Division / Business Unit:	**Safety & Systems**
Function:	**Interface Management**
Document Type:	**Rail / Rail Interface Agreement**

RAIL / RAIL INTERFACE AGREEMENT

IAxx

between

add full name

and

Australian Rail Track Corporation Limited

for the Short name Private Sidings at add location name

Applicability

ARTC Network				
NSW	QLD	SA	VIC	WA

Publication Requirement

Internal	Group Executive Safety & Systems	ARTC
External	<insert other Party position>	short name

Document Status

Version #	Date	Prepared by	Department Endorsement	Date Endorsed
0.1	/2024	[redacted]	Safety & Systems	<add endorsement date>

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Amendment Register

Page number	Revision number	Date of revision	Amendment details
All	0.0	xx/2024	Updated to ARTC template, • Reference to new National Act • Redefined incident management • Redefined emergency management • Redefined access, inductions and track protection • Risk assessment controls updated • ARTC details and contact numbers • ARTC Network changed from 12000 km of track to 8500 km • References to AS4292 removed • Added International ISO 31000:2009 Risk Management • National regulator • Change of design and logo • Reference changed from SP-05-02 to RLS-PR-003 • Sections 4.3.1.2, 4.3.1.3, 4.3.4.3, 4.3.4.4, 4.3.5.2 updated • Updated to Rail Safety National Law (WA) Act 2015 and Rail Safety National Law (Victoria). • 4.6.1 Location of Standards • 4.3.6.1 Location of Competencies • RIM, RSO & RTO definitions added • Notification / Authorisation process • 4.9 Written consent for third party application • ERMS / SFAIRP information added • Maintenance inclusions 4.3.3.1 / exclusions 4.3.3.2 • Asset life cycle • External Party Works – Work instruction • Summary tables added • CAA process, SARC & Rail Operations, definition & procedure updated • Safeworking at end to end control centres • Isolation procedure • Summary tables updated.
Various	xx	08/04/2024	Template review, Updated purpose, references, definitions and description, Risk management, maintenance, incident management, emergency management, personnel management, asset life cycle, Engineering and operational compatibility, Access, compliance and auditing, summary tables signature block.

			ARTC details updated, Removed IA and HV.

Execution Page

This agreement comes into effect when signed by both parties unless otherwise agreed and may be terminated without cause by either party giving twelve (12) months written notice to the other party.

1 EXECUTED AS AN AGREEMENT

SIGNED for and on behalf of **AUSTRALIAN RAIL TRACK CORPORATION LIMITED** by a duly authorised officer of the Company:
Signature
Print Name
Date

SIGNED for and on behalf of **add full name** by a duly authorised officer of the Company:
Signature
Print Name
Date

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1 Purpose

- To define the interface boundary between ARTC and short name
- To define the responsibilities of the interfacing parties relating to the interface

- To document the process for the management of risks to safety that may arise from railway operations carried out by or on behalf of ARTC because of, or partly because of, railway operations carried out by or on behalf of short name
- To document the process for the safe operation of rail movements and maintenance across the interface.

2 Reference

<Include documents that are specifically mentioned & delete any that are not applicable>
<Connection agreement/lease/licence>
External Party Works – Work instruction PRO-WI-009
RLS-PR-003 Protocol for entering the ARTC rail corridor.
ARTC NSW Network Rules and Procedures
Rail Safety National Law
SA use ARTC Code of Practice for the Defined Interstate Network ARTC Addendum to the Code of Practice for the Defined Interstate Network
VIC use TA20 ARTC Code of Practice for the Victorian Main Line Operations
VIC use as well as-Route Access Standards (RAS) Manual
TA02 – ARTC Interface Coordination Plan

3 Definitions & Descriptions

ARTC	**Australian Rail Track Corporation Ltd** is a company in which shares are owned by the Commonwealth Government through the Minister for Finance and the Minister for Infrastructure, Transport and Regional Development. ARTC currently has responsibility for the management of approximately 8,500 route kilometres of standard gauge interstate track in South Australia, Victoria, New South Wales, Queensland and Western Australia.
short name	**add full name** <Insert information re the other party's operation and how it interacts with ARTC etc>.
Blasting Deed	A Deed that permits an entity to conduct Blasting Operations such as the detonation of explosives by a Mine or Entity within 500 metres of infrastructure owned, leased or controlled by ARTC..
CAA	**Corridor Access Approval** is a record that details the location, time and protection required for work planned in the rail corridor.
ERMS	**Enterprise Risk Management System** is the ARTC risk management system used to manage risk / controls for the ARTC Network.
Interface	means the interface defined in clause 4.1.
NIB	**Network Information Book** Network Information Books contain operational information and detailed diagrams of ARTC owned rail corridors and leased interstate mainline standard gauge corridors. The Network Information Books are updated periodically to include changes in infrastructure and / or processes.
Operational Boundary	The last point at which a movement can be held prior to entering another party's area of operational responsibility. This could be a

