

Guidance for Safety Performance Reports

Rail Safety Regulators' Panel National Guidance

This guidance has been developed by the Rail Safety Regulators' Panel for rail safety regulators, rail industry stakeholders and others to support consistent interpretation and application of the national model rail safety legislation. The use of this Guidance material is not mandatory. Rail safety regulators may publish appendices to this guidance to provide information about local variations to the national model rail safety legislation which apply in a particular state or territory.



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Foreword

The Rail Safety Regulators' Panel (RSRP) consists of the Rail Safety Regulators from all States and the Northern Territory of Australia and New Zealand.

The key role of the RSRP is to provide advice on rail safety regulatory issues to help enhance safety and regulatory outcomes and work collaboratively to facilitate consistent application of the intent of the national model legislation.

Acknowledgements

RSRP Guidance material is developed through a collaborative process between jurisdictions and industry.

Disclaimer

This publication contains information regarding rail safety. It identifies references to possible obligations under the national model rail safety legislation. To ensure compliance with legal obligations reference must be made to the appropriate Acts that operate in the relevant jurisdiction. When reading this publication reference should always be made to the latest laws. Information on the latest laws can be checked on the relevant jurisdiction's website or via the links provided within this website.

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1. Overview

The purpose of this document is to provide guidance to primarily commercial rail transport operators on the preparation and submission of safety performance reports as required under national model rail safety laws. This guidance is not aimed at heritage operators.

Chapter 2 provides an overview of the relevant provisions of the national model rail safety laws, and variations and additions to these provisions in State and Territory rail safety acts and regulations.

Chapter 3 sets out the content requirements of safety performance reports and provides guidance on the content to be included in such reports.

Chapter 4 provides advice on developing key performance indicators for safety performance reports.

Chapter 5 covers the timeframes and process for submitting safety performance reports to rail safety regulator(s), as well as the process for seeking the regulator(s) agreement for alternative reporting periods and submission deadlines.

The following abbreviations and acronyms are used throughout this guidance.

RSR	Rail Safety Regulator
RSB	National Rail Safety Model Bill 2006
Regulations	National Rail Safety Model Regulations 2006
SMS	Safety Management System
SPR	Safety Performance Report

2. Safety Performance Reports

This Chapter provides guidance on the legislative requirements relating to SPRs.

2.1 General requirements

The legislation (RSB s60) requires rail transport operators to prepare a SPR for each reporting period. The legislation defines “reporting period” as a calendar year (1 January until 31 December) or such other period as agreed from time to time by the RSR and the operator, and requires a SPR to be submitted within 6 months after the end of each reporting period.

The legislation (RSB s 60(1)) requires SPRs to contain:

- a description and assessment of the safety performance of the rail transport operator’s railway operations,
- comments on any deficiencies in, and any irregularities in, the railway operations that may be relevant to railway safety,
- descriptions of any safety initiatives undertaken during the reporting period or proposed to be undertaken in the next reporting period,
- any other information or performance indicators specified in the Regulations.

The rail transport operator’s railway operations includes railway operations carried out for or on behalf of the rail transport operator.

The legislation (Regulations cl 20(4)) requires that safety performance reports must include a summary of the outcomes of the review of the SMS. At this stage, the Regulations do not specify performance indicators to be included in SPRs. Instead, guidance on performance indicators is provided in Chapter 4 of this Guidance.

The legislation (RSB s60(2)) provides that it is an offence for a rail transport operator to fail to submit a SPR which complies with the requirements of the legislation by the specified deadline.

The legislation (RSB s46(c) and Regulations cl 29) requires SPRs to be available for public inspection at the rail transport operator's registered office or principal place of business.

2.2 Review of the SMS

Under the legislation (RSB s59) rail transport operators are required to review their SMS in accordance with the requirements of the Regulation.

The legislation (RSB s57(2) and Regulations cl 20(2)) requires rail transport operators to consult, so far as is reasonably practicable, with workers and their representatives on how the SMS could be improved before it is reviewed. The legislation (Regulations, Schedule 1, Part K) also requires operators to have systems and procedures in their SMSs to ensure consultation occurs.

Note: the consultation requirements in the legislation may be subject to local variations.

