?</li> </ul> <p>Does the interface identification process include interfaces between railway organisations and other organizations or infrastructure including:</p> <ul style="list-style-type: none"> <li>• grade separations?</li> <li>• at-grade crossings?</li> <li>• joint and alternative use facilities?</li> <li>• utilities?</li> <li>• terminals, yards and stations?</li> </ul>	<p>NML s61</p>		section 7	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
20.0.7	<p>Does each interface agreement:</p> <ul style="list-style-type: none"> <li>• clearly describe the respective roles and responsibilities of each party to the agree in relation to each control measure?</li> <li>• determine functional areas in the railway organisation/s and where applicable, the functional area within the organisation of other party/ies?</li> <li>• define the point at which, or limits within which, each interface between parties occurs?</li> <li>• identify the safety risks to be managed and matters to be considered and resolved across each interface?</li> <li>• determine which party agrees to accept responsibility for each matter to be resolved?</li> <li>• determine under which asset's life cycle phase each matter is to be considered, and where relevant the life cycle phases of the interface itself?</li> <li>• determine what information needs to be exchanged by organisations to allow adequate monitoring of the safe operation of the interface, or provided to other persons for the safe management of the interface?</li> <li>• include procedures by which each party will monitor and determine whether the other party complies with its obligations under the agreement?</li> <li>• include processes for assessing and monitoring the compatibility</li> <li>• include triggers for and frequency of review of the interface agreement, and if necessary revision of the agreement?</li> <li>• include procedures for access by other parties?</li> </ul>	NM Reg 11	3.26	7.3	
20.0.8	Does the organisation maintain a register of current interface agreements, or interface arrangements imposed on the interface by the regulator (if any)?	NML s61G			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
20.0.9	Has the organisation prepared, implemented and maintained the necessary documentation required to ensure that the interface with the other party is managed safely?	NM Reg 11		7.4.1	
20.0.10	Does the interface documentation address the following matters relating to rolling stock (locomotives, passenger cars, freight, light rail and other vehicles): <ul style="list-style-type: none"> <li>• vehicle and load dimensions including clearances?</li> <li>• roadworthiness of vehicle?</li> <li>• permissible speed limit of vehicles?</li> <li>• size, shape, gauge and gauge tolerance of wheels?</li> <li>• limits on wheel flange thickness, shape and wheel defects?</li> <li>• coupling types, height and maintenance limits?</li> <li>• braking system, including train performance parameters?</li> <li>• vehicle equipment?</li> <li>• vehicle maintenance standards and procedures?</li> <li>• vehicle recognition including bogie types?</li> <li>• electrical resistance tolerances between wheel to rail contact faces on the same axle?</li> <li>• electrical compatibility between traction systems, and signalling and communication systems?</li> <li>• effectiveness of vigilance controls and other train operating intervention devices?</li> </ul>	NM Reg 11	3.26	7.4.2 (a)	
20.0.11	Does the interface documentation address the following matters relating to track and civil infrastructure: <ul style="list-style-type: none"> <li>• structure clearances?</li> <li>• track gauge and tolerance?</li> <li>• capacity of track and civil infrastructure?</li> <li>• track and crossing work geometry?</li> </ul>	NM Reg 11	3.26	7.4.2(b)	

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	Question	NML	NAP	4292 06	Comments
20.0.12	<p>Does the interface documentation address the following matters relating to electric traction infrastructure:</p> <ul style="list-style-type: none"> <li>• fault protection?</li> <li>• electric supply parameters?</li> <li>• electrical clearances and approach distances?</li> <li>• spatial location of conductors?</li> <li>• safety switching and isolation procedures?</li> <li>• earthing potential and bonding?</li> </ul>	NM Reg 11	3.26	7.4.2(c)	
20.0.13	<p>Does the interface documentation address the following matters relating to train control:</p> <ul style="list-style-type: none"> <li>• train control?</li> <li>• safe working?</li> <li>• signalling and telecommunications systems?</li> <li>• effective two-way communication and communication protocols between the train crew and the worker controlling trains?</li> </ul>	NM Reg 11	3.26	7.4.2(d)	
20.0.14	<p>Does the interface documentation address the following matters relating to operations:</p> <ul style="list-style-type: none"> <li>• availability and suitability of route?</li> <li>• train performance?</li> <li>• indication of track speed limits?</li> <li>• axle loads?</li> <li>• securing of loads?</li> <li>• emergency procedures?</li> <li>• worker competence?</li> <li>• fatigue?</li> <li>• drug and alcohol control?</li> <li>• medical fitness?</li> </ul>	NM Reg 11	3.26	7.4.2(e)	
20.0.15	<p>Are copies of all interface agreements readily available within the SMS for inspection by any person affected by the plan?</p> <p>Are contractors aware of and do they comply with relevant interface agreements when conducting railway operations?</p>	Sch 1L Sch 1O			

