



RIW PROGRAM RULES

BLOCKS & SUSPENSIONS

VERSION 2

(10 Aug 2020)



Version Control

Approval Date	Version	Description
30 Jul 2019	1	Original Release
10 Aug 2020	2	Update to include Accredited Rail Transport Operators who are not major Network Operator. Inclusion of breathalysers. Change of terminology from Program Block to National Block. Update medically recorded drug results. Update Glossary. Inclusion of Appendix 1

Table of Contents

1. Definitions	4
2. National Block	5
3. Network Operator Block	5
3.1. When will a block be placed?	5
4. Accredited Rail Transport Operators who are not major Network Operators	5
4.1. Approval process	6
4.2. Reporting	6
4.3. Suspension	6
5. National Block as a Result of Medically Recorded Drug Failure	6
5.1. Blocks initiated via Site Breathalysers	6
6. National / Network Operator Role and Competence Suspensions	7
7. Employer Based Role Suspensions and Competence Suspensions	8
7.1. When will a site suspension be placed?	8
8. Blocks and Suspensions Misuse	9
9. Blocks and Suspensions Disputes	9
10. RIW System Training	9
11. Glossary	10
12. APPENDIX 1 – RIW Blocks and Suspensions matrix	14

1. DEFINITIONS

Block: A restriction that prevents a Rail Industry Worker (**RIW**) from working on a Network Operator's rail network or multiple rail networks. This can be at two levels in the system:

- At a National level which impacts all work sites on all participating rail networks, or
- At a Network level which includes all work sites on a specific Network Operator only.

Blocks can only be placed by a Network Operator or by the National Rail Industry Worker Governance Committee (**NRIWGC**) via the RIW Service Desk.

Note: While the system automatically places a national block on a RIW cardholder for a failed D&A result, this is a system generated block which is different than the manual National and Network blocks listed above.

Role Suspension: Is the temporary removal of a RIW cardholder's role. There are two levels of RIW suspensions:

- National Role/Network Operator Specific – suspended from specific work site/s in a specific capacity, or
- Employer based role suspension – suspended from the employer role/site.

Competence Suspension: Is the temporary removal of a RIW's competency or unit of competence.

- Network Operators can suspend/restore National and Network Competencies.

Employer Based Roles and Competencies: Those employers with the permission to create employer-based roles and competencies reserve the right to create, amend, suspend, modify and reinstate an employer-based job role or competence.

Contractor in Charge: This term is given to the contractor who has been allocated a 'Project' within the RIW Program and therefore is responsible for adhering to the requirements set by the Network Operator. This allocation of a Contractor in Charge is typically part of the contract award phase of a project and is conducted by the Network Operator Administrator.

Network Operator: The term in the RIW Program that refers to the Accredited Rail Transport Operator.

2. NATIONAL BLOCK

When a National Block is placed on an individual at the national level, this will exclude them from working on all Network Operator rail networks. Only the ARA and the RIW Service Desk are authorised to place National Blocks. The Service Desk uses a list of authorised persons who can request a National Block (and Network Blocks) is placed on a RIW Worker.

- Examples include fraud or where a serious safety incident occurs, and the Network Operator believes it should be escalated to the NRIWGC for consideration that a National Block is placed. These types of incidents would be categorised under the Rail Safety National Law as a Category A – Notifiable Occurrence.

3. NETWORK OPERATOR BLOCK

Network Operators reserve the right to remove and block any RIW cardholder from their network as a result of any type of breach, incident or accident in accordance with their network rules and procedures. This could impact their ability to work in other Network Operator's jurisdictions depending on the severity of the breach, and/or the number of times the person has been found to have been in breach.

Where a RIW cardholder has been identified as contributory to an incident, this may result in a suspension or block of the RIW cardholder from carrying out rail safety work.

When a block is placed by the Network Operator, the block only prevents the RIW cardholder from working on the network where the block was placed. Other networks are responsible for assessing the risks of working with blocked RIW cardholders and may refuse the blocked RIW cardholder entry to their Network/site until they can determine why the RIW cardholder was previously blocked at the different network location.

3.1. When will a block be placed?

- Failure to comply with the Network Operator's Drug and Alcohol Management Program, or
- Serious/Critical Safety Breach, or
- Other valid reason as determined by the Network Operator.