In summary, the legislation (Regulations cl 20) requires that the review of the SMS must:

- assess the effectiveness of the SMS, taking into account:
- records of notifiable occurrences and breaches of the SMS,
- recommendations arising from audits and investigations, and
- issues arising from prohibition or improvement notices,
- assess the views of workers and their representatives on how the SMS could be improved, and
- identify deficiencies in the SMS and develop plans to remedy the deficiencies and between the rail transport operator and the RSR (RSBs 59).

Procedures for conducting the review of the SMS and documenting its outcomes must be included in the rail transport operator's SMS (Regulations Schedule 1, Part F).

2.3 National Rail Safety Bill & Regulation SMS Provisions

The required contents of an SMS are set out in Schedule 1 of the Regulation. SMS requirements relevant to the preparation of SPRs include requirements for:

- systems and procedures for the review of an SMS in accordance with section 59 of the RSB and clause 20 of the Regulations,
- documentation of the matters set out in clause 20(3) of the Regulations (Schedule 1, Part F),
- the use of key performance indicators to determine the effectiveness of the SMS (Regulations, Schedule 1, Part G),
- an audit program to determine whether the railway operations comply with the SMS and to determine the effectiveness of the SMS (Regulations, Schedule 1, Part H),
- systems and procedures to ensure consultation occurs when the SMS is reviewed or varied (Regulations, Schedule 1, Part K).

The *National Rail Safety Guideline for Preparation of a Rail Safety Management System* published by the National Transport Commission provides detailed guidance on the contents of an SMS and processes for developing an SMS.

2.4 State & Territory Variations to National Model Provisions

Some State and Territory rail safety legislation includes requirements for SPRs which differ from RSB and Regulations provisions.

NSW and Victorian "local variations" to SPR requirements are outlined below. At the time this guidance was published, no other States or Territories had enacted or proposed variations to RSB and Regulation provisions for SPRs.

Rail transport operators are advised to seek advice from the RSRs of States and Territories in which they are accredited to determine any additional local requirements for SPRs.

2.4.1 Additional NSW Provisions

In addition to the RSB and Regulation provisions indicated above, the NSW *Rail Safety (General) Regulation 2008* (clause 17) requires that SPRs must include:

- details of the operation of the rail transport operator's drug and alcohol management program (which under NSW Regulations must include testing arrangements), and
- information about the operation of the rail transport operator's fatigue management program, including the operation and review of monitoring procedures related to any exemptions granted to the rail transport operator from the maximum working hours for train drivers specified in Schedule 2 of the NSW Act.

2.4.2 Additional Victorian Provisions

Instead of the RSB and Regulation provisions indicated above, the Victorian *Rail Safety Regulation 2006* (clause 49) requires that "annual reports" include information about:

- the extent to which the rail operator satisfies the key performance targets as specified in its SMS for the year,
- the incidence of notifiable accidents or incidents and analyses of safety trends,
- recommendations (if any) of audits conducted in accordance with the SMS,
- recommendations (if any) of the findings of inspections conducted in accordance with the SMS,
- findings of inquiries and investigations into railway accidents or incidents and subsequent implementation of actions to prevent a recurrence of any such occurrence,
- a summary of changes made to the SMS in the previous financial year.

2.5 Difference between Rail Safety and Occupational Health and Safety Risks

The legislation (RSB s28(1)) specifies that a rail transport operator must ensure, so far as is reasonably practicable, the safety of the operator's railway operations. In contrast, under occupational health and safety legislation employers are required to ensure, so far as is reasonably practicable, the safety of their employees and other people at the employer's place of work.

SPRs must primarily deal with rail safety risks associated with the rail transport operator's railway operations.

3. Contents of Safety Performance Reports

This Chapter provides guidance on the structure and contents of SPRs, which encompasses RSB and Regulations provisions for both the conduct of annual reviews of the SMS and the contents of SPRs.

The Chapter indicates a proposed structure for SPRs which includes nine sections:

1. Executive Summary
2. Index
3. General information
4. Description and assessment of safety performance for the reporting period
5. Deficiencies or irregularities in railway operations relevant to safety
6. Safety initiatives in the reporting period
7. Safety initiatives proposed for the next reporting period
8. The outcomes of the SMS review conducted during the reporting period
9. Jurisdiction specific reporting requirements

3.1 Executive summary

It is recommended that SPRs contain an executive summary that contains key points on how rail transport operators have managed rail safety risks during the reporting period depending on the size and complexity of railway operations. The executive summary should be concise and clearly bring to the attention of the reader the highlights of the SPR, and provide key safety performance advice against selected KPIs.

