This checklist is to be used to record Safety Management System (SMS) arrangements with contractors who are accredited rail transport operators (RTO).

Where the table has been greyed out in the Contractor Documents column, this denotes ARTC documents that are mandatory for all contractors.

SMS arrangements i.e. documents that need to be applied, may be specified in other documents. If so, indicate below which documents includes these arrangements (no need to duplicate).

Below are core SMS elements that are considered relevant to the majority of standard contracted works (Rail). If the element/requirement noted below is not applicable to the work being carried out, mark as N/A. Additional information may be required to meet WHS Legislation obligations and where the nature of the works carried out are high risk or complex. complex nature or high.

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| --- | --- | --- | --- |
| **Contractor:** |  | | |
| **RIM:** |  | **RSO:** |  |

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| --- | --- | --- | --- |
| **SMS Element**  [As per RSNL National Regulations Schedule 1] | **Description of requirement**  [Based on requirements given in RSNL National Regulations Schedule 1] | **ARTC Documents**  [List ARTC documents that apply – some documents have been included as examples, delete if not applicable and/or list other specific ARTC documents that apply] | **Contractor Documents**  [List Contractors documents that apply in lieu of or in addition to nominated ARTC documents] |
| **Safety Policy** | A policy that commits to ensuring safety and the development and maintenance of a positive safety culture and the continuous improvement of all aspects of the SMS.  ARTC’s goal is that no-one is harmed at work or on our network. ARTC’s safety policy details the commitment of how it will support a safe and healthy workplace, and what it requires from all workers and visitors. | COR-PO-001 Safety Policy |  |
| **Safety Culture** | Methods to promote and maintain a positive safety culture. | Fatal & Severe Risk Program  Safe Work Interactions |  |
| **Training and instruction** | Processes to ensure rail safety workers understand their role and responsibilities as part of the SMS, and how information, instruction and training on new work practices, procedures, policies and standards, specified hazards and relevant control measures will be provided. |  |  |

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| **Risk management** | Procedures for the management of risk, so far as is reasonably practicable, to ensure risks are identified, assessed and eliminated or controlled.  A risk register to record identified risks to safety, details of how they have been assessed and a description of any elimination or risk control measures that will be used, including, where appropriate, details of who is responsible for implementing the measures and a reference to the general location(s) in the SMS where more detail of the measures can be found.  ARTC’s Risk Management process, procedure and associated work instructions, detail the process that ARTC uses for the management of risks and defines the associated systems and tools available.  Worksite risk assessments are undertaken using a pre-work brief template and a worksite protection plan template when work is being undertaken in the rail corridor. | RM-01 Risk Management [and associated work instructions]  COR-PR-029 Pre-Work Brief and Worksite Protection Plan Procedure​  COR-FM-058 Pre​Work Brief  COR-FM-059 Worksite Protection Plan  COR-FM-061 Worksite Protection Checklist  COR-FM-060 Worksite Log and Diary |  |
| **General engineering and operational systems safety requirements** | A documented set of engineering standards and procedures, and operational systems, safety standards and procedures covering rail infrastructure, rolling stock and operational systems, and the interface between any two or more of them, if relevant.  Details of the implementation and updating of these documents.  Design control and verification procedures.  For rail infrastructure and rolling stock, systems, procedures and standards for engineering design, construction and installation, implementation and commissioning, monitoring and maintenance, system operation, modification, decommissioning or disposal.  Safework procedures.  **List all the engineering standards, including infrastructure, plant, rolling stock, and safeworking rules that are applicable to the work being carried out.**  **List any network notices that may be relevant.** | [Engineering Standards (including waivers and type approvals) and Procedures   * Track & Civil * Signalling * Electrical * Plant & Equipment * Rolling Stock * Multi Discipline] |  |
| [Network Rules & Procedures / Codes of Practice] |  |
| [Operational Standards (TOC Manual / NIC Plan / RAS Manual)] |  |
| [Network Notices (SAFE Notices, Train Notices)] |  |
| **Safety Interface Coordination** | To establish agreements to effectively manage risks to safety at interfaces.  **List any Safety Interface Agreement(s) (SIA) that is in place for any interfaces that exist in area of work. All executed SIAs are published on the ARTC intranet.** |  |  |
| **Management of notifiable occurrences** | Systems and procedures for reporting notifiable occurrences to the specified authority within set timeframes and including required information, managing the scene of a notifiable occurrence and preserving evidence, and managing all notifiable occurrences including determining which will be investigated.  ARTC’s processes cover what needs to be considered and what action needs to be taken if an incident occurs, how incidents reported to Network Control are assessed and managed, and what and how incidents are investigated. | Incident Management  COR-PR-034 Event Response and Notification  COR-PR-035 Event Investigation |  |
| **Rail safety worker competence** | Procedures and standards to ensure rail safety workers who carry out rail safety work have the competence to do so.  ARTC’s competency management system details rail industry worker roles, relevant competencies and specific requirement for undertaking work on the ARTC network. | Rail Safety Worker Competency-Contractors  PEO-GL-001 Business Rules for Working in ARTC Rail Corridor  [RSW Competency Matrices] |  |
| **Emergency Management** | Plans, systems and procedures to respond to emergencies.  ARTC’s process and procedure describes how ARTC will respond to and manage emergencies requiring a significant and coordinated response on its network. | Emergency Management – Rail Corridor  RLS-PR-044 Emergency Management |  |
| **Health and fitness** | A program, that complies with prescribed requirements, for the management of health and fitness for rail safety workers who carry out rail safety work.  ARTC’s policy, process and procedure outline requirements relating to health and fitness, including health assessments. | COR-PO-003 Health and Fitness Policy  WHS-PR-421 Health and Fitness  Fitness for Work – Health and Wellbeing |  |
| **Drugs and alcohol** | A program, that complies with prescribed requirements, to ensure rail safety workers do not carry out rail safety work while impaired by alcohol or drugs.  ARTC’s policy, process and procedure outline how it will ensure a drug and alcohol free workplace. | COR-PO-002 Drug and Alcohol Policy  WHS-422 Drugs and Alcohol  Fitness for Work – Drugs and Alcohol |  |
| **Fatigue risk management** | A program, that complies with prescribed requirements, for the management of fatigue of rail safety workers who carry out rail safety work.  ARTC’s policy, process and procedure outline how it will control potential risks associated with fatigue. | COR-PO-004 Fatigue Policy  WHS-WI-423 Fatigue |  |
| **Accessing the ARTC rail corridor** | ARTC’s process and procedure sets out the requirements and the competency and communication protocols for entering any rail corridor managed by ARTC. | RLS-PR-003 Protocol for Entering the ARTC Rail Corridor  Requirements for Entering the Rail Corridor |  |

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| **TO BE SIGNED BYARTC AND THE CONTRACTOR** | | | | | | |
| **ARTC Representative Name:** |  | **Signature:** |  | **By signing this I confirm that SMS arrangements have been reviewed and agreed with the Contractor** | **Date:** | /  / |
| **Contractor Representative Name:** |  | **Signature:** |  | **By signing this I confirm that SMS arrangements have been reviewed and agreed with the ARTC** | **Date:** | /  / |