	signal, sign or other method of control and is defined in clause 4.1.2.
Operational Overlap	The area between opposing operational boundaries. Responsibility for managing movements and activities in this area should be clearly defined.
Property Boundary	is defined in clause 4.1.1.
Railway Operations	means railway operations as defined in the RSNL. For normal train running with a path, including train crew changes, train inspections or where arrangements are made to undertake fuelling on a siding either leased from ARTC or owned by the rail operator for that purpose then no CAA is required.
Rail Infrastructure	means rail infrastructure as defined in the RSNL and includes, but is not limited to, railway tracks and associated railway track structures.
RIM	**Rail Infrastructure Manager** Means a person with effective control and management of "rail infrastructure" to which this agreement applies within the meaning of the Rail Safety National Law. ARTC is the RIM for the ARTC Network short name is the RIM for the short name Siding.
RSNL	**Rail Safety National Law** means the Rail Safety National Law which has been enacted as a Schedule to the *Rail Safety National Law (South Australia) Act 2012* (SA) as it applies in each state and territory and amended from time to time, and includes the associated regulations.
RSO	**Rolling Stock Operator** Means the person who has effective control and management of Rolling Stock that accesses the Network pursuant to the parties Access Rights.
RTO	**Rail Transport Operator** a category of organisation that is eligible for rail safety accreditation as defined under the Rail Safety National Law. A rail transport operator is a rail infrastructure manager, a rolling stock operator or both.
SARC	**Safely Access the Rail Corridor** a nationally recognised training, which replaces the track Safety Awareness (TSA) and National Track Safety Awareness (NTSA) training.
SCA	**Siding Connection Agreement** An agreement that permits a siding connection to ARTC Licensed Land and to which the Connecting Line connects to ARTC Mainline or operational line under ARTC management.
SFAIRP	**So Far As Is Reasonably Practicable.**
TMB	**Track Maintenance Boundary** The point either side of which each party is responsible for infrastructure maintenance and as defined in clause 4.1.3.

4 General Requirements

4.1 Definition of Interface

4.1.1 Property Boundary

Refer ARTC Property Manager.

4.1.2 Operational Boundary

<list operational boundaries>.

4.1.3 Track Maintenance Boundary

The track maintenance boundary is located at <insert details of TMB and km> and is identified by a sign.

Refer appendix B - Graphics.

4.2 Issues to be Resolved Across the Interface and Responsibilities of Each Organisation

4.2.1 Risk Management

4.2.1.1 Hazard identification

A hazard identification process has been conducted by ARTC on generic hazards associated with interface management. The hazards identified form the basis for the subject matter included in this agreement.

4.2.1.2 Responsibility for risk management

ARTC and short name shall be jointly responsible for risk management of the Interface.

A risk assessment has been conducted to identify and assess, so far as is reasonably practicable, risks to safety that may arise from the Interface. For the purpose of managing those risks, the parties have entered into this agreement. Responsibility for specific risks is allocated by agreement and documented. Refer section 4.2.1.3.

4.2.1.3 Specific risk controls to be applied across the Interface

The generic corridor risk was rated at medium; <if no additional controls were needed keep “No additional controls were determined to be required” then delete “Additional controls that were approved are listed here” and update table>

Risk	Responsibility and Control
<Enter additional significant risks that may have been identified>	<Enter a brief summary of control and party responsible>

4.2.1.4 SFAIRP review process

In order to manage, so far as reasonably practicable, risks to safety arising from ARTC’s railway operations, ARTC’s risk events including controls and hazards are subject to regular reviews with relevant subject matter experts and stakeholder representatives including as part of the ongoing maintenance of the ERMS.

short name’s controls to manage, so far as reasonably practicable, risks to safety arising from its railway operations listed are linked to the specific controls contained within short name’s safety management system and are identified in the short name's Risk Register for Railway Operations. The controls are regularly monitored by relevant operational personnel and form part of short name Fatal and Severe Risk Control Standard.

4.2.1.5 Risk Management Review

The parties agree to review the risks and risk control measures associated with the Interface to ensure that they continue to ensure the safety of railway operations so far as is reasonably practicable. This review will be undertaken:

- where changes are proposed to infrastructure or operations affecting the Interface; and
- at such other times agreed between the parties or required by legislation.

4.2.2 Management of Movements

ARTC is responsible for the management of movements over its managed railway track at and beyond the Operational Boundary toward the ARTC main line.

short name is responsible for the management of movements over its managed railway track beyond the Operational Boundary away from the ARTC main line.

Access to either party's network will be in accordance with each party's respective rules and procedures.

Refer appendix A - Operating Procedure.

4.2.3 Management of Infrastructure

4.2.3.1 Maintenance

ARTC is responsible for the maintenance of its managed Rail Infrastructure at and beyond the TMB toward the ARTC main line as indicated by the arrow on the boundary sign in the field.

ARTC's responsibility for Rail Infrastructure also includes: <insert list of equipment maintained by ARTC around interface and on other party's land>

This maintenance activity includes :

- The maintenance of signalling equipment in accordance with ARTC ESM-26-02 Signals Technical Maintenance Plan.

short name is responsible for the maintenance over its managed Rail Infrastructure beyond the TMB away from the ARTC main line.