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
20.0.16	<p>Have interface agreements been reviewed at appropriate times in accordance with the processes and procedures contained in the agreement including:</p> <ul style="list-style-type: none"> <li>• after occurrence of a major incident?</li> <li>• at intervals or in response to triggers contained in the agreement?</li> </ul> <p>Are appropriate records created and retained of reviews of the agreements?</p>	NM Reg 11(e)			
<b>21 Management of Notifiable Occurrences</b>					
<b>21.1</b>	<b>Notification and information gathering</b>				
<p>The SMS must include systems and procedures for the reporting of notifiable occurrences in accordance with the regulations.</p>					
21.1.1	Does the organisation have a process for notifying incidents which meets the relevant legislative requirements?	NM Reg Schedule 1T and Reg 27	3.6.3	8.1.1	
21.1.2	Does the organisation have a comprehensive process for recording and reporting internally all incidents with actual or potential safety implications?	Schedule 1L(c)	3.15.3	8.1.2	
21.1.3	<p>As part of safety data gathering, does the organisation analyse human error?</p> <p>Is the organisation's reporting system capturing errors/violations that didn't have any consequences?</p>	sch 1N			
<b>21.2</b>	<b>Preservation of evidence</b>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
The SMS must include procedures for the management of the scene of a notifiable occurrence and for the preservation of evidence where reasonably practicable.					
21.2.1	Does the organisation have procedures for the management of the scene of a notifiable occurrence and for the preservation of evidence where reasonably practicable?	NM Reg Schedule 1T	3.28	8.1.3	
21.2.2	Does the SMS include measures for the protection of evidence, including: - establishment of who is to be responsible in the first instance for the preservation of evidence? - appointment of a site manager with authority to preserve evidence? - provision of appropriate and timely instructions to the site manager as to what evidence is to be collected, how it is to be collected and the steps to be taken to secure the site? - ongoing procedures and requirements for the collection and preservation of evidence, and the security of the site and any other sites where evidence may be stored? - establishment of process to facilitate consultation between site manager and the investigator as soon as practicable after the latter has been appointed, to ensure site security and evidence preservation?	NM Reg Schedule 1T			
<b>21.3</b>	<b>Investigation of notifiable occurrences</b>				
The SMS must include procedures for the management of all notifiable occurrences, including procedures to enable the determination of which notifiable occurrences are to be investigated, and how investigations are to be conducted.					
21.3.1	Does the organisation have procedures for determining which notifiable occurrences are to be investigated?	NM Reg Schedule 1T		8.1.3	

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	Question	NML	NAP	4292 06	Comments
21.3.2	Has the organisation clearly identified the scope of the incident investigation process, including clear definition of the actual and potential consequences which should be investigated?	via reference to AS4292.7 & CoP	3.28	8.1.3	
21.3.3	Does the organisation's process for incident investigation address: <ul style="list-style-type: none"> <li>• methods for determining the appropriate level and independence of an investigation?</li> <li>• methods for ensuring investigators have the competencies relevant to their role in the investigation?</li> <li>• methods for ensuring investigators have access to technical expertise relevant to the particular incident?</li> </ul>	via reference to AS4292.7 & CoP	3.28	8.1.3	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
21.3.4	<p>Does the investigation system include methods to ensure adequate analysis of the occurrence and review of risk assessments and risk control measures relevant to the occurrence?</p> <p>Does the investigation system require the following for incidents (including near-misses):</p> <ul style="list-style-type: none"> <li>• an evaluation of actual and potential severity and probable frequency of recurrence?</li> <li>• identification and analysis of organisational factors?</li> <li>• identification and analysis of task/environmental conditions?</li> <li>• identification and analysis of individual/team actions? This should include slips, lapses, mistakes and violations.</li> <li>• identification and analysis of absent or failed defences?</li> <li>• identification if the event is covered by the organisation's hazard (risk) register</li> <li>• full recording of the above factors?</li> <li>• approval of investigation conclusions by appropriate personnel?</li> <li>• sending a copy of the investigation report to the regulator where required?</li> <li>• identification of remedial and preventive actions for all identified hazards?</li> <li>• a description of what occurred before, during and after the event?</li> <li>• timely and appropriate reporting internally and externally?</li> </ul>	Schedule 1N - Human Factors	3.28	8.1.3	

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	Question	NML	NAP	4292 06	Comments
21.3.5	Does the organisation's process for incident investigation have: <ul style="list-style-type: none"> <li>• an appropriate review process for investigation reports, including documentation of reasons for acceptance or rejection of findings and actions?</li> <li>• a tracking system for the timely implementation of recommended actions?</li> <li>• specified triggers for change management process or consultation process when acting on recommendations?</li> </ul>	Schedule 11 Corrective Action and J (MoC)	3.28	8.1.3	
<b>22</b>	<b>Emergency Management Plans (EMP)</b>				
<p>A rail transport operator must have an emergency management plan for railway operations carried out by or on behalf of the operator on or in relation to the operator's railway operations that complies with the legislation.</p>					
22.0.1	Does the operator have an emergency management plan?	s63(1)	3.27	8.2	
22.0.2	Is the emergency management plan included among the risk control measures within its documented risk management documentation (eg risk register)?	Sch 1M (2); s57(1)(a) SMS Guideline 2.1			
<b>22.1 Preparation of the EMP</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>The SMS must include an emergency management plan that is prepared in conjunction with "emergency services".                      The emergency management plan must be provided to the "emergency services".                      When preparing an emergency management plan the rail transport operator must consult with:</p> <ul style="list-style-type: none"> <li>• any government agencies with emergency management functions with respect to the area to which the plan relates</li> <li>• any other transport operators who may be affected by the implementation of the plan</li> <li>• any of the following that may be required to assist in the implementation of the plan                             <ul style="list-style-type: none"> <li>- an entity (whether privately or publicly owned) that provides, or intends to provide, water sewerage, drainage, gas, electricity, telephone, telecommunications or other like services under the authority of an Act of this jurisdiction or the Commonwealth;</li> <li>- any person who, under the authority of an Act of this jurisdiction, is permitted to own or use a pipeline, or is licensed to construct or operate a pipeline;</li> <li>- any provider of public transport</li> </ul> </li> </ul> <p><i>[local variations]</i>                      The rail safety regulator may exempt a rail transport operator from the requirement to consult with any particular person or body under this regulation.</p>				
22.1.1	Has a person/position been nominated and identified as responsible for ensuring the implementation and review of the plans?	SMS Guideline section 7	3.27	8.2	
22.1.2	Has the organisation consulted with the following when they may need to assist in the implementation of, or be affected by, the plan: <ul style="list-style-type: none"> <li>• 'emergency services'?</li> <li>• other rail transport operators?</li> <li>• utilities providers?</li> <li>• providers of public transport?</li> </ul>	NM Reg 16			

