



CORPORATE PLAN 2016–2019



TasRail freight train,
Tasmania

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ONRSR
Chief Executive,
Sue McCarrey

CHIEF EXECUTIVE'S MESSAGE

The successful evolution of the Office of the National Rail Safety Regulator is an important contribution to the ongoing safety and prosperity of Australia's rail industry. Since our inception, we have been working diligently at operational and corporate levels to help realise the full benefits of the national reform and we continue to make very positive progress in pursuit of those goals.

Most notable is the continued adoption of Rail Safety National Law across Australia. When Western Australia officially joined ONRSR in November 2015, we took another significant step toward our ultimate objective of becoming a fully-fledged national regulator. Elsewhere on the ground, operators are now enjoying the efficiencies that flow from the consolidation of single jurisdiction and multi-jurisdictional notices, and benefiting from policies and guidance that clearly articulate the Regulator's expectations. We continue to foster strong relationships with all our stakeholders through the provision of quality policy and safety improvement programs, and the data collection and analysis in our annual Rail Safety Report provides a valuable resource for industry. We have also continued our focus on developing our most valuable asset — our people — and supporting them through systems and processes that are increasing in maturity.

The safety of the community will always be at the forefront of our strategic planning and the ultimate objective of our work to promote and improve rail safety across Australia.

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The ONRSR *Corporate Plan 2016–2019* outlines how we intend to maintain this momentum by building on these achievements.

The safety of the community will always be at the forefront of our strategic planning and the ultimate objective of our work to promote and improve rail safety across Australia. As a result, a key focus for ONRSR continues to be transition of all jurisdictions. We are working closely with the Queensland Government to achieve a smooth transition of regulatory activities from Queensland into ONRSR in mid 2017. We anticipate that NSW will be under a direct delivery model with ONRSR later in 2016 and work is continuing with the Victorian Government in reviewing their Service Level Agreement.

Our day-to-day regulatory activities and safety improvement programs will be guided by our safety priorities. Four safety focus areas have been identified through a combination of industry and operational intelligence and data analysis. While they are by no means the only concerns that will require our resources, placing an emphasis on track worker safety, road rail vehicle safety, track condition and rolling stock maintenance presents an opportunity to deliver outcomes that can make a significant difference to the rail safety environment. As will the development of an industry-led national rail safety risk model, a reform we consider both urgent and essential and for which we will

continue to lobby strongly. With similar vigour, we will embrace the challenge presented by the exponential growth in major rail projects that will see an estimated \$64.3 billion invested across the network over the next decade. By proactively engaging with project proponents, we will work to ensure they address rail safety for the life of the project — from design to operation and through to decommissioning.

Internally, we have a renewed focus on the importance of a strong organisational vision and values that can deliver a unique "one ONRSR" culture which draws together the collective experience, passion and dedication of staff from many and varied regulatory and corporate backgrounds. A commitment to collaboration will be key — not only to ONRSR's success, but also in providing benefits to our rail safety stakeholders and in turn to the Australian community.

I want to sincerely thank all stakeholders and staff for their ongoing contributions and trust that the direction outlined in the following pages will help us set even higher standards for rail safety in this country.

Sue McCarrey,
Chief Executive

March 2016



WHO WE ARE

The Office of the National Rail Safety Regulator (ONRSR) commenced operation on 20 January 2013.

ONRSR is a Body Corporate under the *Rail Safety National Law (South Australia) Act 2012 (RSNL)*.

Our primary objectives are to encourage safe rail operations, ensure compliance with the Rail Safety National Law and to promote and improve national rail safety.

We provide regulatory oversight of the RSNL in the jurisdictions of South Australia, New South Wales, Northern Territory, Tasmania, Victoria, Australian Capital Territory and Western Australia.

OUR STRUCTURE

The National Rail Safety Regulator and Chief Executive of ONRSR is Sue McCarrey.

The Chief Executive is supported by two Non-Executive Members, appointed by the Transport and Infrastructure Council. The role of the Non-Executive Members — Peter Batchelor and Catherine Scott — is to work with the Chief Executive to provide leadership, strategy and governance for ONRSR.

The Chief Executive is supported by an Executive team responsible for leading and managing the ONRSR Divisions of National Operations, Technical, Policy, Communications and Planning, and Corporate.

Delivery of operational regulatory functions is undertaken by staff either directly employed by ONRSR or through Service Level Agreements.