4.2.3.2 Maintenance Exclusions

To the extent that ARTC is responsible for the maintenance of assets owned by short name, ARTC responsibility is limited to routine maintenance, but excludes the following:

- Life expired asset replacements
- Major fault repairs (i.e. requires component replacement)
- Damaged Assets replacement
- Civil Maintenance support

ARTC can provide these services if short name desires by entering in to service agreement or alternative Competent contractors with ARTC qualification can be engaged. Noting that any works requires the Local ARTC Signalling Engineer to review changes/works and ensure engineering compliance.

4.2.3.3 Track work operations

Refer appendix A - Operating Procedure.

4.2.4 Incident Management

4.2.4.1 Incident management

Each party shall manage incidents wholly within its territory in accordance with that party's incident or emergency management plan.

Incidents affecting the Rail Infrastructure across the Interface shall be managed jointly and cooperatively by the parties.

4.2.4.2 Notification of incidents between organisations

If either ARTC or short name become aware of an incident likely to affect Rail Infrastructure, operations or safety relating to the Interface, they shall ensure that the other organisation is advised as soon as possible.

Refer appendix C - Contact details.

4.2.4.3 Regulatory reporting

ARTC shall report on "notifiable occurrences" on the ARTC Network to the National Rail Safety Regulator under the terms of its accreditation.

short name shall report on "notifiable occurrences" on the short name siding to the National Rail Safety Regulator under the terms of any accreditation or registration.

4.2.4.4 Investigation

Investigation into incidents on the ARTC Network shall be based on ARTC's investigation procedures.

Investigation into incidents on the short name Siding shall be based on short name investigation procedures.

When an incident occurs across the Interface, the investigation shall be carried out in the manner agreed between the parties acting reasonably.

4.2.4.5 Preservation of evidence

Unless required by law or to ensure safety, ARTC and short name shall not engage in any conduct that is likely to prejudice an investigation into an incident relating to the Interface and may undertake timely inspection of any track or rolling stock damaged as a result of an incident.

4.2.5 Emergency Management

4.2.5.1 Emergency management

An Emergency is an incident which requires a sudden and urgent significant and co-ordinated response.

The impacting party shall notify the other party to this agreement in the event of an emergency affecting the Interface or the other parties railway operations.

Each party shall manage emergencies as per section 4.2.4 Incident management.

4.2.5.2 Emergency services

Where an incident is wholly within one party's territory, that party will coordinate with emergency services in accordance with that party's incident management plan.

Where an incident affects Rail Infrastructure across the Interface, the parties will jointly coordinate with emergency services.

4.2.6 Personnel Management

4.2.6.1 Competency

ARTC and short name shall ensure their respective workers carrying out rail safety work in relation to Railway Operations at the Interface are competent to perform that work and are trained in and comply with applicable safe working policies and procedures.

ARTC's safety worker competencies can be found at http://www.artc.com.au/work/contractors/rswc/.

4.2.6.2 Health and fitness

ARTC and short name shall ensure their respective workers carrying out rail safety work in relation to Railway Operations at the Interface point are fit for duty and medically assessed as competent to perform that work.

4.2.6.3 Drug and alcohol policy

ARTC and short name shall ensure their respective workers carrying out rail safety work in relation to Railway Operations at the Interface comply with applicable drug and alcohol policies.

4.2.7 Dispute Resolution

ARTC and short name agree that any dispute arising out of the interpretation of this agreement, or as to whether either party has failed to satisfy any of its obligations under this Agreement, will be dealt with as follows:

- firstly, the party claiming that there is a dispute will send to the other party's representative a notice setting out the nature of the dispute. The other party has 10 working days of receipt of the notice of dispute to provide a written response;

- secondly, failing resolution, the representatives will try to resolve the dispute by direct negotiation, including by referring the matter to persons who may have authority to intervene and direct some form of resolution. Unless otherwise agreed, the Parties have 10 working days to endeavour to resolve the dispute by direct negotiation;

- thirdly, if there is no resolution or agreement following 10 working days of direct negotiation between the relevant parties, the dispute will be referred to the respective chief executive officer or delegate of each relevant party for resolution;

- fourthly, if the chief executive officers or their delegates fail to reach agreement within one calendar month of a dispute being referred to the chief executive officers or delegates, the matter shall be referred for conciliation to the Institute of Arbitrators and Mediators Australia for resolution.

Notwithstanding any dispute between the Parties, the Parties will continue to perform their obligations under this Agreement.

4.2.8 Notification to changes to parties

4.2.8.1 Change in Ownership

ARTC and short name will notify each other as soon as practicable in the event either of them undergoes a change of Ownership.

4.2.8.2 Change in Accreditation/Registration

ARTC and short name are responsible for maintaining their accreditation or registration under RSNL and shall inform the other party of a change in their accreditation/registration status.

4.3 Asset life cycle

This agreement covers the following life cycle aspects of the Interface:

- operation
- monitoring
- maintenance
- modification.

ARTC may inform short name that assets associated with the Interface and that are owned by short name are nearing end of life or should otherwise be replaced. short name acknowledges that these assets may be costly and have long lead times for repair or replacement and agrees to ensure that it includes these assets in an asset management plan.

4.4 Information Required for Monitoring Safe Operation Across the Interface

4.4.1 Contacts for Each Organisation

Refer appendix C - Contact details.

