

The NZTA '14 point safety assessment plan'

This is by no means an exhaustive list, and safety assessors are responsible for ensuring they give proper coverage to the assessment of a participant's compliance with the documented systems.

1 Summary of Compliance with Safety Case & Safety System

There should be a clear statement as to whether the operator is in compliance with the approved safety case and the documented safety system. Any areas of non-compliance are to be clearly reported and summarised here.

2 NZTA conditions and previous assessment or review conditions

There should be specific reference to any conditions imposed on the rail participant by the NZTA and/or previous outstanding conditions resulting from findings and recommendations of previous safety assessments or reviews.

Assessment findings/non-compliance conditions: For the categories 3 – 11 below, the assessment findings should clearly detail any non-compliance conditions – areas where the participant is not complying with their safety case/system – so that they can be responded to by the rail participant.

3 Management and organisation

Consider high level management and organisational aspects and confirm whether or not they are in compliance with the documented systems.

4 Personnel, visitors and passengers

Confirm that resourcing, recruitment, succession planning, work skill training, safety observation and certification of personnel are in compliance with management policies. Confirm that visitors and passengers are managed to ensure their safety.

5 Mechanical safety

The assessment should include specific comment regarding safety-critical items relating to locomotives rolling stock and other mechanical equipment.

6 Infrastructure

There should be specific comment regarding safety-critical items relating to track, bridges, signalling and other infrastructure.

7 Emergency management, accidents, incidents and other occurrences

There should be specific comment regarding the correct reporting of all accidents and incidents including notification to the NZTA and the Department of Labour as appropriate. The assessment should comment on whether appropriate action is being taken by the rail participant to address the causes of any such occurrence (reportable or otherwise) and ensure the possibility of repeat occurrences is minimised.

8 Rail operations

There should be specific comment that the operational procedures, as set out in the safety system, are being complied with to ensure the safe working of rail movements.

9 Interface with other operators (if applicable)

Verify inter-operability procedures are complied with when operating on the national network/when interacting with another participant/s. Confirm access agreements and common access terms are complied with where applicable. Verify joint operating procedures are in place, current and being adhered to.

10 Document control and system review

Confirm that document control procedures are in place, working and that review of the system is occurring as required by defined management policies.

11 Risk management

Comment on the risk management policies and methodologies applied and whether they are being fully complied with or not.

12 Safety assessment and internal audit

Confirm that there are satisfactory procedures in place to manage the safety assessment programme for continuous improvement - including the outputs from both NZTA external assessments and internal audits.

13 Recommendations

In addition to any commentary and detail of non-compliance in the categories above, the safety assessor may make any recommendations or suggestions to improve the safety of the participant's rail activities. These should also be discussed with the rail participant at the time of the safety assessment.

14 Rail participant response

Safety assessors are to ensure that those people consulted at the time of the assessment (including rail participants and representatives of rail personnel) have an opportunity to check the report for factual correctness through their liaison people before it is sent to the NZTA for finalisation.

Once the NZTA has assessed the report, made any changes, and finalised it, rail participants are required to respond in writing to the report. In this response the participant must:

- Advise what action they are taking to close out non-compliance conditions
- Consider recommendations and give reasons why they have/have not been adopted/outline any alternatives that they have considered or will action instead
- State whether they will be able to take actions within the required timeframe.
- If they are unable to take actions within the required timeframe, state why this is so