3.2 Index

It is recommended that SPRs contain an index section that allows information to be easily located.

3.3 General information

It is recommended that SPRs include the following items of introductory and general information:

- the name of the rail transport operator as indicated in their Notice(s) of Accreditation,
- the States and Territories in which the rail transport operator is accredited,
- the reporting period covered by the SPR,
- the name and contact details of a person who has been appointed by the rail transport operator to deal with any queries that RSR(s) may have in relation to the SPR, and
- evidence that the SPR has been endorsed by the Board of Directors or the governing body of the operator.

3.4 Description and assessment of safety performance for the reporting period

Rail transport operators should consider including in this section of the SPR data tables and/or graphs indicating safety performance against the KPIs identified in the rail transport operators SMS (as per RSB s60(1)(c)(i)).

It is appropriate for data and/or graphs to be accompanied by explanatory notes and analysis of the performance outcomes. For example, this explanatory information may include:

- key factors affecting the rail transport operator's performance against the KPIs and trends in KPI outcomes over time (eg significant changes in the nature and extent of the rail transport operator's railway operations),
- reasons for any significant movements (improvements or deterioration) in the rail transport operator's performance against their KPIs,
- where relevant, comments on the nature, severity and consequences of significant safety incidents which have influenced performance against the KPIs (eg brief descriptions of incidents resulting in fatalities or serious injuries; causal factors associated with increased incidence of specific types of safety incidents).

To ensure information provided about the KPIs is clearly understood, it is recommended that the SPR include advice about the definition of the terms used to describe the KPIs, why KPIs were selected and the nature and source of the data used for the KPIs.

As with all aspects of the rail transport operator's SMS, the scope, nature and number of KPIs reported against, should reflect the scope and nature of the rail transport operator's railway operations. Further advice on the KPIs suitable for inclusion in rail transport operators' SMSs and SPRs is available in Chapter 4.

3.5 Deficiencies or irregularities in railway operations relevant to safety

It is recommended that this section of the SPR include any significant deficiencies or irregularities identified during internal or external audits or monitoring processes of an SMS, or noted in connection with any SMS compliance activities across the rail transport operator.

A summary of deficiencies or irregularities reported which prompted RSRs to issue any prohibition or improvement notice during the reporting period may also be provided in the SPR. In particular, any notice which specifically indicated deficiencies or irregularities in the SMS or its consistent implementation across the rail transport operator's railway operations may be reported.

3.6 Safety initiatives in the reporting period

It is recommended that this section of the SPR include a description of significant safety initiatives undertaken by the rail transport operator during the reporting period (as per RSB s60(c)(iii)).

For example, this section of the SPR may include significant revisions or additions to the SMS which were implemented during the reporting year, including SMS changes arising from:

- previous SMS reviews,
- changes to rail safety legal requirements,
- changes to the scope and nature of the rail transport operator's railway operations during the reporting year,
- the outcomes of investigations of serious safety incidents concerning the rail transport operator's operations or comparable railway operations,
- corporate restructuring, mergers, acquisitions, divestments etc,
- changes in the use of contractors.

The level of detail provided should be sufficient to convey the relevance and significance of the initiatives to the overall safety performance of the rail transport operator.

It is recommended that the SPR also include information on significant delays and/or barriers to implementing significant safety initiatives and SMS changes, and information on how their effectiveness has, or is proposed to be, assessed.

Rail transport operators may also wish to use this section to highlight industry wide issues which have impacted on safety performance, including participation in initiatives led by RSR(s), industry associations or research institutions.

3.7 Safety initiatives proposed for the next reporting period

It is recommended that this section of the SPR outline significant safety initiatives which will be developed or implemented during subsequent reporting periods (see RSB s60(1)(c)(iii) and Regulations cl 20(3)(i)).

In general, rail transport operators are advised to focus in this section on the implementation of remedial actions to address significant SMS deficiencies indicated by the annual SMS review.

