

# rail safety update

NEWS AND UPDATES FOR THE RAIL  
INDUSTRY AND SAFETY ASSESSORS



NZ TRANSPORT AGENCY  
WAKA KOTAHI

Autumn 2011

## 2011 in focus

It feels like the New Year has just started, however, we have already seen the first quarter of 2011 pass us by. So what has the Rail Safety team achieved this first quarter, and more to the point, what will we be focusing on for the next 8 months?

The key to our 2011 plan started back in January where we set out to establish a decisive way forward for the calendar year. The team started off understanding exactly what we wanted to achieve, which naturally was to set out 'SMART' objectives (specific, measurable, achievable, realistic and time-bound).

However, the real point of difference was that we didn't set out to identify a series of new bright ideas, but on the project inputs. Thus we focused on the intelligence that has already been provided to us through a review of past projects, TAIC investigations, assessments of rail participants, occurrence reporting and most importantly the feed back from the 2010 customer survey (yes, your thoughts).

Having completed the analysis of the input data, the Rail Safety team has established the following key projects for 2011:

- Improve external communications
- Review and improve RIS (the NZTA rail information system)
- Update licensing guidelines
- Establish a system for annual safety performance reporting
- Continue with closure of TAIC recommendations
- Conduct a series of industry seminars
- Review assessor performance and effectiveness
- Investigations of repeat incidents and accidents.

There are a number of other internal projects that have also been introduced which will also improve the effectiveness of the Rail Safety team. We will update you on the progress over future issues of *rail safety update*.

A handwritten signature in black ink, appearing to read 'John Freeman'.

John Freeman  
Rail Safety Manager

## Reporting of incidents

In recent times there have been a few instances of incidents not being reported to the NZTA in a timely manner.

The definition of an incident is (broadly) any event which could have placed a person at risk of serious injury or death, or could have placed property at risk of significant damage. It is acknowledged that we have a reasonably robust reporting procedure in National Rail System Standard 5 (NRSS/5) for KiwiRail and other NRS operators but for other heritage and industrial operators it is often a judgement call.

To assist with this we request that all operators read carefully the definitions of accidents and incidents in

the Railways Act 2005: [www.legislation.govt.nz/act/public/2005/0037/latest/viewpdf.aspx?search=ts\\_act\\_Railways+Act\\_rese&p=1](http://www.legislation.govt.nz/act/public/2005/0037/latest/viewpdf.aspx?search=ts_act_Railways+Act_rese&p=1) and that they seek further guidance on reporting timeframes from the *Rail Safety Licensing and Assessment Guidelines*, Appendix 2 [www.nzta.govt.nz/resources/rail-safety-licensing-safety-assessment-guidelines](http://www.nzta.govt.nz/resources/rail-safety-licensing-safety-assessment-guidelines) (click the links to be taken to the web page).

All accidents and significant incidents must be reported to the NZTA on call number within 2 hours of the incident. The number is **(04) 499 1858**. This verbal report should be followed up with the normal written report. Other incidents should be reported by the end of the next business day.

# Assessment report update

Following some work the NZTA undertook with all our rail safety assessors in late 2009, one of the more noticeable changes was the introduction of a standard reporting format.

This has been successful, but in the continuous improvement environment we work together in, the time has come to update the reporting document used by the assessors. The NZTA has reviewed the use of the report and instigated some changes to make it clearer and more user friendly.

Rob Gould will be sending out a letter and the new report format to all the assessors very soon. The letter will cover the key modifications and provide some useful information for the assessors to utilise.

Rail licence holders should expect to see the new report in use for assessments beginning from early April. As an operator, you will not see too many changes to the report layout - ie the basic structure is the same.

One key change for you though is that once the revised report is in use the NZTA will be focussing on proper response and closure of conditions raised during the assessment - the four stage condition clearance process. This is all explained in the guidance information contained in the report, but it is not new news to you.

The NZTA spoke about the four stages of condition clearance at the 2010 FRONZ Annual Conference and also published this information in our August 2010 newsletter.

That newsletter is also available on our website alongside this one if you have not retained the email copy previously sent to you. Please read that article again and familiarise yourself with the information as that is the expectation the NZTA will be following moving forward.

# Risk assessment standards

Just a gentle reminder to everyone to ensure you keep your risk assessment standards and references up to date. Some of you may have references to AS/NZS 4360:2004 Risk management.

For those of you who were not aware, that standard has been superseded by AS/NZS 3100:2009 Risk management - principles and guidelines. If you reference the old AS/NZS 4360 standard you should check this carefully during your next regular risk review, and consider updating your risk management process to align with the newer standard.

There are also handbooks available to assist you with implementing AS/NZS 3100:2009. One such guide is specifically focussed on managing risk in not-for-profit organisations which may be highly relevant for some of you. More information on the standard and guidance material is available from Standards NZ ([www.standards.co.nz](http://www.standards.co.nz)).

For those licence holders operating on the National Rail System (NRS) - and anyone else who references National Rail System Standards (NRSS) in their documents - please note that NRSS/4 Risk Management is also being revised to align with the revised AS/NZS standard on risk management, so those operators will also have to update their risk registers and documentation to ensure ongoing compliance with NRSS/4 in the future too.

## TAIC reports

The principal purpose of the Transport Accident Investigation Commission (TAIC) is to determine the circumstances and causes of accidents and incidents with a view to avoiding similar occurrences in future, rather than to ascribe blame to any person.

TAIC investigates significant aviation, rail, and marine accidents and incidents. TAIC does not investigate road events except when the circumstances may have significant implications for rail safety.

TAIC rail reports are viewable online at [www.taic.org.nz](http://www.taic.org.nz).



# Introducing Maree

## Introducing Maree Henderson, Rail Systems Advisor.

Maree was born in Masterton and comes from a strong quality assurance background. She has worked in various organisations in both New Zealand and Australia in quality management and process improvement roles.

Maree moved to Australia in 2001 and has moved back to New Zealand to take up the role in the Rail Safety team. In her spare time she follows motor racing, rugby/league and cricket.

Her main focus will be analysing industry data and trends. She will also be documenting, improving and implementing standard operating procedures for the Rail Safety team and analysing incident data. She will also manage a small client portfolio. Welcome to the team Maree!



## Correspondence to the NZTA

These days, we prefer to receive correspondence electronically. All correspondence is now stored on an electronic storage system here at the NZTA, so sending your letters, files or reports electronically saves us a bit of time.

Please send all of your electronic correspondence to your client manager and please 'cc' our Rail Safety Manager - [john.freeman@nzta.govt.nz](mailto:john.freeman@nzta.govt.nz). However, if electronic mail is not available for your organisation 'snail mail' will still be answered!



## Our contact details

For general enquiries, or contact information about the NZ Transport Agency please check our website [www.nzta.govt.nz](http://www.nzta.govt.nz) or email us at [info@nzta.govt.nz](mailto:info@nzta.govt.nz)

NZ Transport Agency  
Victoria Arcade  
44 Victoria Street  
Private Bag 6995  
Wellington 6141

NZTA reception is located on level 2  
The Rail Safety team is located on level 3  
phone: (04) 894 5400 (option 4 - National Office)

### Rail Safety Notification Hotline

(24 hours 7 days a week)  
Phone (04) 499 1858

Rail enquiries email us at [railregulation@nzta.govt.nz](mailto:railregulation@nzta.govt.nz)

### The Rail Safety team

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