

## A Regulatory Bibliography

This bibliography was developed as part of the information management strategy employed by the Authors on this assignment. It is designed to demonstrate the robustness and transparency of the Discussion Paper as well as the process used to develop the Paper. It will also serve as an on-going resource for the NCSA in its endeavours to develop the Naval Regulatory System.

It will be made available in Microsoft Excel on the Defence Restricted Network (DRN) within the NCSA file directory structure. This will enable NCSA Staff to filter and sort the Bibliography.

Other organisations that receive the Discussion Paper will receive a floppy disc containing the Microsoft Excel file for their use.

Questions on the Bibliography should be directed to the Authors in the first instance. Their contact details are listed at the end of this document.

### Notes:

1. **Ref No.** Ref No is the Unique Identifier allocated to each reference. It uniquely identifies the reference.
2. **Title.** Title is the title of the publication where made clear.
3. **Description.** Description is a short summary or description of the publication where available or generated.
4. **Info Form.** Info Form is the form of information that the publication has used.
5. **Hard Copy Location.** Hard Copy Location is the Naval Regulatory System Folder that contains the publication or copy of the publication. It is only available to NCSA.
6. **Date of Publication.** Date of Publication is the date the publication was published if it is able to be determined at all.
7. **Author/Endorsed By.** Author/Endorsed By articulates who the author of the publication is and/or the authorisation for the publication as in some official documentation no author is listed.

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 1	RAN Regulatory System	Ref: 2001/25086, DGNCSA/OUT/2002/033  Identifies the roles of NCSA to develop an holistic regulatory and audit framework that encompasses both operational, technical and personnel aspects of safety, to mitigate against systemic accidents; and introduces the concept of the safety case model.	Minute	Naval Regulatory System Folder 1	18 July 2002	MA Sander, Captain, RAN, DGNCSA
NRS 2	Draft: NAVSYSCOM - Review of the Intranet Web Site	The purpose of the web site review was to assess and validate the NAVSYSCOM web site's ability to provide accurate information about the command; and provide recommendations based upon the findings of the review, including proposed timelines and resource implications.	Report	Naval Regulatory System Folder 1	27 June 2002	The FRAME Group Pty Limited
NRS 3	Report from Governance Working Group Containing Recommendations Concerning the New Electricity Industry Governance Structure	A report from the Governance Working Group (GWG) to the Establishment Committee on the conceptual design of that new governance structure, containing recommendations relating to all aspects of the governance structure.	Paper	Naval Regulatory System Folder 1	12 February 2001	P Bradley, The Marketplace Company
NRS 4	Activities of the European Process Safety Centre in Relation to the Seveso II Directive	The European Process Safety Centre (EPSC) is an international industry-funded organisation which exists to provide an independent technical focus for process safety in Europe. In the period that the SEVESO II Directive was being drafted, EPSC was particularly active in Technical Working Groups set up by the European Commission to consider different aspects of major hazards legislation. This close involvement ensured that an independent industrial view was heard by the Commission during the drafting of the Guidance associated with SEVESO II. This paper discusses this involvement and the resulting guidelines covering the requirements of the SEVESO II Directive.	Paper	Naval Regulatory System Folder 1	...	SR Jones and P de Voogd, EPSC Rugby, UK
NRS 5	Australian Offshore Petroleum Safety Case Review: Future Arrangements for the Regulation of Offshore Petroleum Safety	In 1999 the Commonwealth Government commissioned a review of the offshore safety management in response to the Government's 1998 commitment to review the Australian offshore safety case regime and Commonwealth concerns as to the adequacy of the current regulatory arrangements. This report provides the background to the current regulatory system, details the objectives and mechanisms of the review, discusses the findings of the evaluation of the regime by an independent team of offshore safety experts and details the Commonwealth's response to this and other inputs.	Report	Naval Regulatory System Folder 1	30 September 2001	Department of Industry, Science and Resources. Offshore Safety and Security, Petroleum and Electricity Division
NRS 6	National Offshore Petroleum Safety Improvement: Issues Paper	Outlines, as a basis for consultation, the preferred approach to improving offshore petroleum safety arrangements including possible changes to the institutional arrangements, transitional technical arrangements and improving the existing legislative arrangements.	Paper	Naval Regulatory System Folder 1	02 May 2002	Department of Industry; Petroleum and International Energy Division

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 7	Reducing the Risk of Policy Failure: Challenges for Regulatory Compliance	An overview of emerging issues for regulatory compliance, and focuses on assessing the level of compliance with regulations by target groups, and possible explanations for why compliance levels are low or high.	Report	Naval Regulatory System Folder 1	...	Organisation for Economic Co-operation and Development (OECD)
NRS 8	Safety Cases: Success or Failure?	Presentation to the National Research Centre for Occupational Health and Safety, ANU 15 May 2002.  Sets out the historical background to the development of safety cases as a tool to manage and regulate major hazard industries, primarily in the UK. The main features of successful safety case systems are described and an assessment made of the successes and failures in their application.	Paper	Naval Regulatory System Folder 1	15 May 2002	P Wilkinson, Manager Review Implementation Team, Offshore Safety Section, Department of Industry, Tourism and Resources (DITR)
NRS 9	The EQUiP Guide - Section 4, Standards and Guidelines	...	Report	Naval Regulatory System Folder 1	30 June 2002	The Australian Council of Healthcare Standards
NRS 10	Report on Visit by Executive Officer, Certification, to the Australian Maritime Safety Authority (AMSA), 3-7 July 2000	The purpose of the visit was to investigate what lessons might be learnt from the Authority with respect to the development and administration of a maritime regulatory framework.	Report	Naval Regulatory System Folder 1	07 July 2000	IC Laverock, Executive Officer, Certification, DNCS-SS
NRS 11	Draft: Navy Regulatory System Project Team Terms of Reference	To manage the development of the overarching Navy Regulatory System that will be built upon the existing systems of assurance for technical, operational, safety and environmental compliance.	Other	Naval Regulatory System Folder 1	...	...
NRS 12	Draft: Job Safety Analysis	The JSA is a process whereby the activities/tasks undertaken by employees and contractors are analysed in a systematic manner to identify and control hazards. The main aim is to develop, communicate and implement safe work practices or procedures prior to the commencement of work.	Paper	Naval Regulatory System Folder 1	10 May 2002	...
NRS 13	Regulation in a Changing World of Work	Presentation about the challenge for occupational health and safety regulators in the changing world of work.	Paper	Naval Regulatory System Folder 1	...	Director General, Health and Safety Executive, UK
NRS 14	Railway Safety: Analysing Risks and Causes	...	PP Presentation	Naval Regulatory System Folder 2	08 December 2000	Railtrack Safety and Standards Directorate, Railtrack PLC
NRS 15	Study on ATM Market Organisation	...	PP Presentation	Naval Regulatory System Folder 2	28 May 2001	Booz-Allen and Hamilton

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 16	Integrated Risk Management Framework	Provides guidance to advance the use of a more corporate and systematic approach to risk management; contributes to building a risk-smart workforce and environment that allows for innovation and responsible risk-taking while ensuring legitimate precautions are taken to protect the public interest, maintain public trust, and ensure due diligence; and proposes a set of risk management practices that departments can adopt, or adapt, to their specific circumstances and mandate.	Web site	Naval Regulatory System Folder 2	...	Treasury Board of Canada, Secretariat
NRS 17	An Introduction to System Safety Management and Assurance	Issue 1  Provides an introduction to System Safety Management concepts, terms and activities. It is intended to allow Ministry of Defence and contractor staffs to understand quickly how safety issues affect them.	Booklet	Naval Regulatory System Folder 2	28 February 2002	R David, Advantage Technical Consulting, Ministry of Defence, UK
NRS 18	Regulation Inside Government: Public Interest Jurisdictions and Regulatory Failures	...	Article	Naval Regulatory System Folder 2	...	O James, Public Administration, 2000, Vol 78(2):327-343
NRS 19	Regulation of Government: Has it Increased, is it Increasing, should it be Diminished?	...	Article	Naval Regulatory System Folder 2	...	C Hood, O James and C Scott, Public Administration, 2000, Vol 78(2):283-304
NRS 20	Food Safety Regulation and the Conflict of Interest: The Case of Meat Safety and <i>E. Coli 0157</i>	...	Article	Naval Regulatory System Folder 2	...	R Schofield and J Shaoul, Public Administration, 2000, vol 78(3):531-554
NRS 21	Balancing Accountability and Efficiency in a More Competitive Public Sector Environment	Keynote address	Article	Naval Regulatory System Folder 2	...	P Barrett, Australian Journal of Public Administration, 2000, 59(3):58-71
NRS 22	Establishing New Advertising Self-regulatory Schemes: A Comparison of the UK and Australian Approaches	...	Article	Naval Regulatory System Folder 2	...	D Harker and M Harker, Australian Journal of Public Administration, 2000, 59(2):56-62
NRS 23	The Politics of Regulation: A Comparative-Historical Study of Occupational Health and Safety Regulation in Australia and the United States	...	Article	Naval Regulatory System Folder 2	...	L Clark, Australian Journal of Public Administration, 2000, 58(2):94-104