The National Office of ONRSR is located in Adelaide. ONRSR currently has four branches:

- Central Branch — direct employees responsible for South Australia, Tasmania, the Northern Territory and the ACT.
- Western Australia Branch — direct employees responsible for Western Australia.
- New South Wales Branch — employees of the NSW State Government operating under a Service Level Agreement.
- Victoria Branch – employees of the Victorian State Government operating under a Service Level Agreement.

Queensland will be transitioning to ONRSR in mid 2017.

The ONRSR organisation chart is available on the ONRSR website www.onrsr.com.au

STATEMENT OF INTENT

Our Statement of Intent outlines our priorities and describes our key functions. These priorities provide the framework for the strategic goals and milestones set out in this Corporate Plan.

Our Statement of Intent was agreed by the Transport and Infrastructure Council and is available at www.onrsr.com.au



WHAT WE STAND FOR

In early 2016 ONRSR staff developed a vision statement for ONRSR and reviewed its values.

ONRSR's vision, "Safe railways for Australia", is supported by five values:

Integrity

We have moral courage and are honest and straightforward in our approach.

Respect

We have respect for each other and our stakeholders.

Independence

Our decision making is responsive and free from bias and influence.

Diligence

We persevere and apply ourselves in a conscientious manner.

Excellence

We are professional, high performing and strive for continuous improvement.

ABOUT THIS PLAN

ONRSR's *Corporate Plan 2016–2019* outlines our planned activities, strategic goals and milestones and how we will measure our performance over the next three years. It supports the objectives of the Council of Australian Governments' (COAG) national rail reform: To improve the efficiency of rail transport regulation by establishing a national rail safety regulator.

The plan is underpinned by an annual business plan and work programs which provide more specific objectives and set out more detailed priorities, in particular our operational activities. Our business plan has performance targets, and along with our work programs is used as the basis for team and staff performance agreements.

LAST YEAR'S PERFORMANCE

ONRSR successfully delivered upon a majority of the milestones set out in its *Corporate Plan 2015–2018* during the financial year 2015–2016. Achievements included successful management of the transition of Western Australia into the regulatory model, effective delivery of ONRSR's national regulatory work program, support for ONRSR proposals by the National Transport Commission (NTC) and the Transport and Infrastructure Council, further development of ONRSR's regulatory and enterprise risk frameworks, unqualified financials and the issue of the inaugural Being ONRSR All Staff Survey.

As with any dynamic organisation, emerging challenges and changing priorities impacted on the delivery of some milestones. Primarily, these related to transitioning jurisdictions into ONRSR and the development of the industry safety risk model.

Detailed achievements against our Corporate Plan are contained in our Annual Report.





HOW WE REGULATE

Our Regulatory Approach sets out our high level approach to regulating rail safety and achieving compliance with the Rail Safety National Law. It describes our principal purpose which is to oversee and enforce a national co-regulatory framework to enable and promote safe railway operations. This includes the administration of a national scheme of accreditation. The co-regulatory framework means that we support and encourage industry to operate safely and ensure compliance with the law. Underpinning this framework is the RSNL which is set and monitored by governments and administered by us as the independent authority.

The following key principles describe how we regulate:

- Independent and impartial
- Risk-based
- Educational
- Proportionate
- Transparent, fair and accountable
- Consistent

This approach is supported and underpinned by our corporate goals and our policies, procedures and guidelines. In particular, our Safety Improvement Policy and Compliance and Enforcement Policy are the key policies that support our Regulatory Approach and provide the foundation for how we approach, deliver and ensure regulation.

Our Regulatory Approach and key policies are available at www.onrsr.com.au.

Locomotive heading east from Karratha, Western Australia

CORPORATE RISK MANAGEMENT

Our Risk Management Policy supports ONRSR's position that an effective enterprise and regulatory risk management framework is an important factor in achieving organisational goals. Our policy and framework reflect the principles and the processes outlined in the international risk management standard AS/NZS ISO 31000.

We proactively identify our risks and implement appropriate mitigation strategies to address them. This is overseen by the ONRSR Audit and Risk Committee, which meets quarterly and is chaired by Non-Executive Member Catherine Scott. In addition, this committee reviews and recommends approval to the ONRSR (which includes non-Executive members) of the annual financial statements and reviews the detailed business risk register.