4. ACCREDITED RAIL TRANSPORT OPERATORS WHO ARE NOT MAJOR NETWORK OPERATORS

Any Rail Transport Operator (**RTO**) listed on the 'National Rail Safety Register – Accreditations' can apply to the NRIWGC to be issued Network Operator permissions to administer blocks and suspensions on their network as per these rules. An example of this requirement may include a Tier 1 contractor who might be a rail infrastructure manager for a section of track or their own siding.

4.1. Approval process

The accredited RTO would apply via the RIW Service Desk info@riw.net.au requesting Network Operator access. The request will be forwarded to the NRIWGC for consideration and once approved the RIW Service Desk will configure the system to support access.

4.2. Reporting

All new RTO's with this additional Network Operator permission will be required to provide a monthly blocks and suspensions report to the NRIWGC. This will provide the necessary governance to the NRIWGC that the additional permissions are being used appropriately.

4.3. Suspension

Suspension of this additional Network Operator access will be at the discretion of the NRIWGC.

5. NATIONAL BLOCK AS A RESULT OF MEDICALLY RECORDED DRUG FAILURE

In the RIW System where a health assessment is completed and the health assessment requires a drug and alcohol test, if the drug test comes back as confirmed positive, the Authorised Health Professional (**AHP**) records the results and the system automatically places a National block on the RIW cardholder.

While this is recorded on each Network Operator Australia wide, if any of the Network Operators have a rehabilitation mechanism or policy to support lifting the block on their network, the Network Operator can lift the block for their network only; meaning the block remains for all other Network Operators.

Note. The previous paragraphs apply to AHP's or the Service Desk recording a confirmed positive result. Network Operator's with AHP login permission **should not** record D&A failures via their AHP login. If a Network Operator wishes to block a RIW worker on their Network, they are to place a Network Operator block as per paragraph 3.

For further information about how each Network Operator might manage confirmed positive drug and alcohol results, please refer to **Appendix 1 – RIW Blocks and Suspensions Matrix** at the end of this document.

5.1. Blocks initiated via Site Breathalysers

Where a site has a breathalyser unit connected to the RIW System for alcohol testing, a 'site block' will be placed on the RIW cardholder where the initial breath test identifies a 'non-negative' result which will prevent the RIW cardholder from being swiped onto site.

Immediately after the RIW System records the site block, an email is sent to the designated site representative informing them that a non-negative result has been recorded against the RIW cardholder. The email serves as a trigger for the designated site representative to initiate a second confirmatory test.

If the confirmatory test returns a negative result, the site block is removed from the RIW cardholder's profile and allows the RIW cardholder to be swiped onto site. If the confirmatory test comes back as confirmed

positive, the designated site representative notifies the relevant Network Operator and a network block is placed on the RIW cardholder as per paragraph 3 above.

6. NATIONAL / NETWORK OPERATOR ROLE AND COMPETENCE SUSPENSIONS

Network Operators reserve the right to suspend, modify, reinstate, or cancel a RIW cardholder's authorisations, including their RIW card for any of the following reasons:

- Any incident that results in the RIW demonstrating reckless act or legislative breach;
- Organisational breach;
- The RIW cardholder is the subject of any action resulting from the Drug & Alcohol Testing;
- Safe working breach;
- Wherever a time-based remedial action is considered with a training/mentoring program to up-skill the RIW cardholder;
- Competence and/or performance has, or may have, the potential to impact safety or is called into question;
- The RIW cardholder is unable to meet competency requirements or re-certification is not granted;
- Advice has been received that the RIW cardholder no longer meets the requirements of the National Health Standards;
- RIW cardholder has contravened a Fatigue Management Program; and/or
- Other valid reason as determined by the Network Operator.

Suspensions can be administered in two ways:

- A role suspension – this will prevent the RIW from undertaking work in the suspended role, and
- A competence suspension – this will prevent a RIW from undertaking work in any role where the suspended competence is required.

Depending on the outcome of an incident or re-certification assessment, a Network Operator may elect to suspend the RIW cardholder from their duties or downgrade their role or competency. Role and competence suspensions provide a Network Operator with an ability to prevent a RIW cardholder from working on their Network while still allowing the RIW cardholder to work on another Network Operators rail network.

7. EMPLOYER BASED ROLE SUSPENSIONS AND COMPETENCE SUSPENSIONS

Those employers with the permission to create employer-based roles and competencies reserve the right to suspend, modify and reinstate a RIW cardholders' site-specific role or competence. This means if a RIW cardholder is involved in a breach either as a result of an accident, incident or site rule breach, then the employer has the right to suspend the RIW cardholder from undertaking work from that site only by suspending the site-specific role(s) or competence(s).