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 24	Three Accountability Anxieties: A Conclusion to the Symposium	...	Article	Naval Regulatory System Folder 2	...	J Uhr, Australian Journal of Public Administration, 2000, 58(1):98-101
NRS 25	A Standard for Regulatory Compliance? Industry Self-regulation, the Courts and AS3806-1998	...	Article	Naval Regulatory System Folder 2	...	P Carroll and M McGregor-Lowndes, Australian Journal of Public Administration, 2001, 60(4):80-91
NRS 26	A Guide to AS3806 - 1998 Compliance Programs	Provides guidance on the development and operation of effective compliance systems. It is intended to assist those involved in the area of compliance, by giving explanations of the Standard and practical suggestions concerning its application.	Standard - AS Defence	Naval Regulatory System Folder 2	...	B Sharpe and R Dennings, Standards Australia
NRS 27	Guide 61 - General Requirements for Assessment and Accreditation of Certification/Registration Bodies	Objective of this Guide is to describe accreditation as providing, by means of assessment and subsequent surveillance, an assurance that the market can rely on certificates issued by the accredited bodies. However, organizations other than accreditation bodies, concerned with recognition of competence, may also use it by replacing "accreditation" by "recognition".	Standard - AS/NZ	Naval Regulatory System Folder 2	...	Standards Australia and Standards New Zealand
NRS 28	NCSA Outcomes Required	...	Other	Naval Regulatory System Folder 2	13 May 2002	HolisTech Pty Ltd
NRS 29	Risk Management Beyond 2001	...	PP Presentation	Naval Regulatory System Folder 2	24 May 2002	DF Cooper, Broadleaf Capital International Pty Ltd
NRS 30	Brief for Participants: CMIS Workshop 9 May 2002	Provide participants with the program for the workshop and a degree of background to the Certification Management Information System (CMIS).	Brief	Naval Regulatory System Folder 2	02 May 2002	HolisTech Pty Ltd
NRS 31	NCSA Analysis - Outline Plan	Identifies the framework, processes and responsibilities for the analysis of NCSA.	Brief	Naval Regulatory System Folder 2	13 May 2002	HolisTech Pty Ltd
NRS 32	Results from Workshop 9 May 2002	Articulates the results from the CMIS workshop of 9 May 2002.	Brief	Naval Regulatory System Folder 2	27 May 2002	HolisTech Pty Ltd
NRS 33	Permissioning Organisation Visits Report	Outlines the results of visits to various government, commercial-for-profit and commercial-not-for profit 'permissioning' organisations.	Brief	Naval Regulatory System Folder 2	18 July 2002	HolisTech Pty Ltd
NRS 34	Development of the Naval Regulatory System Framework	Brief to the Project Board to advise the board of the project intent, plan, current status and activities and to ensure the current plan and work is aligned with the Board's vision for the project.	PP Presentation	Naval Regulatory System Folder 2	22 July 2002	HolisTech Pty Ltd

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 35	Outcomes of the Naval Regulatory System Board Meeting of 22 July 2002	Outlines the outcomes of the brief to Project Board of 22 July 2002.	Brief	Naval Regulatory System Folder 2	26 July 2002	HolisTech Pty Ltd
NRS 36	Draft: Marine Casualty and Incident Investigation Course	Course notes and exercises that include items NRS 36 through 42.	Other	Naval Regulatory System Folder 3	14 January 2002	...
NRS 37	Guessing Why Before Determining What: Hypothesis Generation in Data Gathering for Human Factors Investigations	Human performance has been shown to be a significant contributor to aviation accidents and incidents in a large percentage of cases. Fortunately, theory of human performance and error has been advancing to a point where we can often develop valid accounts of the behaviour of those involved in the mishap. Extensive data gathering is required to guide the development of valid accounts. Due to the wide range of issues that may be relevant, we believe it is necessary to tie hypothesis generation tightly to data gathering. Hypothesis generation serves to create initial accounts of human performance that indicate the set of data that may be relevant to the investigation. This paper argues for a more formal hypothesis-generation process that is conducted in short, iterative cycles with data gathering in the first few months of the investigation.	Paper	Naval Regulatory System Folder 3	...	RJ Mumaw, P Renshaw, T Wang and Yei-Yu Yeh
NRS 38	Human Error and Decision-making	...	Paper	Naval Regulatory System Folder 3	06 July 2001	A Hobbs, Human Factors for Transport Investigators, Canberra, 2-6 July 2001
NRS 39	Fatigue - Annex 1	MSC 70/13  Provides a description of the basic concepts of sleep and fatigue; describes common fatigue-related performance effects; and achieves a common understanding about terms such as <i>fatigue</i> , <i>sleep debt</i> , <i>circadian rhythm</i> and other commonly used, but potentially ambiguous terms.	Paper	Naval Regulatory System Folder 3	...	...
NRS 40	Administrative Inquiries Manual	ADFP 202  Provides advice and guidance to all personnel who may be required to appoint or conduct or otherwise be involved in one or more of a range of inquiries from unit level through to Boards of Inquiry. Guidance is also provided to Commanders to assist in determining what type of inquiry is appropriate to a wide range of incidents or matters affecting the ADF, and requirements for monitoring and making decisions on the outcomes of those inquiries. The manual is produced to ensure administrative inquiries in the ADF are conducted according to policies and the law, and that the rights and interests of affected persons and other Defence personnel are protected throughout the process.	Instruction	Naval Regulatory System Folder 3	15 May 2000	Director of Military Administrative Law, Defence Legal Office
NRS 41	Military Administrative Law - Administrative Inquiries	...	PP Presentation	Naval Regulatory System Folder 3	22 January 2002	...

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 42	Military Administrative Law	...	PP Presentation	Naval Regulatory System Folder 3	22 January 2002	L Griffiths, WGCDR, DDMAL
NRS 59	Alcoa Environment, Health and Safety	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002 Provides the environment, health and safety values, policy and principles of Alcoa.	...	Naval Regulatory System Folder 3	...	...
NRS 43	Implementation of the ISM Code in Australia	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002 Provides an international standard for the safe management and operation of ships and for pollution prevention.	Paper	Naval Regulatory System Folder 3	21 October 1997	...
NRS 44	Lloyd's Register: The ISM Code	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002	Handbook/Manual	Naval Regulatory System Folder 3	...	Lloyd's Register
NRS 45	Risk Management in Shipping - Achieving "CONFIDENCE"	Poster: P06 Part of the ISM Marine Safety Two Day Course held Sydney, March 2002 Provides a framework which enables continuous improvement to an organisation's decision-making processes, as well as providing a coherent, transparent and consistent approach to the identification, assessment, treatment and monitoring of all aspects of risk present across the organisation. Not just an abstract on the poster presentation.	Poster Presentation	Naval Regulatory System Folder 3	...	T Dillenbeck and T Brogan, Det Norske Veritas
NRS 46	Computational Intelligence Algorithms Supporting Navigator Manoeuvring Decisions to Avoid Collisions at Sea	Poster: P08 Part of the ISM Marine Safety Two Day Course held Sydney, March 2002 Provides detailed information on methods of steering, not just an abstract on the poster presentation.	Poster Presentation	Naval Regulatory System Folder 3	...	J Lisowski, Gdynia Maritime Academy, PL
NRS 47	Human Factors in the Marine Environment	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002 Provides detailed insight into human factors, a multi-disciplinary field which brings together knowledge from the human sciences and from engineering to address the specification, design and assessment of work systems which take into account both the capabilities and the limitations of human performance. The paper aims to serve as an introductory document to those wishing to know "What is Human Factors?", "What is its role in addressing the human element in marine safety?", and "What is the current status of human element initiatives in the maritime industry?".	Paper	Naval Regulatory System Folder 3	...	RSP Bell, CK Bright and JV Earthy