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	Question	NML	NAP	4292 06	Comments
22.1.3	<p>Has the organisation consulted with persons who work on or at the railway premises or with the rolling stock of the organisation and who are likely to be affected by the plan including:</p> <ul style="list-style-type: none"> <li>• health and safety representatives?</li> <li>• unions representing these people?</li> <li>• the public where they may be affected by the implementation of the plan?</li> </ul>	NML s57(2)			
<b>22.2 Content of the EMP</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>An emergency management plan must address-</p> <ul style="list-style-type: none"> <li>• the types of foreseeable emergencies;</li> <li>• the consequences of each type or class of those emergencies, including estimates of the likely magnitude and severity of the effects of each type or class;</li> <li>• the risks to safety arising from those emergencies;</li> <li>• methods to mitigate the effects of those emergencies;</li> <li>• initial response procedures for dealing with those emergencies and the provision of rescue services;</li> <li>• recovery procedures for the restoration of railway operations and for the assistance of people affected by the occurrence of those emergencies;</li> <li>• the allocation of emergency management roles and responsibilities within the rail transport operator's organisation, and between the operator and other organisations;</li> <li>• call-out procedures;</li> <li>• the allocation of personnel for the on-site management of those emergencies;</li> <li>• procedures for the liaison with relevant 'emergency services' [ local variations], including information about the circumstances in which the 'emergency services' are to be immediately contacted;</li> <li>• procedures to ensure that 'emergency services' are provided with all the information that is reasonably required to enable them to respond effectively to an emergency;</li> <li>• procedures for effective communications and co-operation throughout the emergency response;</li> <li>• procedures for ensuring site security and the preservation of evidence.</li> </ul>				

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>In preparing an emergency management plan, the operator must, if it is reasonably practicable to do so, determine intervals for the testing of the plan or elements of the plan in conjunction with 'emergency services' [local variations].</p>					
22.2.1	<p>Does the plan address</p> <ul style="list-style-type: none"> <li>• types of foreseeable emergencies to which the plan applies?</li> <li>• consequences of each type or class of those emergencies, including estimates of the likely magnitude and severity of the effects of each type or class?</li> <li>• risks to safety arising from those emergencies?</li> <li>• methods to mitigate the effects of those emergencies?</li> </ul>	NM Reg 17			
22.2.2	Does the plan have procedures for dealing with emergencies and response to emergency situations, both in situations dealt with by the operator and situations co-ordinated by other bodies?	NML s63	3.27	8.2	
22.2.3	<p>Do emergency management plans include:</p> <ul style="list-style-type: none"> <li>• initial response procedures and call out procedures?</li> <li>• the provision of rescue services where applicable?</li> </ul>	NM Reg 17	3.27	8.2	
22.2.4	Do plans include recovery procedures for the restoration of railway operations and for the assistance of people affected by the occurrence of those emergencies?	NM Reg 17			
22.2.5	Do emergency/evacuation procedures take into account characteristics of human and crowd behaviour?	sch 1N			
22.2.6	Have emergency response roles and responsibilities within and between organisations been defined?	NM Reg 17	3.27	8.2	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
22.2.7	Do emergency response plans include on site management of the occurrence? Is it clear which organisation is in command and control?	NM Reg 17	3.27	8.2	
22.2.8	Do emergency response plans include the role of emergency services?	NM Reg 17	3.27	8.2	
22.2.9	Do plans include: • procedures for liaison with relevant 'emergency services' [ local variations], including information about the circumstances in which the 'emergency services' are to be immediately contacted? • procedures to ensure that 'emergency services' are provided with all the information that is reasonably required to enable them to respond effectively to an emergency?	NM Reg 17	3.27	9.2	
22.2.10	Have communication arrangements been established for the range of occurrences that the rail transport operator may be required to respond to? Are they tested during desktop and field exercises?	NM Reg 17	3.27	8.2	
22.2.11	Do emergency response plans include when investigations can begin and how evidence will be preserved?	NM Reg 17	3.27	8.2	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
22.2.12	<p>Does the emergency response plan include measures for the protection of evidence, including:</p> <ul style="list-style-type: none"> <li>• establishment of who is to be responsible in the first instance for the preservation of evidence?</li> <li>• appointment of a site manager with authority to preserve evidence?</li> <li>• provision of appropriate and timely instructions to site manager as to what evidence is to be collected, how it is to be collected and the steps to be taken to secure the site?</li> <li>• ongoing procedures and requirements for the collection and preservation of evidence, and the security of the site and any other sites where evidence may be stored?</li> <li>• establishment of process to facilitate consultation between site manager and the investigator as soon as practicable after the latter has been appointed, to ensure site security and evidence preservation?</li> </ul>	NM Reg 17	3.27	8.3	
<b>22.3 Implementation and testing of the EMP</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>A rail transport operator must ensure, so far as is reasonably practicable, that all employees of the operator, and all contractors engaged by the operator, who may be required to implement any emergency response procedures in the emergency management plan -</p> <ul style="list-style-type: none"> <li>• are provided with information about the relevant elements of the plan; and</li> <li>• are able to do anything that may be required of them under the plan.</li> </ul> <p>A rail transport operator must ensure that the emergency management plan is comprehensible, and is readily accessible at all times, to:</p> <ul style="list-style-type: none"> <li>• all employees of the operator, and all contractors engaged by the operator, who may be required to implement any emergency response procedures in the plan; and</li> <li>• all other rail transport operators who may be affected by the plan; and</li> <li>• any of the following who may be required to assist in the implementation of the plan               <ul style="list-style-type: none"> <li>- an entity (whether privately or publicly owned) that provides, or intends to provide, water sewerage, drainage, gas, electricity, telephone, telecommunications or other like services under the authority of an Act of this jurisdiction or the Commonwealth;</li> <li>- any person who, under the authority of an Act of this jurisdiction, is permitted to own or use a pipeline, or is licensed to construct or operate a pipeline;</li> <li>- any provider of public transport</li> </ul> </li> </ul> <p>[local variations]</p> <ul style="list-style-type: none"> <li>• 'emergency services' [local variation]</li> </ul>				
22.3.1	<p>Are all employees of the operator, and all contractors engaged by the operator, who may be required to implement any emergency response procedures in the emergency management plan -</p> <ul style="list-style-type: none"> <li>• provided with information about the relevant elements of the plan?</li> <li>• able to do anything that may be required of them under the plan?</li> </ul>	NM Reg 18	3.15		
22.3.2	<p>Is the emergency management plan comprehensible and readily available to all those who may need to assist in the implementation of the plan, or who may be affected by the plan?</p>	NM Reg 18	3.15		