The ONRSR Executive undertakes regular reviews of our financial position and risks to ensure we prioritise and mitigate risks in accordance with our operational environment. This includes risks associated with the transition of remaining jurisdictions into the national regulator and issues that may impact upon ONRSR's positive organisational reputation.

OUR RELATIONSHIPS & STAKEHOLDERS

Our primary objective is the safety of the community through encouraging and enforcing safe railway operations, including promoting and improving national rail safety on behalf of state, territory and commonwealth governments. We aim to do this by working together to enhance and promote rail safety through effective risk-based regulation. As jurisdictions join us, we will continue to develop our relationships with the wider rail industry — operators, unions, owners, contractors, maintainers — as well as state, territory and federal governments and agencies, rail safety associations and practitioners.

By employing a range of stakeholder engagement and communication activities, we will work cohesively in order to improve national rail safety and successfully meet our goals. We will continue to formally engage with a range of stakeholders including the unions and a senior industry reference group.

Additionally, we regularly communicate and consult with bodies such as the Rail Industry Safety and Standards Board (RISSB), Australian Tourist and Heritage Railway Association (ATHRA), the Australasian Railway Association (ARA), Rail Tram and Bus Union (RTBU), government departments and the industry safety managers.

We report bi-annually to responsible transport ministers via the Transport and Infrastructure Council from which budgetary and legislative authority and support is sought.

OVERVIEW OF STRATEGIC DIRECTION

The goals and measureable milestones outlined in this plan provide a blueprint for all ONRSR activity over the next three years.

During the year, we reviewed our six goals and endorsed the following which are set out in this plan:

Goal 1: Maintain and improve rail safety through a risk-based approach to regulation

Goal 2: Reduce regulatory burden on industry

Goal 3: Under a co-regulatory framework, support industry in its operation of safe railways for Australia

Goal 4: Promote safety awareness and work with industry on safety improvement and research

Goal 5: Value and enable our people in pursuit of high performance

Goal 6: Develop our systems to optimise our performance



OUR GOALS & MILESTONES

GOAL 1: MAINTAIN AND IMPROVE RAIL SAFETY THROUGH A RISK-BASED APPROACH TO REGULATION

By providing an independent regulatory function, with a particular focus on high risk areas, and working together with the rail industry to achieve this goal, we can most effectively minimise the likelihood of major incidents which may result in death or injury.

As a risk-based regulator, we support our regulatory decision-making through a nationally consistent risk-based framework that identifies and understands local risks, national trends and regulatory compliance data. We are continually improving this framework by ensuring that our regulatory activities, through our national work program, assess risk consistently and reflect the full extent of our regulatory intelligence.

Our current rail safety priorities include track worker safety, track condition, road rail vehicle safety and rolling stock maintenance, along with ensuring effective asset management in conjunction with operators.

ONRSR responds to incidents, accidents and third party investigation reports as appropriate and undertakes its own formal investigations into potential breaches of the RSNL.

Proactive engagement with proponents of major rail projects, to ensure rail safety is addressed throughout their lifecycle, is another major focus.

ONRSR is progressively rolling out a national drug and alcohol testing program.

MILESTONES

What	When
Determine and deliver the annual national work program using a risk-based approach	<ul style="list-style-type: none">• Annual
Enhance and embed a nationally consistent ONRSR regulatory risk framework	<ul style="list-style-type: none">• Dec 2016
Engage with proponents of major rail projects across Australia	<ul style="list-style-type: none">• Aligned with project time frames
Transition all jurisdictions to a national drug and alcohol testing program, with annual review	<ul style="list-style-type: none">• Dec 2017

KEY PERFORMANCE INDICATORS

- ONRSR planned regulatory activities are timely, efficient & effective
- ONRSR continually improves regulatory risk framework
- ONRSR implements consistent risk-based enforcement of Rail Safety National Law

XPT trains at Central Station,
New South Wales

Bowral Railway Station,
New South Wales



GOAL 2:
**REDUCE
REGULATORY
BURDEN ON
INDUSTRY**

A key factor in reducing regulatory burden is full transition of all jurisdictions into ONRSR and the development of an industry safety risk model. This will be achieved once all jurisdictions provide their regulatory services directly through ONRSR.