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 48	Developing Management Systems for Pro-active Environmental Management	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Addresses the issues associated with managing and operating ships in accordance with environmental systems which conform to ISO 14001 - Environmental Management Systems.	Paper	Naval Regulatory System Folder 3	29 January 1999	PJH Lightburn, Lloyd's Register Quality Assurance
NRS 49	Quality and Safety Policy: Drills and Exercises	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002	Other	Naval Regulatory System Folder 3	...	The Great Shipping Company Pty Ltd
NRS 50	Marine Risk Assessment - the ISM Code and Beyond	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  The introduction of the ISM Code and other safety initiatives has given greater emphasis to risk assessment based on well established methods that, to date, have found little enthusiasm within the marine industry. This paper places risk assessment within the context of the requirements implicit within the ISM Code, describes a structured approach to risk assessment and discusses the wider implications of the trends in safety assurance that will place more emphasis on the structured assessment of risks. Some comment is made on the progress with the effective implementation of the ISM Code. Attention is drawn to the benefits to the ship operator from using risk assessment methods in managing their business to optimise costs.	Paper	Naval Regulatory System Folder 3	...	RV Pomeroy, Lloyd's Register of Shipping, London
NRS 51	Lloyd's Register: Naval Ships	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Provides information on the classification and consultancy services for naval, military and auxiliary vessels that includes design appraisal, survey during construction and condition surveys for existing ships, and ongoing periodical surveys through the ship's life.	Web site	Naval Regulatory System Folder 3	...	Lloyd's Register
NRS 52	Classification-Adapting and Evolving to Meet the Challenges of the New Safety Culture	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Classification societies have played an important part in marine safety ever since Lloyd's Register (LR) was founded in 1760. The process of classification has evolved to meet the changing challenges and it will continue to develop to meet the needs of the shipbuilding and ship operating community. The paper reminds the reader of the background to classification, the role beyond safety of the rules and examines the challenges posed by the rapid changes in the regime for the management of safety within the marine industry. Based on the developments by LR the response to change is described, illustrating how some innovative developments that have been in place for some time are now even more relevant.	Paper	Naval Regulatory System Folder 3	...	RV Pomeroy, Lloyd's Register of Shipping, London

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 53	Marine Quality Services: ISM Shipboard Audit Notes	Cover page to example manuals of XYZ Shipping Ltd Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Aids ship operators in preparing for ISM Code audit, and to assist auditors in auditing the particular type of vessel.	Other	Naval Regulatory System Folder 4	...	...
NRS 54	Example: Company Procedures Manual - XYZ Shipping Ltd	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Describes how the company procedures and all other company documents relevant to the Safety Management System are compiled, issued and amended.	Other	Naval Regulatory System Folder 4	...	...
NRS 55	Example: Safety Management Manual - XYZ Shipping Ltd	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002	Other	Naval Regulatory System Folder 4	...	...
NRS 56	Example: Shipboard Contingency Plan - XYZ Shipping Ltd	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Intended as a basic framework, this document provides guidance and advice to enable the Master and ship's company to deal with accidents or emergency situations.	Other	Naval Regulatory System Folder 4	...	...
NRS 57	Example: Fleet Instructions Manual - XYZ Shipping Ltd	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Provides a framework within which Masters and Officers can work safely and effectively without inhibiting the use of initiative or discretion when faced with an unusual situation.	Other	Naval Regulatory System Folder 4	...	...
NRS 58	Example: Shore-based Contingency Plan - XYZ Shipping Ltd	Part of the ISM Marine Safety Two Day Course held Sydney, March 2002  Provides guidance to the Emergency Response Team in the event of a report from one of the company's ships of an accident or an emergency situation which warrants the convening of the Emergency Response Team.	Other	Naval Regulatory System Folder 4	...	...
NRS 60	NAVSAFE Manual, Navy Safety Management	Provides instruction on the processes that will allow managers and supervisors to secure the highest standard of health and safety for all personnel, ships, establishments and their systems, and describes the safety framework, entitled 'NAVSAFE', through which policy is implemented throughout the Navy.	Instruction	Naval Regulatory System Folder 4	27 April 2000	DJ Shackleton, Vice Admiral, RAN, Chief of Navy
NRS 61	AS/NZS 4804:2001 - Occupational Health and Safety Management Systems	Provides guidance on how occupational health and safety management systems (OHSMS) may be set up; how it can be continually improved; and what resources may be used to do this.	Instruction	Naval Regulatory System Folder 4	15 November 2001	Standards Australia/Standards New Zealand

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 62	Naval Ship Classification - A role for NG6?	PowerPoint presentation.	PP Presentation	Naval Regulatory System Folder 4	...	D Wilson, UK D=MoD Sea Technology Group
NRS 63	Revision of SOLAS Chapter II-2: Construction - Fire Protection, Fire Detection and Fire Extinction	In 1992, the Sub-Committee on Fire Protection agreed to undertake a comprehensive revision of chapter II-2 of the 1974 Safety of Life at Sea Convention (SOLAS) following the adoption, over a number of years, of various sets of amendments which made the chapter difficult to use and implement. Technological advancements and lessons learned from accidents since the chapter's last revision in 1981, required new provisions to be added and for existing requirements to be modified. However, the outcome of this eight year effort resulted in more than just a "user-friendly" amalgamation of the latest amendments, but an entirely new structure for SOLAS chapter II-2 which may better accommodate the way port and flag States and ship designers deal with fire safety issues in the future.	Paper	Naval Regulatory System Folder 4	20 February 2001	J Westwood-Booth, International Maritime Organization
NRS 64	The Purpose and Function of Classification	...	PP Presentation	Naval Regulatory System Folder 4	...	K Porter, Surveyor, Lloyd's Register of Shipping
NRS 65	Naval Ship Regulation	Shows that while the present system of naval ship regulation has served well, better value for money could be achieved by a new system drawing on commercial practice and expertise.	Paper	Naval Regulatory System Folder 4	...	...
NRS 66	Draft: JSP430 Ship Safety Management Office (SSMO) Approved Code of Practice (ACOP), Part 2	...	Other	Naval Regulatory System Folder 5	19 January 2001	US Department of Defense
NRS 67	Compliance with the Requirements of Technical Integrity for Land Materiel within the Defence Materiel Organisation	Informs the DMO of the requirement to comply with DI(A) LOG 12-1 and to identify appointments as required by that instruction.	Memo (Circular)	Naval Regulatory System Folder 5	23 October 2001	M Roche, Under Secretary Defence Materiel
NRS 68	Australian Offshore Petroleum Safety Case Review, Appendix A: Independent Review Team Report	...	Report	Naval Regulatory System Folder 5	...	...
NRS 69	Australian Offshore Petroleum Safety Case Review: Report of the Independent Review Team	...	Report	Naval Regulatory System Folder 5	29 March 2000	OB Finnestad, M Ognedal, and E Spence
NRS 70	Safety Certification to be Issued by Naval Authority	Discusses the changes in management of UK ships and submarines.	Paper	Naval Regulatory System Folder 5	...	D Pattison, Sea Technology Group (STG)
NRS 71	Review of the Navigation Act 1912: Final Report	...	Report	Naval Regulatory System Folder 5	...	...

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 72	The Role of the IMO in Achieving Better Regulation	...	Web site	Naval Regulatory System Folder 6	...	The Maritime & Coastguard Agency, UK
NRS 73	Principles of Good Regulation	...	Report	Naval Regulatory System Folder 6	...	Better Regulation Task Force, London
NRS 74	Draft: JSP430 Ship Safety Management Office (SSMO) Approved Code of Practice (ACOP), Part 1	...	Other	Naval Regulatory System Folder 6	19 January 2001	US Department of Defense
NRS 75	Rules and Regulations for the Classification of Naval Ships	...	Other	Naval Regulatory System Folder 6	...	Lloyd's Register
NRS 76	Marine Industry Development Strategy	Section One: The Objective of the Strategy  Advises government on how it might maximise sustainable wealth generation from marine industries.	Web site	Naval Regulatory System Folder 6	...	Department of Industry, Science and Tourism
NRS 77	Formal Safety Assessment	...	Web site	Naval Regulatory System Folder 6	...	BMT Reliability Consultants Limited, UK
NRS 78	Regulatory Reform in Occupational Health and Safety in Australia: Why Do We Need to Regulate OHS?	Proceedings from the Risk, Regulation and Responsibility: Promoting Reason in Workplace and Product Safety Regulation Conference.	Web site	Naval Regulatory System Folder 6	13 July 1995	EA Emmett
NRS 79	Safety Regulation of Shipping: Major Issues for the Decade	Shipping in the Asia-Pacific Area - A Major Perspective.	Paper	Naval Regulatory System Folder 6	...	C Davidson
NRS 80	International Commission on Shipping (ICONS)	Speech notes from Chairman of the BIMCO-SOHMEN Forum, Beijing.	Other	Naval Regulatory System Folder 6	15 May 2001	P Morris
NRS 81	Connecting the Globe: I. Regulatory Challenges and Opportunities	A regulator's guide to building a global information community.	Web site	Naval Regulatory System Folder 6	...	Federal Communications Commission, USA
NRS 82	Codes of Conduct: Policy Framework	Identifies where codes of conduct fit in the scheme of regulation, outlines some of the elements for a successful code of conduct and indicates some of the mechanisms that the government might use to support businesses in their use of codes of conduct.	Handbook/Manual	Naval Regulatory System Folder 6	31 March 1998	Department of Industry Science and Tourism
NRS 83	Market Structure: Active Industry Association	Part of a report that discusses effective self-regulation as the strength of industry support.	Other	Naval Regulatory System Folder 6	...	...