It is also appropriate to include significant safety issues or SMS changes expected to arise from known future changes to:

- rail safety legal requirements and "network rules",
- scope and nature of the rail transport operator's railway operations,
- interfaces with other rail transport operators,
- corporate restructuring, mergers, acquisitions, divestments etc, and
- the extent of the use of contractors.

In relation to these types of changes, it is recommended that this section of the SPR include:

- the anticipated impact of the initiatives on future safety performance, including the nature of the risks they address and details of assessments of those risks,
- key milestones and timeframes for the implementation of the initiatives.

3.8 Outcomes of the SMS review conducted during the reporting period

It is recommended that this section of the SPR summarise the outcomes of the annual review of the SMS, and identify any significant deficiencies or irregularities in the conduct of railway operations (as per RSB s 60(1) (c) (ii) and Regulations cl 20).

For example, this section of the SPR may include:

- the key findings and proposed remedial actions or initiatives arising from the SMS review, including significant deficiencies in the SMS and deficiencies in compliance with the SMS across the rail transport operators railway operations
- the key findings and the proposed response to the outcomes of formal SMS audits
- the outcomes of investigations into significant incidents (either occurring in, or relevant to the rail transport operator's railway operations) that were finalised or published during the reporting year
- the response to any prohibition or improvement notices issued to the rail transport operator during the reporting period, particularly notices which indicated deficiencies in the SMS or its consistent implementation across the rail transport operator's railway operations
- deficiencies in the SMS and suggestions for improving the SMS that were identified during consultation with workers and their representatives as part of the annual review of the SMS, including a description of these consultative processes undertaken.

It is suggested that all the above matters be included in the SPR. Where no significant safety issues requiring remedial action were identified during the course of the SMS review process, it may be noted that the item was considered during the review and that no significant safety issues were identified.

The type of safety issues included in this section of the SPR, and the level of detail provided will vary according to the size and nature of the rail transport operator's railway operations. It is suggested that matters be selected for inclusion in the SPR based on an assessment of their relevance and significance to the overall safety performance of the rail transport operator.

3.9 Jurisdiction specific reporting requirements

Rail transport operators who hold accreditation in NSW or Victoria must also report on the requirements specified in sections 2.4.1 and 2.4.2. Rail transport operators are advised to consult RSRs in other jurisdictions to obtain details of any specific reporting requirements.

4. Development of Key Performance Indicators

4.1 Relevant Legal Provisions

Under the RSB and Regulations (Schedule 1 Part G), the SMS of rail transport operators must include:

- systems and procedures to ensure the SMS is effective by using Key Performance Indicators (KPIs), and
- systems and procedures to ensure the collection, analysis, assessment and dissemination of safety information held by the rail transport operator.

The *National Rail Safety Guideline for Preparation of a Rail Safety Management System* (Section 2.10) indicates that rail transport operators should consider including in their SMS a range of:

- "Positive" or "lead" indicators, or those which measure activities undertaken to improve safety performance, for example, the number of safety audits conducted, or competence checks undertaken, or the number of drug and alcohol tests conducted; and

- “Outcome” or “lag” indicators, or those which measure safety outcomes, for example the number of non-compliances revealed by a safety audit, or the number of positive results of drug tests, or injuries sustained, or signals passed at danger.

Details of the rail transport operator’s performance against the KPIs identified in their SMS should be included in their SPR.

This chapter sets out some general principles for the selection and presentation of KPIs in SPRs, and examples of KPIs which may be considered suitable for inclusion in a rail transport operator’s SPR are provided at Appendix A.

4.2 Principles for selecting KPIs

For any KPI to be effective it must be objective and easy to measure, relevant to the activity being measured, provide an immediate indicator of the level of performance, be cost effective, and be understood by the workgroup whose performance is being measured.

It is recommended that the following principles are considered when selecting KPIs for inclusion in SPRs:

- **Relevant to high-level rail safety objectives**

While measurable performance indicators can be adopted for a virtually limitless range of safety management processes, the purpose of “key” performance indicators is to provide readily understandable information regarding the overall objectives of the SMS (eg to reduce the incidence and consequences of injuries and illnesses arising from railway operations).

It is recommended that the SMS and SPR include a relatively small and manageable number of KPIs which reflect the overall safety performance of the rail transport operator, and the effectiveness of key elements or processes of the SMS which contribute to the prevention of “high-consequence” safety incidents.