Reducing regulatory burden is multi-faceted. ONRSR's role includes:

- consistent application of a national regulatory model and policies and procedures
- reviewing, researching and refining policy and the legislative framework
- working with industry to reflect our respective roles within a co-regulatory framework
- assessing operators' levels of risk and the operating environment

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MILESTONES

What	When
Support transition of remaining jurisdictions into direct delivery of regulatory services by ONRSR <ul style="list-style-type: none">• Support NSW transition from its Service Level Agreement with ONRSR into ONRSR• Review the Service Level Agreement with Victoria• Support the legislative development to enable the Rail Safety National Law to be passed through the Queensland Parliament and transition of Queensland into ONRSR	<ul style="list-style-type: none">• Dec 2017• Oct 2016• Dec 2016• April 2017
Progress identified opportunities within the Rail Safety National Law to provide for national legislative consistency including: <ul style="list-style-type: none">• An internal review of all jurisdictions' Application Law implementing the Rail Safety National Law (excluding drug and alcohol requirements)• Preparation of a report to the Transport and Infrastructure Council on the review of drug and alcohol and fatigue management arrangements under Rail Safety National Law• Legislative proposals to improve the national rail safety legislative framework for National Transport Commission consideration	<ul style="list-style-type: none">• Mar 2017• Nov 2017• Annual
Conduct an inaugural ONRSR external stakeholder survey and develop strategies to address the opportunities for improvement	<ul style="list-style-type: none">• Dec 2017
Work with industry to gain efficiencies in regulatory service delivery: <ul style="list-style-type: none">• Conduct a targeted review, with industry, of ONRSR forms to simplify their use• Develop an initial portal for electronic regulatory activities and trial with selected stakeholders	<ul style="list-style-type: none">• Mar 2017• Dec 2017
Develop a user-friendly index to support easy reference to ONRSR guidelines alignment to the Rail Safety National Law	<ul style="list-style-type: none">• June 2017
Review the effectiveness of current MOUs and complete MOUs for transitioning jurisdictions	<ul style="list-style-type: none">• Dec 2017

KEY PERFORMANCE INDICATORS

- ONRSR actively contributes to continuous improvement of regulatory frameworks
- All jurisdictions form ONRSR
- Industry satisfaction with regulator value

GOAL 3:
UNDER A CO-REGULATORY
FRAMEWORK, SUPPORT
INDUSTRY IN ITS OPERATION
OF SAFE RAILWAYS
FOR AUSTRALIA

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Metro train over bridge,
Melbourne, Victoria

(right) Railway crossing,
regional Australia



Under a co-regulatory regime, our role as regulator is to oversee, support and ensure compliance with the Rail Safety National Law (RSNL) so as to eliminate or reduce risks so far as is reasonably practicable. Industry is responsible for the safety of rail operations and for compliance with the RSNL.

Within this framework, ONRSR expects industry to take a proactive approach collectively on safety initiatives, performance and harmonisation, and as individual operators to manage their safety risks in compliance with the law and engage in safety improvement activities. ONRSR acknowledges industry's safety vision and supporting strategy as supporting this goal.

MILESTONES

What	When
Support and recognise an industry national rail safety risk model	<ul style="list-style-type: none">• Dec 2017
National data strategy developed and implemented in consultation with industry	<ul style="list-style-type: none">• Dec 2017
Until the national data strategy is developed, engage with industry to deliver and implement the revised ONS1-OCG1 data quality framework	<ul style="list-style-type: none">• Dec 2016
Support RISSB with the development of selected national standards, guidelines and products as appropriate	<ul style="list-style-type: none">• As agreed with RISSB

KEY PERFORMANCE INDICATORS

- ONRSR has collaborative partnerships with industry safety bodies
- Industry development of industry safety risk model and products

GOAL 4: PROMOTE SAFETY AWARENESS AND WORK WITH INDUSTRY ON SAFETY IMPROVEMENT AND RESEARCH

In a co-regulatory environment, ONRSR and the rail industry have important roles in working together to continuously improve rail safety.

Under the Rail Safety National Law a key objective for ONRSR is to 'promote safety and safety improvement as a fundamental objective in the delivery of rail transport in Australia'.

Our Safety Improvement Policy focuses on encouraging and working with industry to deliver key safety improvement initiatives. ONRSR develops an annual safety improvement workplan which outlines specific initiatives on prioritised safety risk areas where ONRSR can add value through research, information sharing and collaborative work with industry. ONRSR is also working with industry on the development of an industry safety strategy that supports its safety vision.