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 84	No. 1A: Transfer of Class, Suspension of Class, Reassignment of Class and Class Withdrawal and Reporting of Changes in Class Status	IACS Procedural Requirements 2000/Rev. 3 2002	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 85	No. 3: Transparency of Classification and Statutory Information	...	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 86	No. 5: Definition of Exclusive Surveyor and Non-Exclusive Surveyor and Procedure for Employment and Control of Non-Exclusive Surveyors	IACS Procedural Requirements Rev. 4 2001	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 87	No. 6: Procedure for Activity Monitoring of Surveyors/ISM Code Auditors	...	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 88	No. 7: Procedure for Qualification and Training of Surveyors	IACS Procedural Requirements Rev. 3 2000	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 89	No. 8: Procedure for Responding to Port State Control	IACS Procedural Requirements 1995/Rev. 4 2001	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 90	No. 10: Procedure for Training and Qualification of ISM Code Auditors	IACS Procedural Requirements 2000	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 91	No. 21: Procedural Requirements for Statutory Surveys by Exclusive Surveyors	IACS Procedural Requirements 2000	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 92	Table of Contents to Section Z of the Requirements Concerning Survey and Certification	IACS Req. 1992/Rev. 2002	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 93	Z1: Annual and Intermediate Classification Survey Coverage of IMO Resolution A.746(18)	IACS Req. 1984/Rev. 2 1999	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 94	Z2:	IACS Req. 1992/Rev. 2 1994 Deleted in 1994 - Z10.1 superseded Z2	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies
NRS 95	Z3: Periodical Survey of the Outside of the Ship's Bottom and Related Items	IACS Req. 1984/Rev 1. 1996	Instruction	Naval Regulatory System Folder 6	...	International Association of Classification Societies

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 96	Military Aspects of the Naval Ships Rules	Technical Association, Paper No 1, Session 2001-2002  The Naval Ship Rules were published in provision form in June 1999 and since then have been used for a wide range of ships in a number of design studies, new construction and acceptance into class. Fundamentally they are similar to LR's Merchant Ship Rules, but additional sections and requirements have been introduced to address military requirements and provide an assurance of capability. One of these aspects is the requirement for a Naval Ship to withstand and survive weapon attack. Naval Ships deal with these by the adoption of defensive and countermeasure systems but as a last resort the hull structure should have the capability to withstand a certain level of attack. This paper explains the background to the Naval Ship Rule military notations that can be used to verify that this capability is in the design, in the ship and maintained through life.	Paper	Naval Regulatory System Folder 6	...	Lloyd's Register, Technical Association
NRS 97	The Classification Process and the Safety Case for Naval Ships	Describes how the classification process and services can be adopted to support the Safety Case for machinery and engineering systems in naval ships. Through an established ship classification regime, Lloyd's Register (LR) is able to verify that the material state of the vessel satisfies the assumptions set in the Safety Case and this is described with a specific example. The incorporation of naval procedures and methods such as those established for Reliability Centred Maintenance into the classification process enables demonstrable compliance with elements of the Safety Case and also offers a cost effective approach to verification.	Paper	Naval Regulatory System Folder 7	...	N Rattenbury, Lloyd's Register of Shipping, London
NRS 98	The Design, Construction and Maintenance of Naval Ships to Classification Society Rules	The first part of the paper notes the significant technological advances in the civilian sector and goes on to highlight the diminishing size of Naval Fleets and the pressures on Naval budgets. The second part of the paper introduces Lloyd's Register's Naval Ship Rules and the Naval Classification Regulatory regime developed in association with the UK Ministry of Defence and other Navies. It outlines their basis and structure, and the way in which the requirements unique to naval vessels will be addressed from design to disposal.	Paper	Naval Regulatory System Folder 7	...	GE Gibbons, Ministry of Defence, UK
NRS 99	The Management and Regulation of MoD Ship Safety	Proposes that under delegation from Senior Management, the Platform IPT Leader will develop and approve the Safety Case, taking advice from an Independent Safety Auditor (ISA).	Paper	Naval Regulatory System Folder 7	02 October 2000	G Rudgley, Ministry of Defence, UK
NRS 100	Acceptance into ABS Classification of the Adelaide Class Frigates FFG 01 to FFG 06	Provides an outline of an approach for acceptance into ABS classification of six existing frigates FFG 01 through FFG 06 originally built to US Navy design criteria and being maintained by the Royal Australian Navy.	Paper	Naval Regulatory System Folder 7	31 August 2001	The American Bureau of Shipping
NRS 101	Sea Technology Group: Services and Opportunities	Introduces the services provided by the Sea Technology Group, Ministry of Defence, UK.	Brochures	Naval Regulatory System Folder 7	...	Sea Technology Group, Ministry of Defence, UK
NRS 102	Rules for Naval Surface Craft	...	PP Presentation	Naval Regulatory System Folder 7	22 March 2001	Det Norske Veritas

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 103	Naval Ships: Classification - Potential Savings	...	PP Presentation	Naval Regulatory System Folder 7	22 March 2001	Det Norske Veritas
NRS 104	Naval Class	...	PP Presentation	Naval Regulatory System Folder 7	15 March 2002	Sea Technology Group, Ministry of Defence, UK
NRS 105	Self-Assessment of Flag State Performance: Criteria and Performance Indicators	...	Other	Naval Regulatory System Folder 7	...	...
NRS 106	Draft: NAN Gen/05	Notice to Ministry of Defence Procurement and Support Officers, Designers, Builders and Repairers  Provides formal notification that as from 1/1/2003 Naval Authority Certificates of Safety - Stability (CSS) and Certificates of Safety - Structural Strength (CSSS) will require to be supported by an independent audit from a Recognised Organisation.	Instruction	Naval Regulatory System Folder 7	31 January 2002	Sea Technology Group, Ministry of Defence, UK
NRS 107	MoD/STG Naval Authority - Letter of Delegation to Recognised Organisation	...	Letter	Naval Regulatory System Folder 7	02 August 2001	DR Pattison, Sea Technology Group, Ministry of Defence, UK
NRS 108	Draft: MoD Naval Authority - Letter of Delegation to Recognised Organisation	...	Letter	Naval Regulatory System Folder 7	24 January 2001	Sea Technology Group, Ministry of Defence, UK
NRS 109	HSSMO Guidance for Recipients of Letters of Delegations (LOD) or Letters of Authorisation (LOA)	Revision 2	Other	Naval Regulatory System Folder 7	26 June 2001	Sea Technology Group, Ministry of Defence, UK
NRS 110	Recommendation on Evacuation Analysis for Passenger Ships and High-Speed Passenger Craft	Sub-Committee on Fire Protection, 46th Session, Agenda Item 3	Report	Naval Regulatory System Folder 7	02 February 2002	International Maritime Organisation
NRS 111	Draft: Rules for the Classification of Naval Ships - Safety Equipment and Arrangements	Volume 3, Part 3, Chapter 3	Handbook/Mannual	Naval Regulatory System Folder 7	19 February 2002	...
NRS 112	Escape and Egress	Aims to identify and eliminate congestion that may occur due to movement of personnel along escape routes; demonstrate that escape routes are sufficiently flexible to provide for unavailability due to damage; and provide a benchmark to assess the suitability of arrangements against other vessels.	PP Presentation	Naval Regulatory System Folder 7	26 February 2002	CR Carlisle, Lt, Sea Technology Group, Ministry of Defence, UK