7.1. When will a site suspension be placed?

Employer based suspensions can be placed for any of the following reasons:

- Overstaying fatigue limits;
- Safe working breach;
- RIW cardholder is carrying out any work in an unsafe or unsatisfactory manner;
- Infringes any safety rule or regulation;
- A RIW cardholder is performing work for which he/she is not suitably qualified;
- A RIW cardholder is guilty of misconduct;
- A RIW cardholder has a non-negative alcohol or drug result;
- There is an Infringement of any safety rule or regulation;
- It is considered that the person is unsuitable to work in the vicinity of railway tracks or any of the equipment associated therewith, including not holding the necessary certification or licences required; or
- Other valid reason as determined by the owner of the employer role/competence.

Note: If a RIW cardholder is involved in a serious safety breach, including drug and alcohol, or the employer believes the RIW cardholder should be blocked, the Contractor in Charge or the employer should notify the relevant Network Operator to request a block to be placed on the RIW cardholder in question. The Network Operator will make that determination if a block is required.

8. BLOCKS AND SUSPENSIONS MISUSE

While there are several reasons why a block or suspension can be placed on a RIW cardholder, these are targeted towards competency management reasons and not for behavioural management reasons. Managers/Supervisors must remember to remove any suspension as soon as practicable, especially before the end of project, as these are difficult to remove after the project closes and people move on.

Disputes concerning National Blocks should be lodged in writing to the Australasian Railway Association who will aim to mediate a reasonable outcome. Please email riw@ara.net.au.

9. BLOCKS AND SUSPENSIONS DISPUTES

Where an RIW cardholder has a block and/or suspension on their profile and believes this is incorrect, the following actions are required by the cardholder:

- Place **Block/Suspension Review Request** as the subject of your email. Then for:
 - **National Blocks and/or National Role and Competence Suspensions** email the ARA via riw@ara.net.au
 - For **Network Blocks and/or Network Role and Competence Suspensions** - contact the Network Operator who placed the block. Network Operator email address can be found at the following link <https://www.riw.net.au/contact-us/#contact-network-operators>
 - For **Employer Role and Competence Suspensions**, contact the Employer who placed the block/suspension

The outcome of a dispute review process is final.

10. RIW SYSTEM TRAINING

Training material to support placing/removing of blocks and suspensions can be found on RIW website at <https://www.riw.net.au/>.

11. GLOSSARY


Authorised Health Professionals (AHP)	An AHP is a Medical provider that has been approved by the Chief Medical Officers Council to conduct rail safety worker medicals. Some AHPs have the ability to directly upload medicals to the cardholder's profile.
Authorised Person	An employee of a Network Operator who is authorised to contact the Service Desk and request a block/suspension be placed on a RIW Cardholder.
Australasian Railway Association (ARA)	<p>The ARA is the owner and endorser of the RIW Program.</p> <p>The ARA is the peak body for the rail sector in Australia and New Zealand. The ARA represents more than 150 member organisations including passenger and freight operators, track owners and managers, suppliers, manufacturers, contractors and consultants. Members include listed and private rail-related companies, government agencies and franchisees.</p> <p>For more detailed information about the ARA, visit www.ara.net.au</p>
Associated Company	An associated company is an employer that has view rights to a RIW cardholder who is not their primary or secondary employee.
Association	Association is ongoing and advanced visibility of a cardholder's profile, who is not directly the company's employee.
Blocks	<p>A block is a restriction that prevents a RIW from working on a Network Operator's rail network or multiple rail networks. This can be at two levels in the system:</p> <ul style="list-style-type: none"> • At a National level which impacts all work sites on all participating rail networks, or • At a Network level which includes all work sites on a specific Network Operator only. <p>Blocks can only be placed by a Network Operator or by the National Rail Industry Worker Governance Committee (NRIWGC) via the RIW Service Desk.</p> <p>Note: While the system automatically places a national block on a cardholder for a failed D&A result, this is a system generated block which is different than the manual national and network blocks listed above.</p>
Cardholder	A cardholder is a person who has a RIW profile and card they can also be referred to as the worker.
Competency	Competency is the ability and evidence provided to demonstrate knowledge or the application of a task successfully and consistently. In the Rail Industry, the term competency refers to a number of requirements including qualification, accreditation, validation and re-validation authorisation, currency, and certification.

