SYDNEY TRAINS SAFETY MANAGEMENT SYSTEM
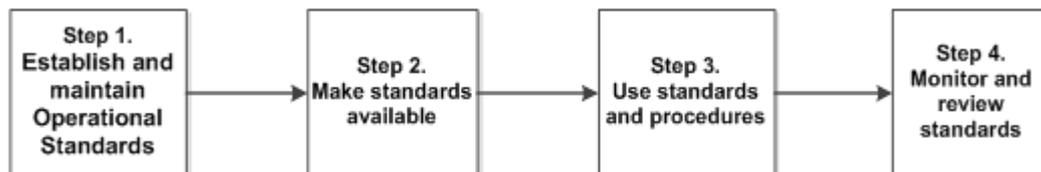
SYSTEM PROCEDURE 12: OPERATIONAL STANDARDS

Purpose

The purpose of this document is to describe the processes by which Sydney Trains Operational Standards are created, amended, maintained and used.

Scope

This document applies to the following processes:

- the creation, amendment, maintenance and withdrawal of Operational Standards
- the use of Operational Standards
- the monitoring and review of Operational Standards.

Process flow

Process Description

'Operational Standards' is a term used to cover a range of operating and technical documents controlled by Sydney Trains such as: Network Rules, Network Procedures, waivers and exemptions. Refer to Table 1 for the sets of documents that cover a number of different functions within Sydney Trains.

Organisations or individuals carrying out railway operations on the Sydney Trains Network must comply with the Network Rules, Network Procedures, Network Local Appendices, and Train Operations Manual. Network Rules, Network Procedures and Network Local Appendices are accessed via the RailSafe website. Staff carrying out railway operations for Sydney Trains must comply with the Train Operations Manual and Operator Specific Procedures which are accessed via the Sydney Trains or NSW Trains intranet sites.

Table 1 Sydney Trains Operational Standards

Element	Requirements
Network Standards	Provide required mandatory operating outcomes on the Network, including rail safety, high reliability, economic efficiency, asset utilisation, skills availability and utilisation, and customer satisfaction.
Network Rules	Mandate the Safeworking outcomes for operations and related activities in the Network.
Network Procedures	Give detailed instructions about how to bring effect to the Network Rules mandates.
Network Local Appendices	Describe the systems of Safeworking, the infrastructure and the operation of that infrastructure for locations in the Network.
Train Operations Manual	Provides specific instructions to Sydney Trains and NSW Trains personnel operating or interfacing with Sydney Trains and NSW Trains rolling stock.
Train Working Procedures	Provides specific working instructions to Sydney Trains and NSW Trains personnel operating passenger trains
Operator Specific Procedures	Give detailed instructions specific to Sydney Trains and NSW Trains operations.

Step 1 Establish and maintain Operational Standards

The Director Safety and Standards will make sure the creation, amendment and withdrawal of Operational Standards follows a defined consultative process with the following phases:

− identify change request

− apply Safety Change Management process

− consult stakeholders

− assess training needs

− obtain approval and authorisation

− publish/withdraw document.

Identify change request

Requests for changes to Operational Standards may arise from:

– technological advances

– industry best practice

– new or altered rail infrastructure or rolling stock

– audit and incident investigation reports

– issues raised by Sydney Trains business units or another operator on the Network

– issues raised by the regulator

– outcome of systemic review

– National Rail Safety requirements.

Change requests must be made in writing and addressed to the Director Safety and Standards.

The Director Safety and Standards will establish a process to make sure that all requests for change are recorded and considered.

Apply Safety Change Management (SCM) process

When an issue or change request is raised (including the introduction of new standards), the owner of the standard's technical content is responsible for managing the change in accordance with SMS-07-SP-3067 Manage Safety Change.

Notification to the Office of the National Rail Safety Regulator (where required)

The Director Safety and Standards will make sure that the Office of the National Rail Safety Regulator (ONRSR) is notified regarding any changes to Network Rules or Network Procedures. The notice must:

– be submitted electronically

– contain details of the proposed amendment

– specify the date on which the change will be implemented

– give no less than 28 days notice of implementation.

Where an urgent change to Network Rules or Network Procedures is required to address an immediate risk to safety, ONRSR must be notified at the earliest opportunity. The 28 days notice will not apply in these circumstances.