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 113	Regulation and its Review 2000-01	Provides aggregate data on compliance classified according to the significance of the proposal and whether Regulation Impact Statements have been prepared early enough in the policy development process to have contributed to an assessment of alternatives.	Report	Naval Regulatory System Folder 7	...	Australian Productivity Commission
NRS 114	Industry Self-Regulation in Consumer Markets	...	Report	Naval Regulatory System Folder 7	31 August 2000	Taskforce on Industry Self-regulation
NRS 115	Ship Safety and Pollution Prevention: The Regulatory Regime	A general guide to the current safety and pollution prevention requirements for ships.	Paper	Naval Regulatory System Folder 7	31 May 1999	JRG Smith, International Maritime Organisation
NRS 116	SAA/SNZ HB18.7-1994: Guide 7 - Guidelines for Drafting of Standards Suitable for Use for Conformity Assessment	Assists technical committees in drafting standards suitable for use for conformity assessment of products; and may also be used as appropriate for the drafting of standards intended for conformity assessment of processes and services.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 117	SAA/SANZ HB18.23-1991: Guide 23 - Methods of Indicating Conformity with Standards for Third-Party Certification Systems	Lays down methods of indicating conformity with standards and reference thereto in standards. Whilst it is directed specifically to conformity with standards, it is recognized that it may be equally applicable to conformity with other technical specifications. It applies to indications of conformity made under the authority of a certification body. Primarily intended for International Standards but may be used for national standards or other purposes.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 118	SAA/SANZ HB18.27-1991: Guide 27 - Guidelines for Corrective Action to be Taken by a Certification Body in the Event of Either Misapplication of its Mark of Conformity to a Product, or Products which Bear the Mark of the Certification Body being Found to Subject Persons or Property to Risk	Identifies a series of procedures which a national certification body (non-governmental) should consider in deciding how to respond to: a reported misuse of its registered mark of conformity; or a situation in which a certified produce is subsequently found to be hazardous.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 119	SAA/SANZ HB18.42-1991: Guide 42 - Guidelines for a Step-by-Step Approach to an International Certification System	Provides guidance in the operation of acceptance arrangements in the international area.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 120	SAA/SANZ HB18.44-1991: Guide 44 - General Rules for ISO or IEC International Third-Party Certification Schemes for Products.	Applies to international certification schemes for determining conformity with product standards through initial testing and assessment of a manufacturer's quality system and its acceptance followed by surveillance that takes into account the manufacturer's quality system and the testing of samples from the factory and the open market. They are operated in accordance with ISO/IEC Guide 28 and placed under the authority of ISO or IEC. Outlines general rules which parties interest in establishing an ISO or IEC certification scheme should use in developing such schemes.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 121	SAA/SANZ HB18.56-1991: Guide 56 - An Approach to the Review by a Certification Body of its Own Internal Quality System	A framework for use by a certification body in assessing itself, its procedures, and its operations, and incorporates requirements and recommendations to be found in all relevant ISO/IEC reference documents. Using this framework, a certification body should be able to compile a documentary record of its internal quality system review procedure, and use the documentary record for subsequent distribution to all parties concerned.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 122	AS/NZS 3841:1998 Guide 61: General Requirements for Assessment and Accreditation of Certification/Registration Bodies	Describes accreditation as providing, by means of assessment and subsequent surveillance, an assurance that the market can rely on certificates issued by the accredited bodies. However, organisations other than accreditation bodies, concerned with recognition of competence, may also use it by replacing "accreditation" by "recognition".	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 123	AS/NZS 3842:1998 Guide 62: General Requirements for Bodies Operating Assessment and Certification/Registration of Quality Systems	Specifies general requirements for a third-party body operating quality system certification/registration to meet if it is to be recognised as competent and reliable in the operation of quality system certification/registration.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 124	AS/NZS 3843:1998 Guide 65: General Requirements for Bodies Operating Product Certification Systems	Specifies general requirements that a third-party operating a product certification system shall meet if it is to be recognised as competent and reliable.	Standard - AS/NZ	Naval Regulatory System Folder 8	...	Standards Australia/Standards New Zealand
NRS 125	SSP 53: Fleet Acceptance of Naval Platforms and Systems	Issue: 7, 4.98  Explains how the policy, principles and procedures associated with the Fleet Acceptance of Platforms, Systems and Equipment being introduced into Naval Service are to be implemented. It is for use by all organisations associated with procurement and support, and in particular by Project Managers and their staff when procuring equipment within all Ministry of Defence Business Units.	Instruction	Naval Regulatory System Folder 8	...	Ministry of Defence, UK
NRS 126	Independent Surveyors and Flag States: Surveying Versus Auditing	Presented at the 11th Annual Marine Surveying Forum, London	Instruction	Naval Regulatory System Folder 8	15 May 2001	GJ Botterill, CAPT

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 127	Report of Initial Passenger Ship Safety Survey - Form	Form 2112 ICL (05/95)	Checklist	Naval Regulatory System Folder 8	...	Lloyd's Register
NRS 128	Minor War Vessel: Engineering Post Maintenance Safety Inspection	...	Checklist	Naval Regulatory System Folder 8	...	COMAUSPABFOR
NRS 129	Survey Checklist: Annual, Intermediate and Docking Surveys	Form 2100 (01/99)	Checklist	Naval Regulatory System Folder 8	...	Lloyd's Register
NRS 130	Record of Approved Cargo Ship Safety Equipment	Form 2092 (01/99) SE1	Checklist, Letter	Naval Regulatory System Folder 8	...	Lloyd's Register
NRS 131	Survey Checklist - Safety Equipment: Annual, Intermediate and Initial/Periodical/Renewal Surveys	Form 2113 (05/98)	Checklist	Naval Regulatory System Folder 8	...	Lloyd's Register
NRS 132	Nuship Melville Light Off Examination (LOE) 16-20 August 1999: Examination Report	Covering minute and LOE Administration Audit Report dated 20 August 1999. Also includes covering minutes and LOE Reports for HMNZE TE KAHA and HMAS ANZAC.	Report, Minute	Naval Regulatory System Folder 9	31 August 1999	CG Kerr, CMDR
NRS 133	Regulations for Surface Ships: Certificate of Safety - Stability; Certificate of Safety - Structural Strength	...	Other	Naval Regulatory System Folder 9	...	Sea Technology Group, Ministry of Defence, UK
NRS 134	Regulations for Surface Ships: Certificate of Safety - Stability; Certificate of Safety - Structural Strength	The aim of these regulations is to secure for the benefit of the community high technical standards of design, construction, maintenance and performance for the purpose of assuring the safety of life and property at sea and safeguarding the environment. The Regulations outline the philosophy underlying the Certificate of Safety - Stability (CSS) and Certificate of Safety - Structural Strength (CSSS), referred to as the 'Certificates', and explain the procedures to be followed that lead to the issue of these Certificates.	Regulations	Naval Regulatory System Folder 9	31 January 2001	Sea Technology Group, Ministry of Defence, UK
NRS 135	DRAFT: Regulations for Surface Ships: Certificate of Safety - Stability; Certificate of Safety - Structural Strength	The Regulations outline the philosophy underlying the Certificate of Safety - Stability (CSS) and Certificate of Safety - Structural Strength (CSSS), and explain the procedures to be followed that lead to the issue of these Certificates.	Regulations	Naval Regulatory System Folder 9	30 November 2000	Sea Technology Group, Ministry of Defence, UK
NRS 136	ABR 6094 - Volume 2, RAN Submarine Safety (SUBSAFE) Integrated Licensing Plan	Provides details of those activities and conditions whereby the submarine and crew will be licensed to operate in progressively more hazardous environments from initial passage for static dives to deep water activities.	Instruction	Naval Regulatory System Folder 9	30 April 2001	MR Adams, CDRE, Director General Naval Certification and Safety

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 137	Submarine Certificates	Email providing submarine certificates that are focussed strongly on the post handover of material control licensing phase against the product delivery phase. These certificates provide an audit trail of all activities involved in the Submarine Certification Process.	Email	Naval Regulatory System Folder 9	27 March 2002	G Duck, Materiel Certification Officer, DNC-SM
NRS 138	<ul style="list-style-type: none"> <li>Submarine Certificate: Part 1 - New Construction - Initial Certification</li> </ul>	Form No: SC001-1, Revision 10. Form attached to NRS137.	E-Attachment, Other	Naval Regulatory System Folder 9	31 December 2001	...
NRS 139	<ul style="list-style-type: none"> <li>Submarine Certificate: Part 2 - Depot Level Maintenance Availabilities - Maintenance of Certification</li> </ul>	Form No: SC001-2, Revision 10. Form attached to NRS137.	E-Attachment, Other	Naval Regulatory System Folder 9	31 January 2002	...
NRS 140	<ul style="list-style-type: none"> <li>Submarine Certificate: Part 3 - Intermediate Level Maintenance Availabilities - Maintenance of Certification</li> </ul>	Form No: SC001-3, Revision 8. Form attached to NRS137.	E-Attachment, Other	Naval Regulatory System Folder 9	31 January 2002	...
NRS 141	<ul style="list-style-type: none"> <li>Damage Control, Firefighting and Safety Equipment Check List</li> </ul>	Form No: SC002. Form attached to NRS137.	Checklist, E-Attachment	Naval Regulatory System Folder 9	...	...
NRS 142	Performance Based Approach to Vessel Certification - Risk Assessment	PowerPoint slide presentation.	PP Presentation	Naval Regulatory System Folder 9	...	Det Norske Veritas
NRS 143	VeriSTAR Machinery and Safety	PowerPoint slide presentation presented at the Marine Survey 2001 Conference, 6-7 March 2001.	PP Presentation	Naval Regulatory System Folder 9	...	Bureau Veritas
NRS 144	National Standard for Commercial Vessels	PowerPoint slide presentation presented at the Marine Survey 2001 Conference, 6-7 March 2001.	PP Presentation	Naval Regulatory System Folder 9	...	M Horder, Director, National Marine Safety Committee
NRS 145	New Directions for Internal Audit: A Guide for Public Sector Managers	A 'Better Practice' guide put out by the Australian National Audit Office to help organisations achieve an effective internal control structure that will, in concert with strong leadership and competent stewardship, serve to promote the efficient, effective and ethical use of resources.	Handbook/M anual	Naval Regulatory System Folder 10	...	Australian National Audit Office
NRS 146	Procedure for Training and Qualification of ISM Code Auditors No. 10 (Revision 3)	Defines the personal training and qualification and other pertinent requirements of an auditor in accordance with PR9, IACS procedural Requirements for ISM Code Certification..	Handbook/M anual	Naval Regulatory System Folder 10	01 January 2001	...