- **Clearly defined and unambiguous terms and concepts**

The KPIs used in SPRs should be clearly defined (including concise and unambiguous definitions of key terms used to define the KPIs). This will ensure the KPIs are readily understandable to relevant stakeholders and can be clearly related to the overall objectives of the SMS.

- **Measurable over time**

The KPIs should be based on quantifiable data items that can be easily collected, stored and analysed in the medium to long term.

This will enable movements in performance outcomes to be monitored over time (“trend analysis”) and compared (or “benchmarked”) against similar railway operations or the railway industry as a whole.

- **Reflect outcomes rather than outputs**

To control the effects of changes in the size or volume of railway operations and activities, the KPIs should be expressed in relative terms, rather than absolute terms.

Rather than relying on simple counts of the number of incidents, activities or processes, the KPIs included in SPRs should measure their incidence or rate, relative to a quantifiable measure of the volume of relevant activities, or as a percentage of a target performance level.

A range of KPIs that are considered suitable for inclusion in SPRs can be found at **Appendix A**. Examples of both “outcome” KPIs and positive performance KPIs are provided.

5. Timeframes & process for submitting Safety Performance Reports

The legislation (RSB s60) requires rail transport operators to prepare a SPR for each reporting period. The legislation defines “reporting period” as a calendar year (1 January until 31 December) and requires a SPR to be submitted within 6 months after the end of each reporting period.

Under the RSB provisions, rail transport operators and RSRs may agree to change the length and/or timing of the reporting period and the submission dates for SPRs. Changes will generally be negotiated between operators and RSRs through applications for accreditation or variation to accreditation.

This Chapter outlines processes for submitting SPRs, and for seeking alternative SPR timeframes for:

- applicants for accreditation in one State or Territory and rail transport operators accredited in one State or Territory, and
- applicants for accreditation in two or more States or Territories and rail transport operators accredited in two or more States or Territories.

5.1 Operators accredited in one jurisdiction

5.1.1 Submission deadlines

For operators accredited in one jurisdiction only, the reporting period will generally be the calendar year (1 January until 31 December) with the submission of the SPR due within 6 months after the end of the reporting period. An accredited rail transport operator must submit their SPR to the relevant RSR in accordance with the submission deadline.

In general, a written application to vary the SPR submission date is not required in cases where the rail transport operator is unable to comply with their existing SPR submission deadline for a particular reporting period. In

these cases, it is recommended that the rail transport operator advise the RSR in writing of the reasons for the delay and the expected submission date. However, it should be noted that failure to submit a SPR prior to the deadline is an offence under the RSB, and may result in enforcement action.

5.1.2 Alternative timeframes – applicants for accreditation

New applicants for accreditation in one jurisdiction only should indicate in their application if they are seeking alternative SPR reporting periods and/or submission dates to those indicated in the rail safety legislation of the State or Territory in which they are seeking accreditation.

Approved SPR timeframes may be included in either the Notice of Accreditation, or advised in writing to the rail transport operator, depending on the State or Territory in which accreditation is sought.

5.1.3 Alternative timeframes – currently accredited rail transport operators

If rail transport operators accredited in one jurisdiction only wish to vary the SPR reporting period and/or submission date approved by the RSR and/or listed in their Notice of Accreditation, they are advised to contact the RSR to discuss the proposed change.

The RSR will advise the information required to be included in a written application seeking approval of the proposed alternative SPR reporting period and/or submission date.

In some States or Territories the current SPR reporting period and submission date may be included in the rail transport operator's Notice of Accreditation. In these cases, the RSR may require a formal application for variation of accreditation in order to change the SPR timeframes.

Approved changes to SPR reporting periods and/or submission dates may be included in either a revised Notice of Accreditation, or advised in writing to the rail transport operator, depending on the jurisdiction.

5.2 Operators accredited in two or more jurisdictions

5.2.1 Submission deadlines

Rail transport operators who are accredited in two or more jurisdictions will only be required to prepare a single SPR covering all their accredited railway operations, which must be submitted to each relevant RSR.

The reporting period will generally be the calendar year (1 January until 31 December) with the submission of the SPR due within six months after the end of the reporting period. A rail transport operator accredited in two or more jurisdictions must submit their SPR to each relevant RSR in accordance with the submission deadline.