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The operator must test the emergency management plan, or elements of the plan, to ensure that the plan remains effective -</p> <ul style="list-style-type: none"> <li>• at the intervals set out in the plan; and</li> <li>• after any significant changes are made to the plan.</li> </ul> <p>When testing the emergency management plan, or elements of the plan, the operator must, so far as is reasonably practicable, arrange for participation in the testing by the relevant 'emergency services'.</p>					
<p>The operator must ensure that in-house exercises to test the emergency management plan are undertaken as often as necessary, in the opinion of the operator, to ensure that the plan will be properly implemented should an emergency arise.</p>					
22.3.3	Has the operator identified intervals at which in house, or full scale testing of the plan, or elements of the plan, should be undertaken?	NM Reg 18			
22.3.4	Has the emergency response plan been tested recently? Did it involve relevant emergency services? Have full scale exercises as well as desk top simulations been performed?	NM Reg 18	3.27	8.2	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
22.3.5	Have significant changes been made to the emergency management plan recently? Has the changed plan been tested?	NM Reg 18			
22.3.6	How is the effectiveness of commands and procedures during evacuations tested?	sch 1N			
<p>The emergency management plan must include provision for the revision of security measures and procedures if necessary.</p>					
22.3.7	Is the emergency management plan reviewed and revised at the appropriate times? For example at intervals set out in the plan, following activation or testing of the plan?	NMReg 15(g)			
<b>23 Security Management</b>					
<p>The SMS must include a security management plan for rail way operations carried out by or for or on behalf of the operator on or in relation to the operator's rail infrastructure or rolling stock, that -</p> <ul style="list-style-type: none"> <li>• incorporates measures to protect people from theft, assault, sabotage, terrorism and other criminal acts of other parties and from other harm; and</li> <li>• complies with this Act and the Regulations</li> </ul>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>A security management plan must include:</p> <ul style="list-style-type: none"> <li>• a list of the risks arising from security matters;</li> <li>• a description of the preventative and response measures to be used to manage those risks, including a description of the policies, procedures and equipment and other physical resources that it is proposed to use for those measures, and of the training that it is proposed to provide; and</li> <li>• if the rail transport operator shares a location such as a modal interchange or a port with one or more other transport operators, a description of the arrangements made with those other transport operators in relation to that location to prevent or respond to security incidents; and</li> <li>• procedures for the recording, reporting and analysis of security incidents; and</li> <li>• the allocation of security roles and responsibilities to appropriate people; and</li> <li>• provision for liaison, the sharing of information and for joint operations, with emergency services [local variation], and with other transport operators who may be affected by the implementation of the plan; and</li> <li>• provision for the evaluation, testing and if necessary, the revision, of security measures and procedures.</li> </ul>					
<p>A rail transport operator must ensure</p> <ul style="list-style-type: none"> <li>• that the security management plan is implemented;</li> <li>• that the appropriate response measures of the security management plan are implemented without delay if a security incident occurs.</li> </ul>					
23.0.1	Does the operator have a security policy?	NM Reg 15	3.12	n/a	
23.0.4	Does the policy detail the provisions for consultation by the organisation in developing, implementing and evaluating measures relating to security (eg business divisions, staff, unions etc)?	NML s57(2)	3.1.1 3.12 3.13 3.14	n/a	
23.0.5	Does the organisation have a security management plan?	NML s62	3.12	2.13	
23.0.6	Does the security management plan detail the allocation of responsibilities for security to appropriate persons?	NM reg 15	3.12		