We meet regularly with key stakeholder groups, including union and industry members, to discuss common safety issues, risks and improvement elements. We also assist with research initiatives through a director role with the Australasian Centre for Rail Innovation.

We continue to publish a range of safety publications through our online resource centre, including our annual Rail Safety Report.

MILESTONES

What	When
Support industry to complete and implement the industry's safety strategy as aligned to its safety vision	<ul style="list-style-type: none"> • Strategy June 2016 • Implementation 2018 • Ongoing
Deliver the priority projects in the ONRSR safety improvement workplan and evaluate each project	
Publish the annual Rail Safety Report	<ul style="list-style-type: none"> • Dec 2016
Review Safety Improvement Policy	<ul style="list-style-type: none"> • June 2017

KEY PERFORMANCE INDICATORS

- Communication with regulated entities is clear, targeted and effective
- Industry awareness of ONRSR safety improvement programs

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GOAL 5: VALUE AND ENABLE OUR PEOPLE IN PURSUIT OF HIGH PERFORMANCE

We recognise that our people are our most important asset and that to deliver excellence in our regulatory services we need a national culture that respects colleagues and stakeholders, engages in teamwork and is diligent and responsive in service delivery. Our staff are passionate about their work. A high level of engagement by staff has resulted in a new vision and revised set of values which will guide the way we interact internally and with our stakeholders.

Safety is and always will be the paramount concern for ONRSR. Our national Work Health and Safety (WHS) framework ensures that WHS risks are addressed appropriately in each jurisdiction.

Ensuring the right platform is achieved for transitioning staff into ONRSR and building a united, informed and team-oriented culture remains a priority.

The implementation of ONRSR's Workforce Plan is the primary strategy to deliver this goal. The plan includes learning and development activities as a priority and a program for all staff will progressively be rolled out.

MILESTONES

What	When
Implement ONRSR's Workforce Plan for current and transitioning staff	<ul style="list-style-type: none"> • June 2018
Develop and implement an ONRSR staff organisational culture 'Being ONRSR' program	<ul style="list-style-type: none"> • Dec 2017

KEY PERFORMANCE INDICATORS

- ONRSR has the right people in the right roles
- Staff enabled with skills and knowledge
- ONRSR staff are safe

GOAL 6: DEVELOP OUR SYSTEMS TO OPTIMISE OUR PERFORMANCE

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The Indian Pacific
Train Sydney,
New South
Wales

Central to optimising ONRSR's effectiveness as a national rail safety regulator, and ability to achieve the national benefits intended under the COAG rail safety reforms, is the ongoing enhancement of its business systems. These systems, which include governance, information management and technology and financial management functions, enable ONRSR staff to better deliver regulatory services in an informed, coordinated and consistent manner.

Under the direction of our rolling three year Information Management and Technology (IM&T) Strategic Plan, we will continue to maintain and enhance ONRSR's business systems to ensure that we meet our regulatory and corporate requirements.

In conjunction with its national system development, ONRSR continues to focus its efforts on transitioning remaining jurisdictions yet to be fully integrated into ONRSR's regulatory model.

MILESTONES

What	When
Support the transition of regulatory activities provided by the Queensland Rail Safety Regulator into ONRSR	• April 2017
Analyse and prepare input for the Productivity Commission's review of the economic benefits of national transport safety reforms	• 2019
Deliver ONRSR's 2016–18 IM&T Strategic Plan	• Dec 2018
As part of ONRSR's governance program <ul style="list-style-type: none"> • monitor and report against ONRSR's enterprise risk framework • monitor and report against ONRSR's internal audit program 	<ul style="list-style-type: none"> • Aligned with workplan time frames • Aligned with scheduled time frames
Review current cost recovery arrangements and propose future methodology for consideration by the Transport and Infrastructure Council	• Nov 2016
Develop a cost recovery methodology and regulation for collection of fees for major rail projects for consideration by the Transport and Infrastructure Council	• Nov 2016

KEY PERFORMANCE INDICATORS

- ONRSR systems meet staff needs
- ONRSR is financially sustainable
- ONRSR demonstrates good governance





OFFICE OF THE NATIONAL RAIL SAFETY REGULATOR

**Level 1, 75 Hindmarsh Square,
Adelaide SA 5000**

**PO Box 3461,
Adelaide SA 5000**

**National Office: 08 8406 1500
Fax: 08 8406 1501
E-mail: contact@onrsr.com.au
Web: www.onrsr.com.au**

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