	<p>There are some competencies such as safe working competencies that expire within a nominated time frame, this means that a cardholder would need to be re-assessed to remain competent in that capacity.</p> <p>A qualification or unit of competency issued under the Standards for RTOs can also be considered a competency. For the purposes of the Rail Industry Worker program and the safety critical nature of the roles performed, although most qualifications/units do not expire, cardholders may be required to prove they have maintained the appropriate level of competency against certain units. A revalidation date will be shown in the RIW system for this purpose.</p> <p>Note: This does not mean the AQTF qualification is no longer recognised, it simply means that it is not valid for this cardholder in the context of the rules relating to the competency. For more information please visit the RIW business rules page.</p>
Consortium	Means a project delivered by one of the RIW participant employers with other entities, who may or may not be a RIW Participant, and where the consortium has an ABN/ACN.
Contractor	The term used to define a company or the employer of the work force.
Contractor in Charge (CIC)	This term is given to the company who has been allocated the 'Project' within the RIW Program, and therefore is responsible for adhering to the requirements set by the Network Operator. This allocation of a CIC is typically part of the contract award phase of a project and is conducted by the Network Operator administrator.
Employer Administrator	An Employer Administrator is a permission in the RIW system who has full access rights to a company's functionality and the primary cardholders. A company's Employer Administrator primary use is to manage and monitor the primary employees RIW profiles.
Employer Based Roles and Competencies	Companies with the permission to create employer-based job roles and competencies. This functionality grants the right to create, amend, suspend, modify, and reinstate an employer-based job role or competency to a RIW cardholder.
Job Role	<p>A job role is a particular task or set of actions that a cardholder has the competence and compliance to perform. If a cardholder does not have the required job role, they may not be permitted to work on a site in that capacity. Job roles can be categorised as employer, national or network based.</p> <ul style="list-style-type: none"> • National – a job role that is nationally recognised, such as Around the Track Personnel. • Network – a job role that is specific to a network, such as MTM-Handsignaller, ARTC – Track Force Protection Coordinator or V/Line – Operator. • Employer – a job role that is specific to a Premium Functionality Employer. Employer-based job roles can only be created and assigned by Premium Functionality Employers.

	To fulfil the requirements of a job role, a cardholder must be able to demonstrate they hold the correct competencies, requirements (such as a medical), or that the job role has had an assessment performed by an approved assessor.
Metro Trains Australia (MTA)	MTA is the service provider of the RIW Program.
Medical Assessment	Certain job role or competencies require a cardholder to have a medical assessment prior to being classed as competent. These medical assessments must be completed by a rail approved medical provider.
National Rail Industry Worker Governance Committee (NRIWGC)	The NRIWGC is made up of representatives from accredited rail transport operators, infrastructure organisations and principle contractor organisation. It was established to develop and manage the ongoing operations of the RIW. The RIW is a workforce management system that aims to establish cohesive, national approach to competency management allowing access and portability for rail workers across each of the different state networks.
Network Operator	Network Operator in the RIW Program refers to the Accredited Rail Transport Operator, the custodian of the rail network. Whilst these Network Operators are Rail Transport Operators within the rail safety national law, within the RIW Program they are referred to as Network Operators.
Premium Functionality Employers	Premium Functionality Employers include Network Operators and larger organisations that have access to additional functionality within the RIW system. These include employer competencies, employer job roles, crew management, allocated items management and pay on account facilities.
Primary Employer	The Primary Employer is the company responsible for paying for the cardholder's annual subscription to the RIW Platform which enables the company to create/employ the cardholder and edit all areas of the cardholder's profile.
Rail Industry Worker (RIW)	Any individual who is issued a RIW card including without limitation any employees, agents, officers, contractors (or employees, officers or contractors of those contractors) or invitees (or employees, officers or contractors of those invitees) of the ARA or the ARA's Members.
Rail Industry Worker (RIW) Card	Physical card which contains data linked with the RIW system for the purposes of identification of the cardholder and data captured regarding their job roles and competencies etc.
Rail Industry Worker (RIW) System	The RIW system is the main system used by Employer Administrator to manage a workforce. The RIW system is used to send employment requests, manage cardholder profiles including uploading competencies and job roles and ordering cards for cardholders.
Site Administrator	The Site Administrator is the person appointed to assist with management of administration requirements on the site within a project.