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 147	Procedure for Qualification and Training of Surveyors No 7 (Revision 3)	Defines the personal training and qualifications of a surveyor.	...	Naval Regulatory System Folder 10	30 June 2000	...
NRS 148	Ferriby Marine - Training	Discusses the training courses held by Ferriby Marine.	Web site	Naval Regulatory System Folder 10	...	Ferriby Marine
NRS 149	The Maritime Safety Management Systems (ISM Code) Sector Scheme: Criteria for Certification as a Maritime Auditor (IRCA/C8/00/1)	The scheme has been developed for the purposes of certifying auditors trained in the principles and practices of auditing within the marine industry sector. The scheme is based on the International Management Code for the Safe Operation of Ships and for Pollution Prevention (abbreviated to International Safety Management Code - ISM Code) and certification is performed by IRCA in conjunction with The Nautical Institute.	Handbook/M annual	Naval Regulatory System Folder 10	28 February 2000	...
NRS 150	Occupational Health and Safety Auditor Training Courses	Provides a list of courses that have been assessed by Quality Society of Australasia (QSA) as meeting the basic training requirements for Occupational Health and Safety (OHS) auditor certification with QSA.	Web site	Naval Regulatory System Folder 10	10 December 2001	Quality Society of Australasia
NRS 151	Safety Case Assessment: Procedures and Tools	Victorian WorkCover Authority website.	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 152	<ul style="list-style-type: none"> <li>Safety Case Assessment: Guidance Principles</li> </ul>	<p>Technical Protocol: TP09, Revision 5</p> <p>Apply to the technical aspects of the safety case assessment process. The Guidance Principles provide the technical foundation for the Safety Case Assessment Framework and provide the basis for the achievement of an assessment process that is transparent and auditable; consistent and fair; and technically competent.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 153	<ul style="list-style-type: none"> <li>Safety Case Assessment: Management Principles</li> </ul>	<p>Technical Protocol: TP08, Revision 7</p> <p>The safety Case Assessment Management Principles apply to the entire safety case assessment process. The Management Principles provide the procedural foundation for the Safety Case Assessment Framework and provide the basis for the achievement of an assessment process that is transparent and auditable; consistent and fair; and technically competent, whilst meeting the objectives of the Occupational Health and Safety (Major Hazard Facilities) Regulations 2000. The Management Principles provide procedural direction and guidance for personnel involved in the safety case assessment process, and are supplemented by Guidance Principles that provide technical guidance on the assessment process. It is noted that in some areas there may be overlap between the Management and Guidance Principles.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 154	<ul style="list-style-type: none"> <li>Safety Case Assessment: Training and Competency</li> </ul>	A presentation overview.	PP Presentation	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 155	<ul style="list-style-type: none"> <li>Safety Case Assessment: Pre-Assessment Brainstorm</li> </ul>	<p>Technical Protocol: TP02 Revision 5</p> <p>Used to prepare for conduct and provide a record of the Pre-Assessment Brainstorm conducted in preparation for Safety Case assessment. The process provides a framework for the assessment team to identify what they would expect to see in the specific site's Safety Case. This is to prevent the assessment team from purely focusing on what is presented in the Safety Case submission.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 156	<ul style="list-style-type: none"> <li>Safety Case Assessment: Serious Deficiencies Check</li> </ul>	<p>Technical Protocol: TP10, Revision 6</p> <p>The Serious Deficiencies Check provides for prompt identification of deficiencies in any Safety Case. If there are Serious Deficiencies, WorkSafe will make an immediate request to the operator for revision and resubmission of the Safety Case; in the case of more minor issues, WorkSafe may request clarification or further information. There is significant overlap between the scope of the Serious Deficiencies Check and the assessment of Safety Case Contents under FR06; these two activities may be combined at the discretion of the Lead Assessor. Where the operator has applied for an exemption from any aspect of a Safety Case or licence application, the content of this application must be reviewed during the Serious Deficiencies Check.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 157	<ul style="list-style-type: none"> <li>Safety Case Assessment: Serious Deficiencies Check</li> </ul>	<p>Focus Rule: FR04, Revision 4</p> <p>In order to proceed to the full Technical Assessment, a Safety Case that has been submitted to WorkSafe has first to be checked to ensure there are no Serious Deficiencies that would warrant resubmission of the Safety Case (or parts thereof) by the operator, or more minor deficiencies that require clarification. The focus rule is intended to assist the Lead Assessor in conduct of an initial technical review of the Safety Case, which will determine if there are any Serious Deficiencies or if any clarifications are needed. The related Technical Protocol is TP10.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 158	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Safety Case Contents</li> </ul>	<p>Focus Rule: FR06, Revision 4</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations, in relation to the factual and descriptive contents of the Safety Case. The guidance covers the information that the operator must include within the Safety Case, in accordance with Part 4 and Schedule 4 of the Regulations.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 159	<ul style="list-style-type: none"> <li>Safety Case Assessment: Assessment Principles</li> </ul>	<p>Technical Protocol: TP21, Revision 1</p> <p>A technical protocol listing the assessment principles which are used in evaluating the technical aspects of a safety case. Assessment principles are defined for each of the 10 assessment elements (eg. SMS HAZID, etc). There are typically 5-7 assessment principles for each assessment element, giving a total of 61 assessment principles.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 160	<ul style="list-style-type: none"> <li>Safety Case Assessment: Safety Management Systems</li> </ul>	<p>Focus Rule: FR07, Revision 1</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations in relation to Safety Management Systems (SMS). The assessment guidance covers the structure and elements of the operator's SMS, and also the effectiveness, scope and functioning of the operator's SMS in practice. Areas specifically addressed are:</p> <ul style="list-style-type: none"> <li>· The adequacy of the documentation of the operator's SMS;</li> <li>· The robustness the operator's processes for developing, testing and improving the SMS; and</li> <li>· The functioning and effectiveness of the actual system in practice.</li> </ul>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 161	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Hazard Identification</li> </ul>	<p>Focus Rule: FR11, Revision 5</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations in relation to identification of potential major incidents and hazards. The guidance covers assessment of the operator's identification of potential major incidents and hazards, the documentation they must produce in relation to this, the use they must make of the information, and the operator's processes/procedures that govern these activities.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 162	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Safety Assessment</li> </ul>	<p>Focus Rule: FR14, Revision 4</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations in relation to safety assessment. The guidance covers assessment of the operator's actual safety assessment, the documentation they must produce in relation to this, the use they must make of the information, and the operator's processes/procedures that govern these activities.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 163	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Control Measures</li> </ul>	<p>Focus Rule: FR15, Revision 4</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations in relation to control measures. Control measures are the devices, systems or features of the facility that eliminate, prevent, reduce or mitigate the risk of Major Incidents. The assessment guidance covers the operator's processes and procedures for identifying alternate control measures, assessing these alternates, determining whether to adopt or reject particular control measures, and implementing and maintaining the adopted measures. It also addresses whether the adopted control measures eliminate risk or reduce it so far as practicable, and whether the Safety Case demonstrates the adequacy of the adopted control measures.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 164	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Emergency Planning</li> </ul>	<p>Focus Rule: FR16, Revision 5</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations in relation to Emergency Plans. The guidance covers assessment of the contents of the operator's Emergency Plan, the effectiveness of the Plan, the processes the operator has gone through in order to develop the Plan, and the processes to ensure ongoing use of the Plan. In this context it should be noted that the "Emergency Plan" may comprise a number of separate documents, and that the Safety Case must include a detailed description of the Emergency Plan.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 165	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Stakeholder Involvement</li> </ul>	<p>Focus Rule: FR21, Revision 3</p> <p>Provides guidance on assessment of the operator's stakeholder involvement when the operator is complying with duties under the MHF Regulations. The assessment guidance covers activities the operator must perform with respect to stakeholder involvement, the training, documentation etc they must provide, and the process/procedures that govern these activities.