4.5 Engineering and Operational Compatibility

4.5.1 Standards

Through consultation, ARTC and short name are committed to ensuring that appropriate safety, operational and engineering standards are applied across the Interface.

Supporting documents are available on the ARTC Intranet and Extranet.

4.5.2 Standards not Available

Where mutually recognised safety, operational or engineering standards, procedures or agreements are not available, ARTC and short name agree to take all reasonably practicable steps to identify or develop appropriate standards, procedures or agreements.

4.6 Review of this agreement

4.6.1 Changes to the Interface

ARTC and short name shall liaise with each other regarding any alteration to infrastructure, procedure or circumstance that might have impact on the safety or access arrangements between the two parties in relation to the Interface and this agreement shall be amended accordingly.

Notwithstanding the above, this agreement will be reviewed by the parties every 5 years or as otherwise agreed.

4.7 Access to Other Party's area

ARTC and short name shall liaise to ensure that any representative for a party that attends the other party's property in the vicinity of the Interface are fully informed as to the requirements of the locality including any required accreditation, documentation, training, site induction or similar provision.

Note: - the access requirements have been dealt with as part of the SFAIRP risk assessment and appropriate controls added.

ARTC and short name agree that either party may make use of third parties under contract or otherwise, to deliver any aspect of its operational or infrastructure obligations at or adjacent to the Interface. References to ARTC and/or short name are deemed to include these parties where appropriate.

Each party will ensure its contractors and subcontractors will comply with this agreement when engaged in railway operations to which this agreement relates.

4.8 Access to ARTC Rail Corridor

Any entry to the ARTC rail corridor must be in accordance with RLS-PR-003 Protocol for Entering the ARTC Rail Corridor (as varied or replaced from time to time) and short name will ensure that any representatives attending ARTC property in the vicinity of the Interface are fully informed as to the requirements of the locality including any required accreditation, documentation, training, site induction or similar provision.

An approved Corridor Access Approval is required to enter the Rail Corridor, in accordance with the existing ARTC procedure RLS-PR-003 "Protocol for entering the ARTC rail corridor".

Link to RLS-PR-003
https://www.artc.com.au/uploads/RLS-PR-003.pdf

An approved Corridor Access Approval is not approval of work or the required safe working arrangements and is only an approval for entry to the Rail Corridor to conduct approved work and establish the required safe working arrangements to undertake the work.

ARTC may require short name to obtain "Written" consent from ARTC Property, through the Third-Party Application process, to undertaking certain activities including:

- Access through ARTC Corridor / Lease Land;
- Activity that encroaches on ARTC Corridor / Lease Land;
- Activity that potentially affects the Mainline /ARTC Operations/LPA Limits;
- Potential impact on ARTC Signalling infrastructure or infrastructure ARTC is responsible for maintaining;
- An activity that affects track stability within ARTC Corridor Limits.

4.9 Notifications for types of work

short name must obtain from ARTC the notifications / authorisation referred to in the table below before activities of the kind in the table can be commenced.

Activity	Notification under Siding Connection Agreement and / or this Interface agreement	Require additional consent from ARTC Property (Third Party Application)	Notification under Blasting Deed
Any activity that could affect ARTC Track Stability. i.e. re-railing, steel replacement etc.	✗	✓	✗
Any activity that requires removal / modification of Signalling Equipment within the private interface by non ARTC staff.	✗	✓	✗
Entering the ARTC corridor / property to enable the isolation of the private siding / loop.	✓	✗	✗
If an activity within ARTC interface is undertaken within a scheduled major closedown (LPA).	✗	✓	✗
If an activity involves any major ground disturbance within ARTC interface.	✗	✓	✗
If the activity is contained within the private interface.	✓	✗	✗
Any activity involving inspections, investigations and surveys (including the use of drones) within ARTC interface.	✗	✓	✗
Blasting activities (excluding installation of new blast monitors)	✗	✗	✓
Rail Operations (refer to definitions and descriptions on page 5)	✓	✗	✗

Activity	Notification under Siding Connection Agreement and / or this Interface agreement	Require additional consent from ARTC Property (Third Party Application)
Any activity that could affect ARTC Track Stability. i.e. re-railing, steel replacement etc.	✗	✓
Any activity that requires removal / modification of Signalling Equipment within the private interface by non ARTC staff.	✗	✓
Entering the ARTC corridor / property to enable the isolation of the private siding / loop.	✓	✗
If an activity within ARTC interface is undertaken within a scheduled major closedown (LPA).	✗	✓
If an activity involves any major ground disturbance within ARTC interface.	✗	✓
If the activity is contained within the private interface.	✓	✗

Any activity involving inspections, investigations and surveys (including the use of drones) within ARTC interface.	✗	✓
Rail Operations (refer to definitions and descriptions on page 5)	✓	✗

Note- for contacts and process to follow for the Siding Connection Agreement and / or Blasting Deed refer to Property team / Managers details on page 19.

5 Compliance and Auditing

5.1 Responsibility for Maintaining and Monitoring Compliance

ARTC and short name agree to be jointly responsible for maintaining and monitoring compliance with this agreement.

If owing to emergency it is not possible to comply with this document, every effort shall be made by the non-complying party to consult with the other party on the best course of action to ensure the safe conduct of activities at the Interface.