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	Question	NML	NAP	4292 06	Comments
23.0.7	Has an assessment of the security risks affecting passengers, staff, rolling stock and associated infrastructure using the risk management methodology AS/NZ 4360:2004, (Risk Management) or equivalent been made?	NML s57 (1) NM Reg 15	3.12	2.13 3.1	
23.0.8	If the organisation has an assessment of security risks, when was it last reviewed?	NML s28, s57(1)	3.16(h) 3.12	via AS4360 Section 3.7 Monitor and Review	
23.0.9	Does the security management plan detail the measures that are to be used to eliminate or reduce identified security risks, including: <ul style="list-style-type: none"> <li>• training?</li> <li>• policies?</li> <li>• procedures and practices?</li> <li>• equipment?</li> <li>• facilities?</li> <li>• physical resources?</li> </ul>	NM Reg 15	3.12 3.16.4	3.2	
23.0.10	Does the security management plan have procedures for the recording, reporting and analysis of security incidents?	NML s15	3.12	n/a	
23.0.11	Does the security management plan include provision for liaison, the sharing of information and for joint operations, with emergency services [local variation] and with other transport operators who may be affected by the implementation of the plan?	NML s15	3.12	n/a	

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	Question	NML	NAP	4292 06	Comments
23.0.12	Does the security management plan have procedures for dealing with emergencies and response to emergency situations, both in situations dealt with by the operator and situations co-ordinated by other bodies?	NML s62	3.12	n/a	
23.0.13	Does the operator share locations with other transport operators (such as bus/rail interchanges)? If yes: Does the security management plan provide for arrangements with other organisations in relation to these locations?	NM Reg 15	3.12	n/a	
23.0.14	Does the security management plan provide for evaluation and testing of the security plan and procedures ?	NM Reg 15	3.12	n/a	
23.0.15	(For Freight operators) Does the railway operator have procedures to ensure compliance with the Australian Dangerous Goods Code (ADG Code)?	NM Reg schedule 1D	ADGC		
23.0.16	Has the railway operator identified risks associated with trespass into the railway corridor or premises?	NML s57(1)	3.12	n/a	
23.0.17	For identified risks of trespass has the railway operator established controls so far as reasonably practicable ?	NML s57(1)	3.12	n/a	
<b>24 Rail safety worker competence</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
	<p>The SMS must include procedures and where necessary, standards to ensure compliance with rail safety worker competence requirements.                      A rail transport operator must ensure that each rail safety worker who is to carry out rail safety work in connection with railway operations for which the rail transport operator is required to be accredited has the competence to carry out that work.                      The competence of a rail safety worker to carry out rail safety work must be assessed by reference to -</p> <ul style="list-style-type: none"> <li>• any qualification and any units of competence recognised under the Australian Quality Training Framework...; or if no AQTF qualification or units of competence apply, the prescribed provisions applicable to the rail safety work to be carried out; and</li> <li>• the knowledge and skills of the rail safety worker that are needed to enable the worker to carry out the rail safety work safely.</li> </ul>				
24.0.1	Has the organisation established and implemented procedures for the development, maintenance and monitoring of rail safety worker competence?	NML s68(1)	3.18	4.2	

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	Question	NML	NAP	4292 06	Comments
24.0.2	<p>Does the competence management process include procedures which ensure that the following are determined with reference to Australian Quality Training Framework qualifications or units of competence where available:</p> <ul style="list-style-type: none"> <li>• worker competence?</li> <li>• qualification requirements?</li> <li>• associated recognised training?</li> </ul>	NML s68(2)	3.18	4.2(c)	
24.0.3	<p>Does the organisation have adequate systems in place to ensure that:</p> <ul style="list-style-type: none"> <li>• the quality of training and assessment provided by internal and external training and assessment providers is appropriate for the competency being certified?</li> <li>• effective internal procedures exist for identifying and rectifying identified deficiencies in any individual's competence or systems relating to competence?</li> </ul>		3.18		
24.0.4	<p>Does the competence management process include procedures which ensure that:</p> <ul style="list-style-type: none"> <li>• the period for requalification is specified?</li> <li>• rail safety workers performing specified safety related work have the recognised qualifications to do so?</li> <li>• accredited training is provided for workers involved in the delivery of training and assessment of competence in safety-related work?</li> <li>• workers have appropriate verbal and written language skills and the necessary literacy to carry out railway safety work?</li> <li>• there is a clear link between the organisation's risk controls and the determination of the competencies required by workers?</li> </ul>	NML s68(1)	3.18 3.18 3.18 n/a 3.16.6	4.2(a) 4.2(a) 4.2(b) 4.2(d) n/a	