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 166	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Standards</li> </ul>	<p>Focus Rule: FR17, Revision 3</p> <p>Provides guidance on assessment of the operator's design principles and engineering standards in relation to the MHF Regulations. The assessment guidance covers the operator's processes for selecting and applying design principles and engineering standards, the suitability and adequacy of the adopted principles and standards, the processes for ensuring compliance with the principles and standards, and the actual level of compliance with the adopted principles and standards. This Focus Rule is an optional part of the Safety Case Assessment Framework.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 167	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Asset Integrity</li> </ul>	<p>Focus Rule: FR18, Revision 4</p> <p>Provides guidance on assessment of the operator's compliance with the MHF Regulations in relation to asset integrity. The assessment guidance covers the activities the operator must perform, the documentation they must produce in order to satisfy the Authority that they have appropriate systems in place to maintain asset integrity to an adequate level, and the consideration of asset integrity within the Safety Case.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 168	<ul style="list-style-type: none"> <li>Safety Case Assessment Guidance: Human Factors</li> </ul>	<p>Focus Rule: FR19, Revision 3</p> <p>Provides guidance on assessment of operator activities in relation to Human Factors under the MHF Regulations. The assessment guidance covers the operator's handling of human factors in the Safety Case, the processes the operator has in place to identify human factors issues, and the extent to which the operator needs to assess and manage those issues. This Focus Rule is an optional part of the Safety Case Assessment Framework.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 169	<ul style="list-style-type: none"> <li>Safety Case Assessment: Regulatory Cross-Check</li> </ul>	<p>Focus Rule: FR40, Revision 3</p> <p>Provides a cross-check between the requirements of Parts 3, 4 and 5 of the MHF Regulations, and the assessment tests that will be carried out on an operator's Safety Case and licence application under the Safety Case Assessment Framework. The cross-check considers only Parts 3, 4 and 5 of the Regulations because, under Regulation 803(1), the issues about which WorkSafe must be satisfied before granting a licence to operate an MHF are that:</p> <p>803(1)(a) The operator's Safety Case has been prepared in accordance with Regulation 402; 803(1)(b) The operator has complied with the provisions of Part 3; 803(1)(c) The operator has the ability to operate safely; 803(1)(d) The operator has complied with the provisions of Part 5. The cross-check addresses items a, b and d. The operator does not have any particular additional duties in relation to item c, but WorkSafe has flexibility in the tests it will apply in relation to this item, and therefore there does not need to be strict cross-compliance between SCAF and the Regulations in this respect.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 170	<ul style="list-style-type: none"> <li>Safety Case Report: Submission Forms</li> </ul>	Licence Application and MHF Regulations Location Checklist - Revision 9.	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 171	<ul style="list-style-type: none"> <li>Safety Case Assessment: Verification</li> </ul>	<p>Technical Protocol: TP17, Revision 1</p> <p>Addresses the process of on-site verification in relation to Safety Case Assessment. The purpose of the protocol is to provide a documented, systematic and consistent approach for the conduct of verification activities. Personnel should be familiar with the contents of this Technical Protocol prior to undertaking any field verification work as part of Safety Case Assessment.</p> <p>Provide assurance that the facility and its operations are consistent with the descriptions provided in the Safety Case and supporting information, and that the operator has in place robust systems to control major hazards.</p>	...	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 172	<ul style="list-style-type: none"> <li>Safety Case Assessment: Assessment Findings Report</li> </ul>	<p>Technical Protocol: TP12, Revision 4</p> <p>Relates to the drawing together and documenting of the overall findings from WorkSafe's assessment and verification of an MHF operator's Safety Case. It provides guidance to the Lead Assessor on summarising and documenting the overall findings from assessment and verification of an MHF operator's Safety Case.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 173	<ul style="list-style-type: none"> <li>Safety Case Assessment: Licence Panel Roles and Responsibilities</li> </ul>	<p>Technical Protocol: TP04, Revision 8</p> <p>Making licensing decisions under the Major Hazard Facilities (MHF) Regulations 2000 involves a two step process:</p> <ul style="list-style-type: none"> <li>The technical assessment of the operator's safety case including the compiling of information from other sources that may include oversight, inquiry submissions and other government agencies.</li> <li>The consideration of this information by the Licence Panel to assist the Regulation Delegate make the decision.</li> </ul> <p>The use of the Panel to assist the Regulation Delegate recognises that synthesising the information to a decision may require a variety of skills and perspectives. The Panel also assists with consistency issues.</p> <p>The Licence Panel does not technically review the safety case.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 174	<ul style="list-style-type: none"> <li>Safety Case Assessment: Licence Terms and Conditions Guidance</li> </ul>	<p>Technical Protocol: TP05, Revision 7</p> <p>Regulation 805(1) allows the Authority to "<i>attach such terms and conditions as it considers necessary for the purposes of these Regulations</i>". This technical protocol provides guidance on the composition of licence conditions. Conditions are attached to the MHF licence and require licence amendment to modify. Conditions may include operational, administrative, monitoring or certification requirements.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 175	<ul style="list-style-type: none"> <li>Safety Case Assessment: Licence Decision Making (Granting a Licence)</li> </ul>	<p>Technical Protocol: TP06, Revision 9</p> <p>Discusses the operation of the Panel and typical issues that may be encountered during its formation. TP04 'Licence Panel Roles and Responsibilities' (MH/INT/01/2106) is essential background for this document.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 176	<ul style="list-style-type: none"> <li>Safety Case Assessment: QC/QA Technical Review Program</li> </ul>	<p>Provides an overview of the QA and Technical Review program for safety case assessment. The program is designed to ensure a consistent application of good judgement throughout safety case assessments.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 177	<ul style="list-style-type: none"> <li>Safety Case Assessment: Assessment Protocol</li> </ul>	<p>Technical Protocol: TP011, Revision 7</p> <p>Relates to the desk-top technical assessment that WorkSafe will conduct of the MHF operator's Safety Case and supporting information. WorkSafe's overall technical assessment of an operator's Safety Case and supporting information comprises the following stages, each of which is the subject of a separate Technical Protocol (TP) within this Safety Case Assessment Framework:</p> <ol style="list-style-type: none"> <li>1. A serious deficiency check (governed by TP10), which determines whether the Safety Case contains the broad information required by regulation 402, and is sufficient to be assessed.</li> <li>2. A "desk-top" technical assessment (TP11), which assesses, on the basis of the information provided by the operator, whether the operator is complying with the Regulations and is operating safely.</li> <li>3. Verification (TP17) of selected aspects of the information provided by the operator, to confirm whether those parts of the information are accurate.</li> <li>4. Formal reporting (TP12) of findings from assessment and verification. This report is passed to the Licence Panel, and to the Regulatory Delegate, so that a decision can be made regarding grant of a licence.</li> </ol> <p>This particular Technical Protocol relates to the desk-top technical assessment, and its interfaces with verification and reporting. It is supported by a series of Focus Rules, each related to a different aspect of control of major hazards (see section 9). All stages are subject to the Management and Guidance Principles, see TP08 and TP09.</p>	Web site	Naval Regulatory System Folder 10	...	Victorian WorkCover Authority
NRS 178	Formal Safety Assessment Approach for Safety Case Development	A report provided to RAN by IRC that provides a suggested method for performing Formal Safety Assessment (FSA) for safety case development.	Report	Naval Regulatory System Folder 11	11 April 2002	International Risk Consultants (IRC), Perth
NRS 179	Risk Based Rules	The future of classification lies in a new approach, with an increased emphasis on goal-based rather than prescriptive requirements. This goal setting approach to standards encourages adoption of appropriate design, based on assessment of risks and measures to mitigate hazardous conditions - in short, risk-based rules.	Web site	Naval Regulatory System Folder 11	...	Australian Maritime Digest No 65
NRS 180	A Risk Based Approach to Safety	HMS <i>Scott</i> , an Ocean Survey Vessel, is the first ship to be delivered to the Royal Navy with a Risk Based Safety Assessment as is now required by the Ministry of Defence's Ship Safety Management System. This 13300 tonne vessel was contracted and built to Lloyds and MSA requirements. As prime contractor, BAeSEMA used concurrent engineering techniques to formally embody safety in the design process, by the application of a risk based assessment. This resulted in the incorporation of a series of safety enhancements in the design, additional to the Lloyds and MSA requirements. This paper describes the process applied and the resulting design changes, and seeks to demonstrate that the safety gain significantly outweighed the cost of the risk assessment.	Paper	Naval Regulatory System Folder 11	...	I Lamb (BAeSEMA(YARD)) and G Rudgley (MOD(PE))