Suspension	<p>A suspension is the temporary removal of a job role or competency. There are two levels of suspensions:</p> <ul style="list-style-type: none">• National/Network Operator Specific – suspended from working in a specific capacity, or• Employer based suspension – suspended from operating in a certain capacity that the contractor in charge may require for access to a worksite.
Worker	<p>Refers to a cardholder within the RIW Program.</p>
Work restriction	<p>A temporary or permanent work restriction that is placed by an AHP or primary employer to describe what restriction is associated with the cardholder, i.e. must wear prescription glasses, cannot work at heights.</p>

12. APPENDIX 1 – RIW BLOCKS AND SUSPENSIONS MATRIX

	Random, Post Incident, Show Cause etc.		AHP medical assessment where a drug and/or alcohol test is part of the medical	Is there a rehabilitation / decision review option available?	What is the process?
	Confirmed positive alcohol result	Confirmed positive drug result	Confirmed positive drug and alcohol result		
ARTC	Network Block placed on RIW by ARTC employee with Network Operator Permission Access	Network Block placed on RIW by ARTC employee with Network Operator Permission Access	Where an AHP records the result in the RIW system, the system generates a National Block. Where the AHP does not use the RIW System, the National Block is placed by the ARTC employee via their AHP Login/ RIW Login. <i>Note. An authorised representative from ARTC may contact the Service Desk to have the result recorded and block applied.</i>	Yes.	The ARTC (Interstate, Hunter Valley, Corporate Services and Inland Rail) contact person for further information is Mr Frank Dal Santo Email : FDalSanto@ARTC.com.au Phone : 08 8217 4105 or 0455 935 271
MTM	Network Block placed on RIW by MTM employee with Network Operator Permission Access	Network Block placed on RIW by MTM employee with Network Operator Permission Access	Where an AHP records the result in the RIW System, the system generates a National Block. Where the AHP does not use the RIW System, the National Block is placed by MTM Medical's team via their AHP Login. <i>Note: An authorised representative from the Network Operator may contact the RIW Service Desk to have the result recorded and block applied.</i>	Yes.	Contact competencies@metrotrains.com.au. If approved, MTM will lift the National Block from their Network only.
TfNSW	Network Block placed on RIW by RIW Service Desk with Network Operator Permission Access	Network Block placed on RIW by RIW Service Desk with Network Operator Permission Access	Where an AHP records the result in the RIW system, the system generates a National Block. Where the AHP does not use the RIW System, the National block can be requested from the Network Operator via the RIW Service Desk. <i>Note. An authorised representative from the Network Operator may contact the RIW Service Desk to have the result recorded and block applied.</i>	Yes.	The following link has all the information around Drugs & Alcohol and rehabilitation process https://railsafe.org.au/contractors-health-assessment-and-drug-and-alcohol-information If you cannot locate a rehabilitation provider you can email Sherryl who can direct you to a nearby provider on SHERRYL.ROZARIO@transport.nsw.gov.au
PTAWA	Network Block placed on RIW by PTA employee with Network Operator Permission Access	Network Block placed on RIW by PTA employee with Network Operator Permission Access	Where an AHP records the result in the RIW system, the system generates a National Block. Where the AHP does not use the RIW System, the National block can be requested from the Network Operator via the RIW Service Desk. <i>Note. An authorised representative from the Network Operator may contact the RIW Service Desk to have the result recorded and block applied.</i>	Not at present.	
QR	Contractor personnel that returns a positive alcohol test will be managed by their employer and are to be excluded immediately from Queensland Rail workplaces. The test subject may be denied future access to Queensland Rail workplaces at Queensland Rail's absolute discretion.	Contractor personnel that returns a not-negative onsite drug screening test must be immediately relieved from duty and excluded from Queensland Rail workplaces until laboratory confirmation is received. Contractor personnel that returns a positive test will be managed by their employer and are to be excluded immediately from Queensland Rail workplaces. The test subject may be denied future access to Queensland Rail workplaces at Queensland Rail's absolute discretion.	RIW system generated National Block placed. If a Network Operator has a rehabilitation mechanism or policy to support lifting the block for their Network, the Network Operator can lift the block for their Network only.		
V/Line	Network Block placed on RIW by V/Line RIW committee member with Network Operator Permission Access	Network Block placed on RIW by RIW Service Desk with Network Operator Permission Access	Where an AHP records the result in the RIW System, the system generates a National Block. Where the AHP does not use the RIW System, the National Block is placed by V/Line Medical's team via their AHP Login. <i>Note: An authorised representative from the Network Operator may contact the RIW Service Desk to have the result recorded and block applied.</i>	Not a present, though one is being developed.	