Formal applications to vary the SPR submission date are not required in cases where the rail transport operator is unable to comply with their existing SPR submission deadline for a particular reporting period. In these cases, it is recommended that the rail transport operator advise relevant RSRs in writing of the reasons for the delay and the expected submission date. However, it should be noted that failure to submit a SPR prior to the deadline is an offence under the RSB, and may result in enforcement action.

5.2.2 Alternative timeframes – applicants for accreditation

New applicants for accreditation in two or more jurisdictions should indicate in their applications if they are seeking alternative SPR reporting periods and/or submission dates to those indicated in the RSB (and/or the rail safety acts of the States and Territories in which they are seeking accreditation).

The request for alternative SPR timeframes will be determined by the relevant RSRs in consultation with the rail transport operator. Approved changes to SPR reporting periods will be included in the Notices of Accreditation.

5.2.3 Currently accredited rail transport operators

In the first instance, rail transport operators who are currently accredited in two or more jurisdictions are advised to contact their 'principal regulator' to discuss any proposed applications to vary their SPR reporting period and/or submission date. The 'principal regulator' is the RSR in the jurisdiction in which the rail transport operator either performs the majority of its railway operations or has its head office.

In some States or Territories the current SPR reporting period and submission date may be included in the rail transport operator's Notice of Accreditation. In these cases, RSRs may require formal applications for variation of accreditation in order to change the SPR timeframes.

Approved changes to SPR reporting periods may be included in either revised Notices of Accreditation, or advised in writing to the rail transport operator.

5.3 Assessment of Safety Performance Reports

Upon receipt of an SPR, the RSR will conduct a desktop review to ensure it conforms with the prescribed requirements, including any jurisdiction specific reporting requirements.

If these requirements have not been met, the rail transport operator will be advised in writing of the outstanding required information. Operators accredited in two or more jurisdictions will be contacted by the 'principal regulator' if the SPR is incomplete.

In the event a rail transport operator does not comply with the request for further information the RSR may consider taking compliance action.

Sections A1 to A3 provide examples of "outcome" or "lag" KPIs which use occurrence classifications, classification principles and definitions set out in Occurrence Classification - Guideline 1 (OC-G1), the occurrence classification standard adopted by State and Territory RSRs.

Since they are based on OC-G1 categories and normalisation data which rail transport operators are required to report to RSRs, there are also opportunities for these outcome KPIs to be used by RSRs and rail transport operators to benchmark rail transport operator performance across jurisdictions and nationally.

Section A4 includes examples of “positive performance” or “lead” KPIs which may be considered suitable for inclusion in SPRs.

- Measure the effectiveness of control measures and give advance warning of potential problems,
- Measure the inputs to safety critical activities in order to promote a positive culture towards improving performance,
- Provide data to determine the effective implementation of processes and facilitate corrective action to avoid unwanted outcomes, and
- Assist in improving performance by identifying where potential deficiencies exist before a problem occurs.

Appendix A

KPIs suitable for inclusion in Safety Performance Reports

A1 Incidence of significant notifiable occurrences

KPIs suitable for inclusion in SPRs of rail transport operators include the total number and incidence relative to train kilometres travelled of the following types of occurrences (OC-G1 references are indicated in brackets):

- Running line derailments (3.1.1)
- Collisions with train (3.2.1)
- Collisions with rolling stock (3.2.1.2)
- Collisions with persons (3.2.1.3)
- Level crossing occurrences – road vehicle collision (3.3.1)
- Level crossing occurrences – collision with person (3.3.2)
- Fires in trains (3.14)
- Explosions trains (3.15)
- Alleged assaults on the rail transport operator's premises or trains (3.20.2)
- Suspected suicides on the rail transport operator's premises or trains (3.16.1)

Additional KPIs suitable for inclusion in the SPRs of rail transport operators who operate passenger train services are the total number and incidence relative to the total number of passenger journeys of the following types of occurrences (OC-G1 references are indicated in brackets):

- Slip, trip or fall of passenger from a train (3.7.1)
- Slip, trip or fall of a passenger on a train (3.7.3)
- Slip, trip or fall of a passenger on railway premises (3.7.2, 3.7.4 - 3.7.8 and 3.7.10)
- Passenger caught between train doors (3.7.9)