Consult stakeholders

Stakeholders of Operational Standards vary according to the document set, with some stakeholders external to Sydney Trains. The consultation process seeks to balance competing views; however, stakeholders must keep the safety of operations as the overriding goal.

Where the change involves the Network Rules and Network Procedures, the Network Rules Unit will provide stakeholders with a DRAFT copy of the amended Network Rule, Network Procedure or Network Form to the following stakeholder's nominated representatives:

− Applicable Industry Union

− ONRSR

− NSW accredited Rail Transport Operators

− NSW Trains

− Sydney Trains

− Transport for NSW.

Stakeholders are required to provide a written submission to Director Safety and Standards by the date specified on the notice, but not more than 28 days after the notice was given.

If no response is provided, this will be taken as Stakeholder acceptance of the proposal.

For all other changes to Operational Standards, the Network Rules Unit will manage the consultation process in accordance with SMS-10-SP-3070 Communication and Consultation.

Endorsement of technical content

Written endorsement of the technical content of a proposed change to an Operational Standard must be obtained from the relevant content owner (e.g. a change to signalling would be endorsed by the Chief Engineer Signals and Control Systems). This endorsement must be documented on an Operational Standards Sign-off form.

Assess training needs

A technical content change will necessitate a Training Needs Analysis with affected stakeholders to determine the training impact of the proposed change.

Where the change alters the existing competency profile of Rail Safety Workers (i.e. a formal training need is identified), line managers will make sure that training is coordinated and delivered in accordance with SMS-11-SP-3011 Training and Competence.

If the change does not alter the competency profile of Rail Safety Workers or require formal training, line managers must make sure that changes are communicated to workers in accordance with SMS-10-OP-3091 Communicating Safety Information.

Approval and publication

The Manager Network Rules and Projects must recommend new or amended Operational Standards to the Director Safety and Standards for final approval to publish a new or amended Operational Standard. This recommendation and approval must be documented on an Operational Standards Sign-off form.

Urgent changes to Operational Standards

In exceptional circumstances or where an urgent change to an Operational Standard is required to address an immediate risk to safety, the normal process for amending an Operational Standard will not apply.

In these circumstances, the Director Safety and Standards must arrange to:

− give stakeholders as much notice as is reasonably practicable
− take appropriate steps to mitigate any foreseeable adverse consequences arising from implementation
− make available an electronic copy of the amended standard.

If the Operational Standard is a Network Rule or Network Procedure, the regulator (i.e. ONRSR) must be notified.

Withdrawal of Operational Standards

If an Operational Standard is to be withdrawn, the normal requirements for amending an Operational Standard will apply.

If it is necessary to withdraw an Operational Standard urgently the requirements for *Urgent changes to Operational Standards* in this procedure must be applied.

Step 2 Make standards available

The Director Safety and Standards is responsible for making sure that the Operational Standards are available to all Rail Safety Workers using the Network.

Operational Standards may be published in electronic and/or hard copy format. The latest up-to-date material is available on the RailSafe website.

Advertising temporary or immediate changes to Operational Standards

If it is necessary to introduce a new, or amend or withdraw an existing Operational Standard, the method of communicating these changes will be as described in Table 2.

Table 2 Method of communicating changes to Operational Standards

Document	Urgent changes	Withdrawal
Network Rule	Digital publication or SAFE Notice	SAFE Notice
Network Procedure	Digital publication or SAFE Notice	SAFE Notice
Operator Specific Procedure	Digital publication or SAFE Notice	SAFE Notice
Train Operations Manual (TOM)	Digital publication or TOM Notice	TOM Notice
Network Local Appendices	Digital publication	SAFE Notice
Network Standard	Digital publication	SAFE Notice

Note

SAFE Notices issued for changes to Network Rules or Network Procedures will remain valid for up to 180 days unless withdrawn or published permanently in the Network Rules or Network Procedures.

Communicating Operational Standards information

If a safety concern is identified in the application of Operational Standards, the requirements of the Operational Standards may be reinforced by issuing a SafeTracks or displaying information on the RailSafe website home page. These media are used only to communicate Operational Standards, and are not used for general safety information.

Note

SafeTracks may not be used to change or give exceptions to Operational Standards.

RailSafe website

The primary purpose of the RailSafe website is to make available electronically the Sydney Train's suite of Operational, Training and Competency Standards to all Rail Safety Workers using the Network.