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	Question	NML	NAP	4292 06	Comments
24.0.5	<p>Does the selection process establish either that the chosen candidate is competent to fill the described position or that a development package is in place to ensure that they attain the required level of competence prior to undertaking the work?</p> <p>Note: this requirement should apply to external and internal recruitment processes, staff development, and job rotation or transfer.</p>	s68(1)	n/a	n/a	
24.0.6	<p>What processes have been used to identify elements of worker competence?</p> <p>Have activities been assessed for their physical and cognitive demands, and has this been considered in the design of a task or job?</p> <p>Does the organisation use a risk based Training Needs Analysis (TNA) for its rail-safety workers? Does this cover non-technical skills?</p> <p>Does the organisation provide training to its workers in human error models, error management, risk assessment and management, or rail resource type programs?</p> <p>What training does the organisation have in place that specifically addresses human error? How did the organisation go about developing that training?</p>	sch 1N			
24.0.7	<p>Is there provision within the competence management system for induction, and ongoing, training with regard to rail safety, including information, instruction and training on new work practices, procedures, policies and standards, specific hazards and relevant control measures?</p>	s68(1)			
<b>24.1 Records of competence</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>A rail transport operator must maintain records of competence of rail safety workers who carry out rail safety work in relation to the rail transport operator's rail infrastructure or rolling stock that include details of the rail safety training undertaken by each rail safety worker, including, if applicable:</p> <ul style="list-style-type: none"><li>• the units of competence undertaken to achieve the qualification; and</li><li>• the level of qualification attained; and</li><li>• if and when re-assessment of competence is to be conducted; and</li><li>• if and when retraining is due; and</li><li>• the date any retraining was undertaken; and</li><li>• the name of the organisation conducting the training or retraining; and</li><li>• the name and qualification of the person who assessed the competence of the rail safety worker.</li></ul>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
24.1.1	<p>Does the organisation have records of competence of rail safety workers that include details of the rail safety training undertaken by each rail safety worker, including, if applicable:</p> <ul style="list-style-type: none"> <li>• the units of competence undertaken to achieve the qualification?</li> <li>• the level of qualification attained?</li> <li>• if and when re-assessment of competence is to be conducted?</li> <li>• if and when retraining is due?</li> <li>• the date any retraining was undertaken?</li> <li>• the name of the organisation conducting the training or retraining?</li> <li>• the name and qualification of the person who assessed the competence of the rail safety worker?</li> </ul>	NML s68(5) NM Reg 25			
<b>24.2 Rail Safety Worker Identification</b>					
A rail transport operator must ensure that each rail safety worker who is to carry out rail safety work in relation to the rail transport operator's railway operations has a form of identification that is sufficient to enable the type of competence and training of the rail safety worker for that rail safety work to be checked by a rail safety officer.					
24.2.1	<p>Does the organisation have systems in place to ensure that:</p> <ul style="list-style-type: none"> <li>• all employees and contractors undertaking railway safety work are able to produce identification to an authorised officer when requested?</li> <li>• the identification held by rail safety workers is sufficient enable the type of competence and training of the rail safety worker to be checked by a rail safety officer ?</li> <li>• no employee or contractor undertakes railway safety work on behalf of the organisation without having the appropriate competencies and identification?</li> </ul>	NML s69	3.18		
<b>25 Fatigue management</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The SMS must include systems and procedures for the preparation and implementation of a program for the management of fatigue of rail safety workers who carry out railway operations in relation to the rail transport operator's infrastructure or rolling stock.</p>					
25.0.1	Is there a fatigue management program in accordance with local prescribed requirements?	s67		2.5 4.5	
25.0.2	Is there a fatigue management policy that defines responsibilities?	Fatigue Guidelines 2.2.1, 2.2.2	3.1.1	2.5 4.5	
25.0.3	Is there evidence of fatigue-related risk assessments for relevant categories of rail safety worker?	Fatigue Guidelines 1.3, 2.2.1, 2.2.5		2.5 4.5	

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	Question	NML	NAP	4292 06	Comments
25.0.4	<p>Is there evidence that the risk assessment processes consider applicable hazards eg:</p> <ul style="list-style-type: none"> <li>• work and rest scheduling including ‘time-of-day’ and ‘time awake’ effects on performance &amp; sleep?</li> <li>• impact of task, ‘time-on-task’ and workload on fatigue, including abnormal and degraded situations?</li> <li>• potential for human error associated with tasks and the consequences of error?</li> <li>• work environments and sleeping environments away from home?</li> <li>• fatigue hazards of individual rail safety workers such as fatigue management competence, domestic and social factors, health status, commuting and secondary employment?</li> <li>• fatigue hazards related to casuals/part-timers (labour hire/volunteers) eg concurrent employment?</li> <li>• hazards identified in occurrence data, investigations, reports, consultations and guidance?</li> <li>• fatigue that may arise from secondary or self employment?</li> </ul>	<p>Fatigue Guidelines 1.3, 2.2.4, 2.2.5</p>		<p>2.5 4.5</p>	
25.0.5	<p>Are identified controls (limits and principles) for working hours of particular types of rail safety worker risk-based and developed according to research evidence or authoritative guidance, eg:</p> <ul style="list-style-type: none"> <li>• limits to the duration of shifts?</li> <li>• consecutive shifts, particularly night/early morning?</li> <li>• breaks between and during shifts?</li> <li>• breaks after blocks of shifts (particularly nights) and direction of rotation?</li> <li>• acclimatisation on return from an extended period of leave?</li> </ul>	<p>Fatigue Guidelines 2.2.1, 2.2.3, 2.2.4</p>	3.17.3	<p>2.5 4.5</p>	

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	Question	NML	NAP	4292 06	Comments
25.0.6	<p>Are relevant controls in place to manage other fatigue-related risks identified, eg:</p> <ul style="list-style-type: none"> <li>• competence training or education of relevant workers eg rostering staff, supervisors and rail safety workers including shift workers?</li> <li>• management of quality of sleeping environments for work away from home?</li> <li>• identification and management of fatigued workers during working time?</li> <li>• error identification and management strategies?</li> <li>• workload and alertness management strategies?</li> <li>• workforce planning to ensure appropriate number of rail safety workers for times of peak demand?</li> </ul>	Fatigue Guidelines 2.2.1, 2.2.6, 2.2.7		2.5 4.5	
25.0.7	<p>Do controls for working hours of relevant rail safety workers consider:</p> <ul style="list-style-type: none"> <li>• foreseeable impacts on work hours eg delays, absence, and peaks in demand for services?</li> <li>• unforeseeable circumstances and emergencies where shift limits are likely to be extended beyond normal limits?</li> </ul>	Fatigue Guidelines 2.2.3, 2.6		2.5 4.5	
25.0.8	<p>Has the rail transport operator established a process for ensuring fitness for duty when rail safety workers present for work?</p>			2.5 4.5	