5.2 Reporting Instances of Non-Compliance

In the event that a party identifies a non-compliance with this agreement, that party shall bring the issue to the attention of the other party.

5.3 Safety Auditing Compliance

ARTC is required to conduct regular safety audits under the terms of its accreditation under the Rail Safety National Law.

short name may be required to conduct regular safety audits under the terms of any accreditation or registration under the Rail Safety National Law.

The parties agree to cooperate with each other in relation to any safety audit conducted in respect to a party’s accreditation or registration under the Rail Safety National Law, whether conducted internally, externally or by the Regulator, including to share information and documents reasonably required for the purpose of any such audit.

5.4 Reciprocal Inspections and Audits

In the event ARTC and short name agree that there is an issue adversely affecting safety regarding the Interface, ARTC and short name will allow relevant reciprocal inspections and audits to be undertaken to facilitate remedial action.

Appendix A - Operating Procedure

short name is responsible for providing this operating procedure to operators, maintainers and other parties who might require it for access to the private siding.

All maintenance activity within the ARTC Property Boundary performed by short name maintenance provider on short name managed Rail Infrastructure must be co-ordinated with the Network Controller and comply with the ARTC Network Rules and Procedures.

Any person intending to access the ARTC rail corridor on the ARTC managed network for the purposes of implementing a worksite or performing work in an established worksite must be certified in the Safely Access the Rail Corridor (SARC) competency and have construction industry induction as a minimum:

Movements Entering short name siding

<Insert procedure> an example is When short name rail traffic is required to enter the short name siding, they must:

- Stop at the operational inward boundary clear of the toe of the points
- Operate points and shunt in clear of outward Operational Boundary.
- Notify the ARTC Network Controller when the rail traffic is in clear of points.

Movements Departing short name siding

<Insert procedure> an example is When rail traffic is to exit the short name siding, they must:

- Obtain permission from the ARTC Network Controller
- Stop at the operational Outward boundary
- Operate points and shunt in clear of inward Operational Boundary.
- Notify the ARTC Network Controller when the rail traffic is in clear of points.

Isolation procedure

ARTC shall allow short name access to the Private Siding Points Isolating Switch when required for the purpose of isolating the loop. Where appropriate short name personnel performing this duty will hold the “Safely Access the Rail Corridor competency” and perform no other task whilst within ARTC boundaries.

Track work operations

Track work operations likely to affect the ARTC Network must be performed in accordance with ARTC Network Rules and Procedures by suitably qualified workers.

Planned works up to and across the interface boundary

xx.