A2 Incidence of Fatalities and Serious Personal Injuries

KPIs suitable for inclusion in SPRs include the total number and incidence relative to total train kilometres travelled of the following (OC-G1 references are indicated in brackets):

- Fatalities (1.10.1)
- Serious personal injuries (1.10.2)

It is recommended that the data for these KPIs be broken down by the type of significant occurrence (as indicated in section A1) and the following types of persons (OC-G1 references are indicated in brackets):

- railway staff, contractors and volunteers (1.7.1)
- passengers (1.7.2)
- members of the public (1.7.4)
- trespassers (1.7.3)

Only fatalities and serious personal injuries arising as a result of railway operations should be included. That is, workplace injuries and illness required to be reported to occupational health and safety and/or workers compensation authorities, and which do not fall within rail safety legislation reporting requirements, should generally not be included.

A3 Other notifiable occurrences

KPIs suitable for inclusion in SPRs of rail infrastructure managers and rolling stock operators include the total number and incidence relative to total train kilometres travelled of the following types of occurrences (OC-G1 references are indicated in brackets):

- signals passed at danger (3.4)
- proceed authority exceeded (3.5)
- load irregularities (3.8)
- dangerous goods incident (3.9)
- rolling stock irregularity (3.12)

For rail transport operators who are rail infrastructure managers, KPIs suitable for inclusion in SPRs include the total number and incidence relative to the total length of track of the following types of occurrences (OC-G1 references are indicated in brackets):

- Signal irregularity (3.6)
- Track irregularity (3.11)
- Electrical infrastructure irregularity (3.13)

For rail transport operators who are rolling stock operators, KPIs suitable for inclusion in SPRs include the total number and incidence relative to the total train kilometres of the

following types of occurrences (OC-G1 references are indicated in brackets):

- Derailment (3.1)
- Collision (3.2)
- Level crossing occurrence (3.3)

A4 Positive or lead indicators

Examples of “positive” or “lead” KPIs suitable for inclusion in SPRs include:

Conduct of SMS Audits

- The number of audits carried out in accordance with the rail transport operator’s SMS during the reporting period; and the number of audits carried out expressed as a percentage of the number of planned audits for the reporting period.
- The percentage of non-conformances specified in audit reports which have not been “closed out” within planned timeframes.
- The number of non-conformances identified in RSR audits which have not been closed out within agreed timeframes; and the number of non-conformances which have not been closed out within agreed timeframes expressed as a percentage of all non-conformances identified in RSR audits.

Health Assessments

The number of the rail transport operator’s rail safety workers who have undergone periodic health assessments in accordance with the National Health Assessment Standard, by category (1-4), at a specified date within the reporting period; and the number of rail safety workers who have undergone periodic health assessments in accordance with the National Health Assessment Standard, by category (1-4), expressed as a percentage of the number of rail safety workers who were due to undergo health assessments.

Rail Infrastructure and Rolling Stock Inspections

The number of rail infrastructure and rolling stock inspections carried out in accordance with SMS procedures; and the number of inspections carried out expressed as a percentage of the number of inspections planned to be carried out.

Rail Infrastructure and Rolling Stock Defects

- The total number of notifiable rail infrastructure and rolling stock defects or irregularities reported during the reporting period, and the number and percentage of the total which have not been responded to in accordance with SMS procedures.
- The total number of notifiable rail infrastructure and rolling stock defects or irregularities reported during the reporting period compared with the total number of notifiable rail infrastructure and rolling stock defects or irregularities reported during previous reporting periods.

Hazard Reporting

The total number of hazard reports submitted by the rail transport operator’s rail safety workers during the reporting period, and the percentage effectively responded to (or “closed-out”).

Emergency Management

- The percentage of the rail transport operator’s rail safety workers who have received training in emergency procedures.
- The number of emergency response practical exercises or drills carried out during the reporting period; and the number of emergency response practical exercises or drills carried out expressed as a percentage of the number of planned exercises or drills.

Compliance with Enforcement Notices

The total number of enforcement notices received during the reporting period, and the percentage of enforcement notices closed out.

Compliance with Investigation Report Recommendations

The total number of external and/or internal incident investigation report recommendations, and the number of recommendations which have not been closed out within planned timeframes.