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	Question	NML	NAP	4292 06	Comments
25.0.9	<p>Has the rail transport operator established documented procedures on how the fatigue management standards are applied to rosters?</p> <ul style="list-style-type: none"> <li>• Does the risk assessment include a validation process for any rostering tools (eg fatigue models or fatigue risk indices) used to assess appropriate uses and limitations and need for additional controls?</li> <li>• Is there a risk-based process to determine decision threshold scores?</li> <li>• Are systems in place to ensure appropriate use of fatigue rostering software?</li> </ul>	Fatigue Guidelines Appendix 1		2.5 4.5	
25.0.10	Are procedures evident for implementing all identified controls, eg design of rosters and risk management of changes to rosters including shift swapping, call-outs, and overtime?	Fatigue Guidelines 2.2.4		2.5 4.5	
25.0.11	Is there evidence rail safety workers have been consulted SFAIRP in establishing/modifying fatigue controls?	Fatigue Guidelines 2.5		2.5 4.5	
25.0.12	Are organisations carrying out rail safety work for the rail transport operator made aware of their responsibilities in regard to fatigue management requirements of the rail transport operator?	Fatigue Guidelines 2.4.1 reg sch 1C,L		2.5 4.5	
25.0.13	Are there procedures for occurrence reporting, recording and investigation that consider and record fatigue as a contributing factor?	Guidelines 2.2.9		2.5 4.5	

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	Question	NML	NAP	4292 06	Comments
25.0.14	<p>Is there a procedure for monitoring of compliance with fatigue controls eg:</p> <ul style="list-style-type: none"> <li>• actual hours of work (including overtime) for compliance with roster limits and principles?</li> <li>• relief and workforce planning?</li> <li>• use of any tools eg fatigue models to determine appropriate use and compliance with thresholds?</li> <li>• casual/ contracted workers with SMS fatigue requirements?</li> <li>• training &amp; education?</li> <li>• effectiveness of other controls?</li> <li>• contracted organisations are meeting the requirements?</li> </ul>	Fatigue Guidelines 2.2.8	3.17.3		
25.0.15	<p>Is there evidence of regular review of risk assessments to determine adequacy of existing controls against alternative options to demonstrate management of risks SFAIRP?</p> <p>Is there evidence of triggered review of controls eg:</p> <ul style="list-style-type: none"> <li>• changes to working hours limits or other key controls for fatigue-related risk?</li> <li>• following an occurrence or trend?</li> <li>• repeated breaches of working hours limits?</li> </ul>	Fatigue Guidelines 2.2.10			
25.0.16	Is there evidence that fatigue management is included in the internal audit program?	Guidelines 2.3			
<b>26 Drug and Alcohol management</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The SMS must include systems and procedures for the preparation and implementation of an alcohol and drug management program for rail safety workers who carry out railway operations in relation o the rail transport operator's rail infrastructure or rolling stock.</p>					
26.0.1	Has the organisation identified pertinent guidance issued by the rail safety regulator in relation to drugs and alcohol?	NM Reg schedule 1D			
26.0.2	Does the organisation have a drug and alcohol program that complies with the Legislation/Guidelines?	NML s65	3.17.2 3.6	4.4	
26.0.3	Was the drug and alcohol program developed in consultation with employees and their representatives?	NML s57(2)	3.14	4.4	
26.0.4	Does the drug and alcohol program include a drug and alcohol policy statement?	local variation	3.1.1 3.17		
26.0.5	Does the drug and alcohol program include measures to restrict availability of drugs and alcohol in the workplace?	local variation	3.17	4.4	
26.0.6	What training has been provided to managers and supervisors on their responsibilities in the drug and alcohol program?	local variation	3.17 3.18	4.4	
26.0.7	What information, education and training has been provided to employees and contractors on the prevention of drug and alcohol problems?	local variation	3.17	4.4	
26.0.8	What arrangements are in place to encourage employees to notify supervisors or managers of risks to safety as a result of alcohol or drug use, or use of prescription drugs?	local variation	3.17 3.13	4.4	

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	Question	NML	NAP	4292 06	Comments
26.0.9	What arrangements are in place to deal with employees who "self-identify" (ie, admit that they have a drug or alcohol problem that may impact on their ability to work safely)?	local variation	3.17	4.4	
26.0.10	Does the organisation undertake drug and alcohol testing of its employees?	local variation	3.17	4.4	
26.0.11	Is alcohol and drug testing conducted by suitably qualified / authorised personnel?	local variation	3.17	4.4	
26.0.12	Does the organisation undertake random testing of its employees and contractors?	local variation	3.17	4.4	
26.0.13	Does the organisation undertake targeted testing of its employees or contractors?	local variation	3.17	4.4	
26.0.14	Does the organisation have arrangements in place for testing of workers involved in safety occurrences?	local variation	3.17	4.4	
26.0.15	Does the organisation use approved equipment for alcohol breath testing, and is it properly maintained?	local variation	3.17	4.4	
26.0.16	Are the organisation's procedures for urine testing compliant with AS4308:2008?	local variation	3.17	4.4	
26.0.17	Does the organisation notify the rail safety regulator of all positive drug and alcohol tests?	local variation	3.17 3.6	4.4	
26.0.18	What arrangements are in place to deal with workers who refuse tests, or who test positive for drugs or exceed prescribed level of blood alcohol?	local variation	3.17	4.4	
<b>27 Health and Fitness management</b>					