Appendix B - Graphics

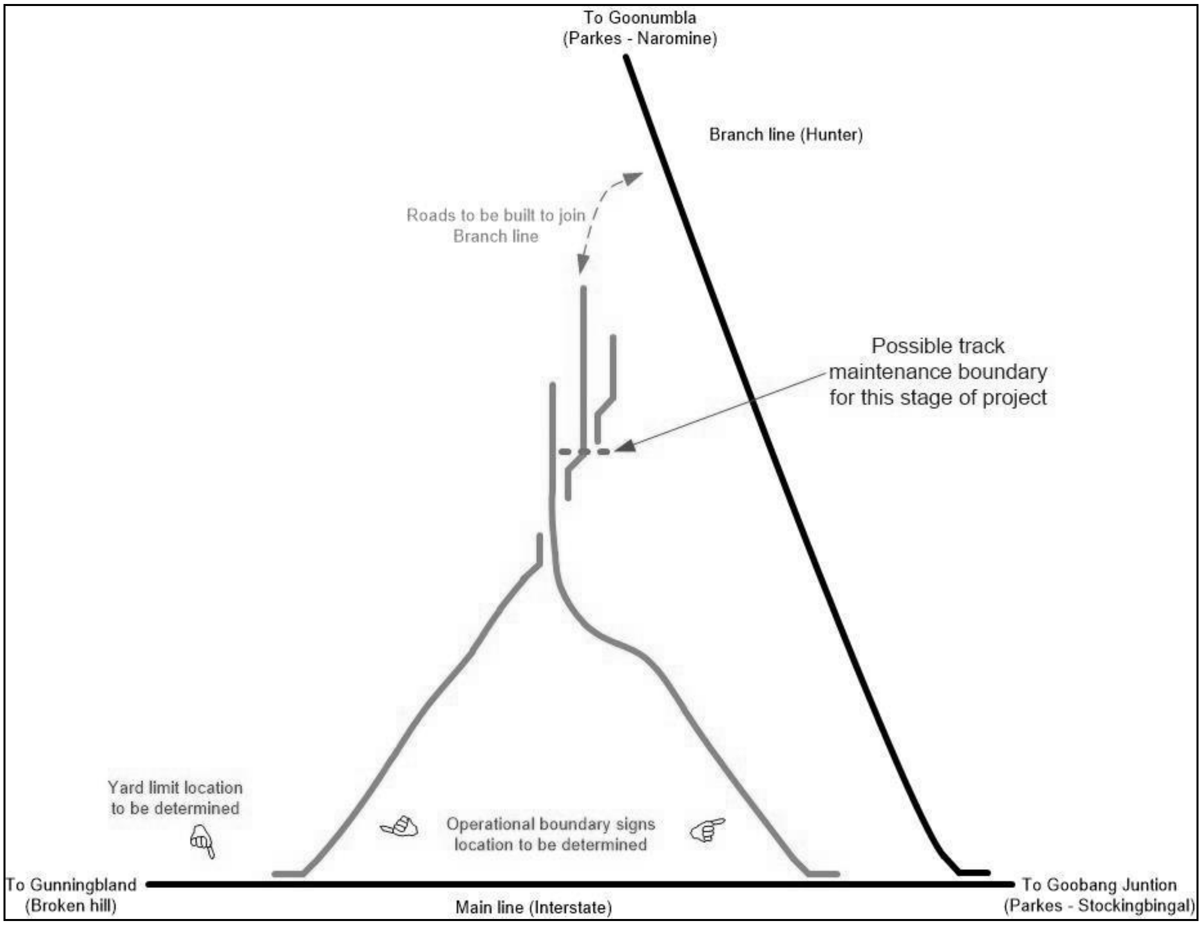

Figure 1 Example Interface diagram.

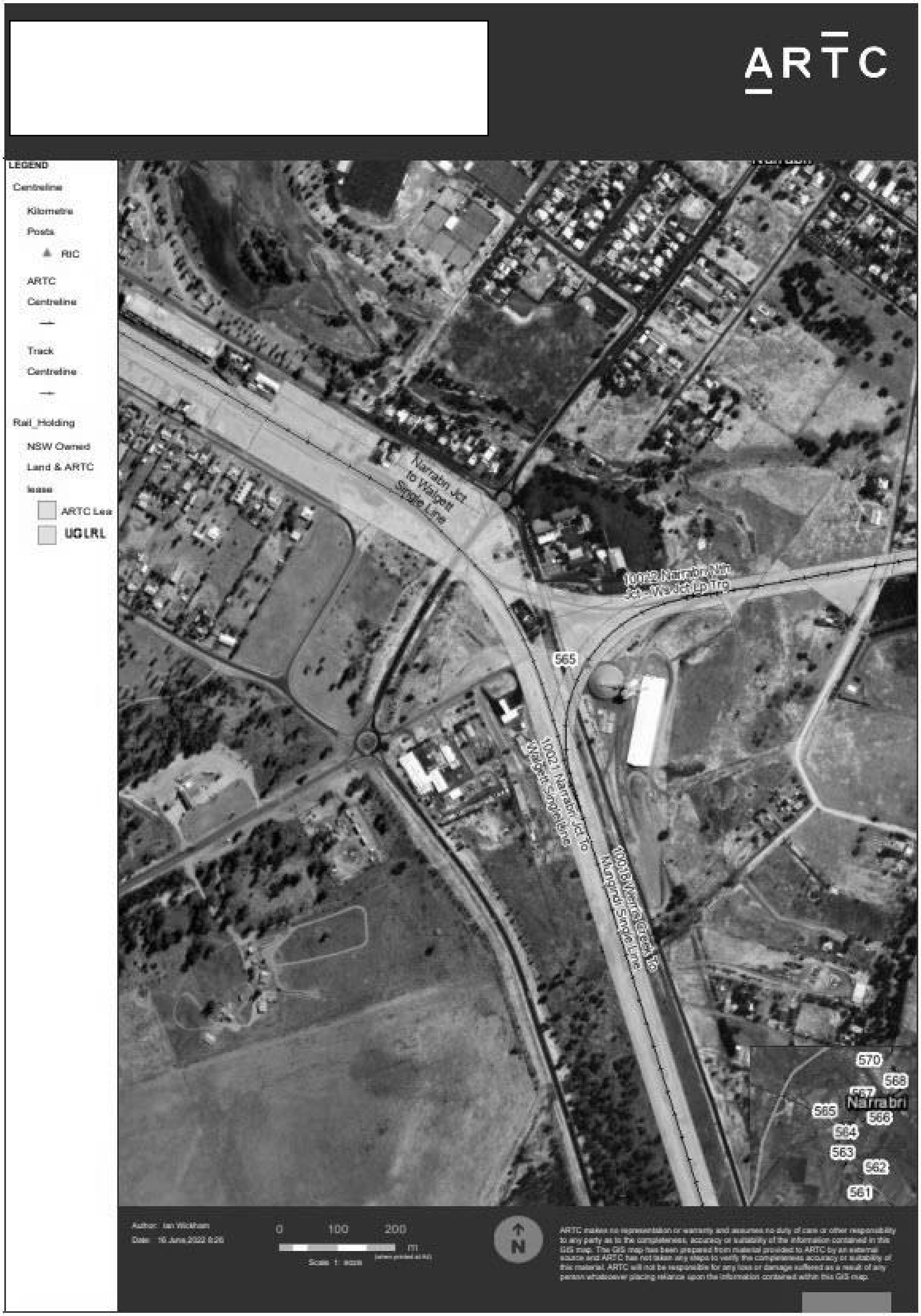

Figure 2 Example Lease diagram.