Other communications and information that inform and support Rail Safety Workers in implementing the Network Standards may also be published to the website. Including but not limited to:

− tools that support Rail Safety Workers daily activities in the Network

− information that helps familiarise Rail Safety Workers with the requirement of the Operational Standards

− information for contractors and other organisations that need to operate safely in the Trains Network

− advertise changes to the Network Standards, or publicise areas of safety concern with their implementation.

Distribution lists

The Network Rules Unit is responsible for maintaining distribution lists for Operational Standards.

Line managers must make sure Network Rules Unit is advised of changes affecting the distribution of Operational Standards.

> **Note**
>
> Digital publications that are downloaded and locally printed are considered outside Sydney Trains control process and are therefore 'uncontrolled copies'. Use of uncontrolled copies for Operational and Safeworking purposes must be checked for currency on the RailSafe website.

Step 3 Use standards and procedures

All trained and qualified Rail Safety Workers carrying out railway operations on the Network must undertake their activities in accordance with the applicable standards specified in operational procedures.

Line managers must make sure Sydney Trains Rail Safety Workers are:

− trained in relevant operational procedures as required

− instructed about relevant changes to Operational Standards

− monitored for compliance with the requirements outlined in Operational Standards when performing activities.

Step 4 Monitor and review standards and procedures

The Director Safety and Standards will establish and maintain a schedule to make sure that Operational Standards are monitored and reviewed at least once every 3 years.

The Network Rules Unit will:

− initiate reviews of Operational Standards in the following circumstances:

  − changes to legislative and/or relevant international, Australian and Asset Standards Authority (ASA) standards

  − the adoption of new technologies and/or industry best practice

  − introduction of new or altered railway assets

  − gaps identified by audits or incident investigations

  − changes to the working environment (e.g. immediate risk to safety identified)

  − written requests to create new and/or amend or withdraw existing Operational Standards.

− manage changes to Operational Standards in accordance with Step 1 - Establish and Maintain Operational Standards

− maintain change records (e.g. written requests for change, SCARDS, etc.), consultation records and Operational Standards Sign-Off forms in accordance with SMS-09-SP-3021 Records Management.

Responsibility summary

Director Safety and Standards	− make sure that Operational Standards are created, amended, maintained and reviewed as necessary
	− make sure that current Sydney Trains Operational Standards are available to workers and other organisations carrying out railway operations on the Network
	− authorise Operational Standards for publication and use
	− establish a process to make sure that all requests for change are recorded and considered
	− notify ONRSR regarding any changes to Network Rules or Network Procedures.

Network Rules Unit	− facilitate the safety change, consultation and approval processes when establishing new or amending/withdrawing existing Operational Standards
	− engage stakeholders to identify the training needs associated with new and/or amended Operational Standards
	− make sure that Operational Standards are reviewed every 3 years or earlier as required
	− establish and maintain distribution lists for Operational Standards.
Line Managers	− make sure that workers are instructed about changes to Operational Standards.
	− make sure that workers apply relevant Operational Standards to their work.

Further information

SMS-10-SP-3070 Communication and Consultation

SMS-07-SP-3067 Manage Safety Change

SMS-11-SP-3011 Training and Competence

SMS-09-SP-3021 Records Management

SMS-10-OP-3091 Communicating Safety Information

Version Control

Version	Change from previous	Date	Comment
1.0	First release of Sydney Trains SMS	01/07/2013	Launch of Sydney Trains SMS documents
2.0	Updated	20/12/2013	Head of Safety replace with Group Manager Rules and Compliance Minor technical edits

Version	Change from previous	Date	Comment
3.0	Updated	26/08/2016	Identified Stakeholder Groups for consultation. Manager Network Rules and Projects included in Approval and publication process. Table 2 amended to accommodate electronic only documents Inserted purpose for Communicating Operational Standards information by SafeTracks or RailSafe website.
4.0	Updated	29/04/2017	Group Manager Safety and Accreditation to General Manager Safety and Standards. The Sydney Trains Network to the Network. Updated Note for distribution lists to reflect use of digital publications. Table 2 amended to accommodate digital publications.
4.1	Updated	17/03/2020	General Manager Safety and Standards to Director Safety and Standards. Minor technical edits.