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
<p>The SMS must include systems and procedures to ensure compliance with requirements for the management of health and fitness of rail safety workers who carry out rail safety work on or in relation to the rail transport operator's rail infrastructure or rolling stock.</p> <p>The rail transport operator must have and implement a health and fitness management program that complies with volumes 1 and 2 of the National Standard for the Health Assessment of Rail Safety Workers published by the National Transport Commission, as amended from time to time.</p>					
27.0.1	Has the organisation identified jobs / job classifications which involve rail safety work?	NM reg 21 - (NHAS)		4.3	
27.0.2	Has the organisation identified rail safety workers involved in rail safety work?	NM reg 21 - (NHAS)	3.16	4.3	
27.0.3	<p>Has the organisation completed risk assessments for job classifications involving rail safety work?</p> <p>Do the risk assessments identify:</p> <ul style="list-style-type: none"> <li>• specific health assessment requirements?</li> <li>• risk analysis and categorisation?</li> <li>• the engineering and procedural environment?</li> <li>• health attributes?</li> <li>• activities and working conditions?</li> <li>• the organisational context?</li> </ul>	NM reg 21 - (NHAS)	3.17.1 (NHAS)	4.3	
27.0.4	Has the organisation engaged an Authorised Health Professional (AHP)?	NM reg 21 - (NHAS)	3.17.1 (NHAS)	4.3	
27.0.5	Has the AHP been briefed on the organisation's site, work environment / location(s), procedures and policies?	NM reg 21 - (NHAS)	3.17.1 (NHAS)	4.3	

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	Question	NML	NAP	4292 06	Comments
27.0.6	Has the organisation prepared a plan for the conduct of health assessments of rail safety workers which ensures that health assessments are conducted against evaluation criteria in the National Standard for the Health Assessment of Rail Safety Workers Volume 2?	NM reg 21 - (NHAS)	3.17.1 NHAS	4.3	
27.0.7	Has the organisation developed administrative procedures to manage health assessment of rail safety workers including: <ul style="list-style-type: none"> <li>• implementing practical tests, as required?</li> <li>• addressing conditions that need to be met and/or job modifications?</li> <li>• recording fitness for work, using standard terminology?</li> <li>• tracking reports?</li> <li>• recording appointments?</li> <li>• alerting workers to the need for health assessment?</li> <li>• identifying assessments due or requiring follow-up, including pre-placement, periodic and triggered?</li> </ul>	NM reg 21 - (NHAS)	3.17.1 (NHAS)	4.3	
27.0.8	Does the organisation use the standard forms contained in the National Standard for the Health Assessment of Rail Safety Workers Volume 1 Part 3?	NM reg 21 - (NHAS)	3.17.1 (NHAS)	4.3	
27.0.9	Does the organisation maintain records of health assessments in a manner consistent with anti-discrimination and privacy legislation?	NM reg 21 - (NHAS)	3.17.1 (NHAS)	4.3	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
27.0.10	<p>Have findings from task analyses been incorporated into worker fitness standards? (This element should build on the requirements of the <i>National Standard for Health Assessment of Rail Safety Workers</i>. It goes beyond the safety critical requirements, and may consider psychometric testing, as well as particular physical attributes. For example, as part of job design, a task analysis would identify that a shunter would need to be able to reach, bend and twist, climb under equipment, and exert forces: a signaller would need to have the capacity to assess, monitor and respond to changes on the network, and would need to cognitive capacity to integrate all these elements as part of their job. The task analysis would then link back to risk management, change management and a job description.)</p>	sch 1N			
<b>27 Resource Availability</b>					
<p>The SMS must include systems and procedures for estimating the resources, including people and equipment, that the rail transport operator will need to operate and maintain its railway operations and to implement, manage and maintain its safety management system, and for the preparation of plans to ensure that it has adequate access to those resources.</p>					
28.0.1	Does the organisation have the capacity to financially sustain safe railway operations?	NML s34(c)(ii) NM Reg schedule 1ZA	3.5	2.5.1	
28.0.2	<p>Does the financial capacity to sustain safe railway operations include:</p> <ul style="list-style-type: none"> <li>• provision for dealing with foreseeable emergencies and catastrophic events?</li> <li>• public risk insurance arrangements?</li> </ul>	NML s34(c)(ii)	3.5	2.5.1	

## National Audit Tool

	Question	NML	NAP	4292 06	Comments
28.0.3	Does the SMS include systems and procedures for estimating the resources, including people and equipment, that the rail transport operator will need to operate and maintain its railway operations and to implement, manage and maintain its safety management system, and for the preparation of plans to ensure that it has adequate access to those resources?	NM Reg schedule 1ZA			
28.0.4	Does the organisation have adequate access to resources, including people and equipment, with which to develop, implement, manage, maintain and comply with the safety management system?	NML s34(c)(ii)	3.5	2.5.2	
28.0.5	Is the organisation able to demonstrate that members of its own staff have the competency and capacity to take over management of an SMS or other risk management system once any consultant/s, contractor/s or temporary staff who have prepared it or contributed to its preparation has departed?	NM Reg schedule 1ZA	3.16 Explanatory note	2.11	