Figure 3 <Example of interface sign and photo>

Appendix C - Contact details

ARTC	Responsibility	Number
Network Controller <location>	Manages rail movements and maintenance operations	
Network Control <location> Emergency Contact **ONLY**	Emergency contact	
Train Transit Manager <location>	Train control supervisor	
Property Manager <location>	Identifying property boundary and access	
For Hunter valley put Property Hunter Valley Team	Identifying property boundary and access HVPropertyServices@ARTC.com.au	[redacted]
Area Manager	Manages track and signalling issues	
Integrated Scheduling Coordinator	Coordination of ARTC's Weekly Maintenance Plan and Issuer of CAA.	[redacted]
Safety Interface Officer	Contact for this agreement	[redacted]
short name		
<add other parties position>	<add description of responsibility>	<add contact number>

Appendix D - Summary tables

Identified Risk and Responsibility

The following risks to safety that may arise from rail operations are identified and responsibility to manage that risk is as follows:

Risk Summary Table – Rail / Rail Interfaces			
Top Risk Event	Key Causes	Key Controls	Risk Owner
Train derailment ERMS ID 0008 (5922)	Maintenance boundaries / Responsibilities unclear (i.e. Rail Infrastructure Manager (RIM) role unclear)	1. Seek to execute the Rail - Rail Interface agreement 2. State based legislation 3. ARTC Leases 4. ARTC Policy, Strategy, Standards, Assurance, Inspection and Maintenance Plans	RIMs
Infrastructure loss, degradation, constraint or imposed operational restrictions ERMS ID 0010	Infrastructure defects, failure or damage	1. Asset Management / Assurance Frameworks and systems 2. Implement & apply Safe working protocols 3. Safety Management Systems 4. Design Standards 5. Route Access Standards	RIM / RSO
	Human Factors - Operations Centre worker error i.e. Terminal operator, Network Controller error or wilful disregard	1. Interface Agreements and Access Agreements 2. SMS 3. Training / Site Inductions 4. Network Controller instructions, Phoenix and CTC 5. Alarms in train control systems in signalled areas 6. Operational processes	RIM / RSO
	Human Factors - Safeworking errors on site i.e. Track Worker, Protection Officer, TFPC complacency, lack of route knowledge or wilful disregard	1. Communication protocols 2. Training / Site Inductions 3. SMS 4. Supervision Performance management	RIM / RSO
	Human Factors - Train Driver, Rail Mounted Vehicle (RMV) or Track Machine operator errors or wilful disregard	1. Driver training & license requirements 2. CAN and Operational notices 3. Network Controller instructions, Phoenix and CTC 4. Train speed monitoring 5. SMS 6. Communication protocols	RIM / RSO
	Access a section of track without authority (i.e. Rail Vehicle access and Workers representing either RIM)	1. Communication protocols 2. Journey planning 3. Network rules and procedures 4. Training / Site Inductions 5. Interface Agreements and Access Agreements 6. Network Controller instructions, Phoenix and CTC	RIM / RSO
Train to Train ERMS ID 0001	Refer to risk summary table 'Train to train'		RIM / RSO
Train to trackworker ERMS ID 0002	Refer to risk summary table 'Train to track worker'		RIM / RSO
Train to Person ERMS ID 0003	Refer to risk summary table 'Train to person'		RIM / RSO
The above risks are Key Risk Events. Refer to the ARTC Enterprise Risk Management System to review current Risk ratings			

Risk Summary Table – Train to person at Interfaces			
Top Risk Event	Key Causes	Key Controls	Risk Owner
Train to person ERMS ID 0003	Train driver medical condition or impairment	1. Medical standards 2. Drug and alcohol, fatigue management policy / procedures 3. SMS 4. Train In-cab controls (i.e. Vigilance, dead man's switch/pedal)	RIM / RSO
	Maintenance boundaries / Responsibilities unclear (i.e. boundary fencing / signage defined)	1. Seek to execute the Rail - Rail Interface agreement 2. ARTC Policy, Strategy, Standards, Assurance, Inspection and Maintenance Plans	RIM
	Human Factors – Member of Public error (Incl. Trespass) or wilful disregard	1. Train visibility and conspicuity, and train horns/whistles 2. Public awareness and media campaigns 3. Standards, Procedures, Inspection and Maintenance Plans	RIM / RSO
	Human Factors - Train Driver, Rail Mounted Vehicle (RMV) or Track Machine operator errors or wilful disregard	1. Driver training & license requirements 2. CAN and Operational notices 3. Network Controller instructions, Phoenix and CTC 4. Train speed monitoring 5. SMS 6. Communication protocols	RIM / RSO
	Human Factors - Operations Centre worker error i.e. Terminal operator, Network Controller error or wilful disregard	1. Interface Agreements and Access Agreements 2. SMS 3. Training / Site Inductions 4. Network Controller instructions, Phoenix and CTC 5. Alarms in train control systems in signalled areas 6. Operational processes	RIM / RSO
	Rolling stock defect / irregularities / Train Integrity (i.e. rail worthiness of rail vehicles)	1. Compliance checks 2. Engineering standards 3. Inspections 4. Route Access Standards / Freight loading Standards 5. Vehicle registration standards	RSO
	Infrastructure defects, failure or damage (i.e. Bridge or station strike)	1. Asset management / Assurance framework and systems 2. Implement & apply Safe working protocols 3. Safety Management Systems 4. Design Standards 5. Route Access Standards	RIM / RSO
The above risks are Key Risk Events. Refer to the ARTC Enterprise Risk Management System to review current Risk ratings			

