

Provincial Railway Guides

Safety Management Plans Guideline – PRG 1005

Safety Management Plans (SMP) are intended to outline and document the safety policies and operating procedures put in place by a railway and establish a system for managing safety for all aspects of the railway's operations. This guide is intended to assist provincial railways in the development of their SMP.

Introduction

Section 5.1 of *The Railway Act* authorizes the minister to require a provincial railway to submit an SMP in a form and with contents acceptable to the minister.

An SMP is a comprehensive document that describes all aspects of a railway's operations. The intent of the SMP is to ensure that a railway operator and/or owner, has examined the railway operation in detail and has developed and documented a plan and processes that promote safe day to day operations and ensures reporting and solving of problems.

This guideline outlines the components that may be required in a company's SMP.

There is an onus on all classes of railways that operate in Saskatchewan to ensure they are complying with all applicable federal and provincial requirements for their specific operations. The Rail Services Unit should be contacted for clarification regarding any uncertainty regarding government jurisdiction and related requirements.

Existing Railways

Upon receiving a notification by the minister requesting an updated SMP, the railway should revise their existing plan or provide a new plan that is consistent with this guideline. Provincial railways with existing documented SMPs may voluntarily modify and submit their existing plan or submit a new safety management plan prior to receiving official notice by the minister.

Applications

Upon request from the minister, a railway must submit an acceptable SMP for approval within the timelines shown below. Submitted SMPs will be reviewed to ensure they contain all required information and components applicable to their operation. The minister may request an applicant to make any changes, additions, or deletions to a plan prior to accepting it.

Submit application to: Railway Programs
800 – 1855 Victoria Avenue
REGINA SK S4P 3T2
or
Email: rail.services@gov.sk.ca

Forms of Application

There is no standard mandatory format for the submission of an SMP. The form of the SMP is at the discretion of the individual railway, however it is recommended that the plan contain the components listed in Appendix A to ensure acceptance by the minister.

Timeline for Submissions

Railways currently in operation must submit an acceptable SMP within six-months of being notified in writing by Railway Programs that the railway falls under provincial jurisdiction and a new, revised or updated SMP is required.

Railways that have not yet received an authorization to construct and open a new railway under *The Railway Act*, must submit an acceptable SMP prior to commencing railway operations.

Confidentiality

Any SMP that contains confidential information may, on request of the railway, and with the minister's approval, be held confidential to the extent permitted by the law.

Inspections

Section 5.1 of *The Railway Act* authorizes the minister to request any additional information that may be required to ensure ongoing compliance and implementation of a railway's approved SMP. This includes any documentation and/or records related to the development and implementation of the SMP and all components of the plan.

Inspections or audits may be conducted by a designated provincial railway inspector on an ongoing basis to ensure that each railway is in compliance with their approved safety management plan.

Offence and Penalties

No person shall contravene any provision of *The Railway Act*, an order of the minister, an order of provincial railway inspector, or any term or condition of an operating authority certificate issued by the Highway Traffic Board.

Failure of a railway to submit an SMP, provide additional information related to the SMP, or comply with subsequent orders resulting from related audits or inspections will be considered a contravention of *The Railway Act*. Such contravention may result in fines in accordance with Section 52 of *The Railway Act* of up to \$100,000 upon summary conviction.

Contact

For more information: Railway Programs
800 – 1855 Victoria Avenue
REGINA SK S4P 3T2
Phone: 306-787-9468
or
Email: rail.services@gov.sk.ca

Appendix

Components of a Safety Management Plan

A safety management plan should include, where applicable, the following components:

1. Process for Accountability
 - Including a list of senior executives, managers responsible for developing and implementing the SMP, as well as a list of personnel holding Safety Critical Positions.
2. Process for Developing, Reviewing and Communicating Safety Policies
 - Must include an overall railway safety policy that reflects the railway's commitment to promoting railway safety.
3. Process for Ensuring Compliance with Applicable Regulations, Guidelines, Rules, Standards and Orders
 - Must include a list of all the rules, guidelines, special instructions, standards, general operating instructions, timetables, exemptions and/or site-specific operating procedures that are applicable to the railway's specific operations.
 - Complete copies of all the above noted documents should be provided as an appendix to the Safety Management System.
 - Must include a process and procedure for ensuring all the above noted instruments remain current and appropriate for the railway's operations and ensure that any changes are communicated to the railway employees.
 - Must include a procedure for verifying compliance with all the above noted instruments.
4. Process for Managing Railway Accidents, Incidents and Emergencies
 - Must include a list of emergency contact numbers including contacts within the company, as well as emergency services and procedures for company personnel.
 - Must include an accident/incident reporting procedure that complies with requirements in the provincial accident/incident reporting guideline.
 - Must identify the railway personnel responsible for reporting and investigating railway accidents/incidents.
5. Process for Identifying Safety Concerns and Risk Factors
 - Must include rules and policies for collecting and recording information and statistics that will be used to identify safety concerns (e.g., railway accident/incident reports, equipment and infrastructure inspection reports, equipment and infrastructure maintenance records, data from safety monitoring technologies and external audit/inspection reports etc.).

6. Process for Conducting Risk Assessments

- Railways must conduct a risk assessment when a safety concern is identified or when the railway is proposing a change in operations.
- Must include a list of possible safety concerns or possible negative outcomes resulting from the railway operations that could negatively impact public safety, employee safety, the environment or property.
- Assessment should take into consideration likelihood of occurrence and severity of each potential risk to prioritize risks that require remedial action.
- Must identify potential remedial actions for each risk factor and develop a plan to mitigate or eliminate the various risk factors.

7. Process for Implementing and Evaluating Remedial Action

- Must develop a plan for implementing any remedial action with respect to the risks identified in the risk assessments as requiring remedial action. Must also include a procedure for implementing and communicating possible changes to affected railway employees and a policy to consult railway employees to determine the effectiveness of any remedial action.

8. Process for Establishing Safety Performance Targets

- Must develop goals and targets for improving safety based on analysis and information derived from Section 5.
- Must include a written description of each initiative to be implemented to achieve each target and a written explanation of how the initiative will contribute to achieving that target.

9. Process for Reporting Contraventions and Safety Concerns

- Must include a process or policy that ensures employees can report any safety concerns or violations without fear of reprisal.

10. Process for Managing Knowledge

- Must establish a list of the positions and related duties within the company that are essential to safe railway operations.
- Must establish a list of the knowledge, skills and qualifications required for positions within the company related to safe railway operations.
- Must also include a plan for ensuring and verifying employees have the identified knowledge, skills and qualifications.

11. Process for Establishing Schedules and Fitness for Duty

- Must include a fatigue management plan that, as a minimum, complies with federal work/rest rules for railway operating employees and complies with provincial Occupational Health and Safety rules for all other railway employees.

- Must include a policy and plan for ensuring employees are medically fit and able to carry out his or her duties safely.

12. Process for Continual Improvement

- Must include a plan for conducting internal audit of the railway's operations and compliance with the SMP. The audit plan should result in the creation of an audit report.
- Must include a plan for an ongoing evaluation of operations and procedures included in the SMP.