Risk Summary Table – Train to Track Worker at Interfaces

Top Risk Event	Key Causes	Key Controls	Risk Owner
Train to Trackworker ERMS ID 0002	Access track at wrong location or - Access track without authority (i.e. Rail Vehicle access and Workers)	1. Communication protocols 2. Journey planning 3. Network rules and procedures 4. Training / Site Inductions 5. Corridor Access Procedure	RIM / RSO
	Human Factors - Safeworking errors on site i.e. Track Worker, Protection Officer, TFPC complacency, lack of route knowledge or wilful disregard	1. Communication protocols 2. Training / Site Inductions 3. SMS 4. Supervision Performance management	RIM / RSO
	Human Factors - Train Driver, Rail Mounted Vehicle (RMV) or Track Machine operator errors or wilful disregard	1. Driver training & license requirements 2. CAN and Operational notices 3. Network Controller instructions, Phoenix and CTC 4. Train speed monitoring 5. SMS 6. Communication protocols	RIM / RSO
	Human Factors - Operations Centre worker error i.e. Terminal operator, Network Controller error (i.e. rollingstock Infringing adjacent line) or wilful disregard	1. Interface Agreements and Access Agreements 2. SMS 3. Training / Site Inductions 4. Network Controller instructions, Phoenix and CTC 5. Alarms in train control systems in signalled areas 6. Operational processes	RIM / RSO
	Rolling stock defect / irregularities / Train Integrity (i.e. rail worthiness of rail vehicles)	1. Compliance checks 2. Engineering standards 3. Inspections 4. Route Access Standards / Freight loading Standards 5. Vehicle registration standards	RIM / RSO
	Operator responsibilities unclear	1. Above Rail Interface agreement 2. Policy, Strategy, Standards, Procedures, Assurance, Inspection and Maintenance Plans	RIM / RSO
	Infrastructure defects, failure or damage	1. Asset management framework and systems 2. Implement & apply Safe working protocols 3. Safety Management Systems 4. Design Standards 5. Route Access Standards	RIM / RSO
	Train driver or Track Worker medical condition or impairment	1. Medical standards 2. Drug and alcohol & fatigue management policy / procedures 3. SMS 4. Train In-cab controls (i.e. Vigilance, dead man's switch/pedal)	RIM / RSO

The above risks are Key Risk Events. Refer to the ARTC Enterprise Risk Management System to review current Risk ratings

Risk Summary Table – Train to Train at Interfaces			
Top Risk Event	**Key Causes**	**Key Controls**	**Risk Owner**
Train to Train ERMS ID 0001	Access track without authority (i.e.. Rail vehicle access)	1. Communication protocols 2. Journey planning 3. Network rules and procedures 4. Training 5. Network Controller instructions, Phoenix and CTC	RIM / RSO
	Infrastructure defects, failure or damage	1. Engineering standards 2. Reporting 3. Asset management / Assurance framework and systems 4. Implement & apply Safe working protocols 5. Safety Management Systems 6. Design Standards 7. Route Access Standards	RIM / RSO
	Human Factors - Safeworking errors on site i.e. Track Worker, Protection Officer, TFPC complacency, lack of route knowledge or wilful disregard	1. Communication protocols 2. Training / Site Inductions 3. SMS 4. Supervision Performance management	RIM / RSO
	Human Factors - Train Driver, Rail Mounted Vehicle (RMV) or Track Machine operator errors (i.e. rail vehicle overspeed, loss of control) or wilful disregard	1. Driver training & license requirements 2. CAN and Operational notices 3. Network Controller instructions, Phoenix and CTC 4. Train speed monitoring 5. SMS 6. Communication protocols 7. Speed restriction management 8. Speed alarms	RIM / RSO
	Human Factors - Operations Centre worker error i.e. Terminal operator, Network Controller error or wilful disregard	1. Interface Agreements and Access Agreements 2. SMS 3. Training / Site Inductions 4. Network Controller instructions, Phoenix and CTC 5. Alarms in train control systems in signalled areas 6. Operational processes	RIM / RSO
	Rolling stock defect / irregularities / Train Integrity (i.e. rail worthiness of rail vehicles)	1. Compliance checks 2. Engineering standards 3. Rollingstock design maintenance and inspections 4. Route Access Standards / Freight loading Standards 5. Wayside Systems	RIM / RSO
	Operator responsibilities unclear	1. Above Rail Interface agreement 2. Policy, Strategy, Standards, Procedures, Assurance, Inspection and Maintenance Plans	RIM / RSO
	Train driver medical condition or impairment	1. Medical standards 2. Drug and alcohol, fatigue management policy / procedures 3. SMS 4. Train In-cab controls (i.e. Vigilance, dead man's switch/pedal)	RIM / RSO
The above risks are Key Risk Events. Refer to the ARTC Enterprise Risk Management System to review current Risk ratings			