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 181	The Naval Ship Safety Case	It is assumed most attending this event have an understanding of the general principles and construction of a safety case. This paper describes a MoD approach (specifically for ships which represent complex high-value engineering systems with a large human content) to the management of safety in a self-regulating environment. Two case histories, one partial and one complete ship safety case are briefly described together with comment on the successes and concerns experienced along the way.	Web site	Naval Regulatory System Folder 11	...	Website: Ministry of Defence, Acquisition Management System, UK  IBC Energy Division "Safety Cases - Successes and Concerns" Conference, 26 April 1999, Hotel Intercontinental, Hyde Park Corner
NRS 182	Report on a Disaster: The Longford Royal Commission's Verdict	The explosion at Esso's Longford plant - which resulted in two deaths and eight injuries - is a potent reminder of the need for OHS to be a priority in all organisations. Four excerpts from the 287 page Royal Commission report on the disaster have been reprinted. The sections relate to the causes of the incident, to one of the workers (Jim Ward) who was blamed by Esso for the incident, to the safety case method of OHS management (now adopted by Victorian WorkCover Authority), and to the Royal Commission's recommendations.	Web site	Naval Regulatory System Folder 11	31 August 1999	National Safety Council of Australia Ltd

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 183	Introduction to the Safety Case Regime	<p>The safety case includes details of safety management arrangements and risk assessment studies, which, once submitted to and accepted by the regulator, form a co-regulatory guidance document that sets both the standards to be achieved and the mechanism for achieving them.</p> <p>The safety case also forms the basis for ongoing audits of the facility and its operation throughout its life. Key aspects of inspection/auditing by the regulator will be to monitor the effectiveness with which the commitments in the safety case are being implemented, monitor the effectiveness of both the safety management system (SMS) and the operators audits of them, and to critically examine the efforts made by management to actively involve the workforce in the safety case process.</p> <p>The concept was developed in the United Kingdom to minimise major industrial hazards, mainly in the nuclear and chemical industries, and is now used to manage risk in a wide variety of applications. These include the control of risk in British naval operations, the safe operation of the privatised British railway system and the design of computer software programs. The safety case regime is normally based on a 'co-regulatory structure', with an 'operator' preparing and operating the facility for which the safety case is developed and a 'regulator' assessing, accepting and auditing the adequacy of the safety case.</p> <p>A safety case serves two main purposes: to give the 'regulator' (assessor) confidence that the 'operator' has the ability, commitment and resources to properly assess and effectively control risks to the health and safety of staff and the general public; and to provide a comprehensive working document against which the 'operator' and the 'regulator' can check that the accepted risk control measures and safety management systems have been properly put into place and continue to operate in the way in which they are intended.</p> <p>It is intended to be a 'living' document which describes the safety of an operation for the duration of the whole project—from initial concept design to termination of the operation and abandonment of any facilities and drives the continuous improvement of the risk management arrangements.</p>	Web site	Naval Regulatory System Folder 11	...	Department of Industry, Tourism and Resources
NRS 184	In Harms Way	PowerPoint presentation	PP Presentation	Naval Regulatory System Folder 11	...	C Comerford and R Pocock, IRC Pty Ltd

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 185	Rapid Risk Ranking for Field Development Optimisation to Achieve ALARP	<p>The recent changes in Safety Legislation and Guidelines away from prescriptive requirements are becoming increasingly well known and understood. However, the tools and processes for managing risk are not keeping pace with these changes. With this broader scope to optimise risk, the top performing companies and their managers demand answers to ever more challenging questions, testing the capabilities of safety and risk professionals. This is never more so than during the engineering phase of new products where timely, correct decisions are essential - particularly when personnel safety, asset protection and project economics (cost, revenue and schedule) are some of the main decision criteria.</p> <p>One of the goals of effective risk management is to ensure that risks have been reduced to as low as reasonably practicable (ALARP). Managing risks at the earliest stage of a project to ALARP will result in achieving an inherently safe development with an associated maximisation of Net Present Value (NPV). In order to meet these objectives, risk and safety professionals need tools to support engineering. These tools must perform quantitative cost benefit trade-offs efficiently and effectively.</p> <p>This paper explains the nature of these challenges and decisions, together with a methodology and tools which manage risk (while maximising NPV) and assist in the decision making process.</p>	Paper	Naval Regulatory System Folder 11	14 October 1998	ME Burch and J Goddard, IRC Pty Ltd, SPE Asia Pacific Oil and Gas Conference and Exhibition, 12-14 October 1998, Perth
NRS 186	Marine Environment Protection Committee: Future Role of Formal Safety Assessment and Human Element Issues	The Joint MSC/MEPC Working Group on the Human Element and Formal Safety Assessment met during MSC 74. The outcome of the Working Group's considerations with regard to the Human Element was reported to MSC 74 in document MSC 74/WP.10. This document provides information on action taken by MSC 74 and action requested by the Committee at this session.	Other	Naval Regulatory System Folder 11	19 October 2001	International Maritime Organization, Marine Environment Protection Committee, 47th session, Agenda item 14

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 187	Integrating Safety During the Machine Design Stage	<p>The number of machinery accidents, which occur regularly, show how difficult it is for machines and systems to operate safely. This problem is compounded by the fact that issues relating to the design are specific to particular situations: companies modernise in phases, which means that technologies of different generations co-exist at different levels of sophistication. Work activities are diverse and varying and the demands on operators to be multi-functional have increased. The European Union (EU) introduced a New Approach to Technical Harmonisation and Standards aimed at integrating safety at the design stage. The Machinery Safety Directive is one of the Directives and sets out Essential Health and Safety Requirements (EHSRs) for machinery which must be met before machinery is placed on the market anywhere within the EU.</p> <p>EHSRs are expressed in general terms and it is intended that the European Harmonised Standards should fill in the detail so that machinery designers and suppliers have clear guidance on how to achieve conformity with the Directive and to integrate safety at the design stage. This has fundamentally changed the approach to the prevention of machinery accidents in the workplace. In the place of reactive and prescriptive legislation and standards, the EU Directives represent a remarkable breakthrough in risk-based approach to machinery and work equipment safety. This approach is currently proposed by ANSI (B11-TR3, 2000) for machine tools in the USA. Research carried out at Aston (Raafat and Robert, 1999) has shown that the majority of machinery suppliers into the UK market have failed to demonstrate compliance with the risk-based approach. This paper presents a model to assist machinery and system designers in integrating health and safety into the design process, using the risk-based approach.</p>	Paper	Naval Regulatory System Folder 11	...	H Raafat and P Simpson

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 188	Safety Through Design	<p>This book - conceived, developed, and brought to fruition through the efforts of the <u>Institute for Safety Through Design</u>, an entity of the National Safety Council - is to fill a knowledge vacuum. Safety Through Design is defined as "the integration of hazard analysis and risk assessment methods early in the design and engineering stages and the taking of the actions necessary so that the risks of injury or damage are at an acceptable level." The concept encompasses facilities, hardware, equipment, products, tooling, materials, energy controls, layout, and configuration.</p> <p>Observations were that engineers; managers; and safety, health, and environmental practitioners nurtured a hunger for information on safety through design concepts and the techniques used in other companies and industries to implement them. It was a labour of the Institute Advisory Committee and individual authors who contributed their time and effort.</p> <p>The editors envisioned and secured a series of excellent authors having a diversity of background, business and industry experience, and success in their areas of expertise, that provided material based on industry experience and minimally on academic postulations. The authors and editors believe the concepts set forth in this book can be practically applied and most of all are necessary, if efforts to thwart the continuing large number of deaths, injuries, illnesses, and environmental incidents, both occupationally and off-the-job are to be successful.</p> <p>Readers will find divergent viewpoints, which are acceptable, since there has been success with many different approaches to their application. The text is focused on providing significant insights into the concepts, and their potential integration and application in your operations. The material must be sorted, evaluated, and massaged to produce an appropriate blend for your operations, since safety through design is not a "cookie cutter" practice. Safety as a term is used in its broadest concept to include health and environmental aspects</p>	Web site	Naval Regulatory System Folder 11	...	WC Christensen and FA Manuele (eds)
NRS 189	The "Substandard" Safety System	As ship operators are contemplating developing ISM Code Systems, many practical questions arise. There is the temptation to copy another system, or to produce a vague generic system, with the hope that circumstances will allow an easy path to certification. As ships under SOLAS will eventually have a safety management system, it is most likely that there will be some "substandard" safety systems. This paper focuses on practical measures in obtaining a Certificate of Compliance, and addresses areas contributing to the improvement of safety and thus risk reduction.	Web site	Naval Regulatory System Folder 11	...	BP Jenner, TMS Marine
NRS 190	Australian Maritime Digest	Refer also to NRS 179	Web site	Naval Regulatory System Folder 11	01 December 1998	Australian Maritime Digest No 65

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 191	Flags of Convenience	Appendix 6: Previous Parliamentary inquiries - recommendations, Government responses and actions by players.  Ships of Shame: inquiry into ship safety (1992) Review Inquiry into Ship Standards and Safety - Progress Report (1994) Ships of Shame: A Sequel - inquiry into ship safety (1995)	Other	Naval Regulatory System Folder 11	...	...
NRS 192	Formal Risk Assessment	Demonstrates that ships' operations could achieve the safety goals subject to prescribed conditions. The safety case involves risk analysis and specifies how these risks can be minimized.	Web site	Naval Regulatory System Folder 11	...	Marinet
NRS 193	The Thames Safety Inquiry	Volume 1:121 Provides a risk assessment decision.	Other	Naval Regulatory System Folder 11	...	...
NRS 194	Formal Safety Assessment (FSA): A Modern Foundation for Marine Safety	Formal Safety Assessment (FSA) is a structured and systematic methodology, aimed at enhancing maritime safety by using risk and cost-benefit assessments in the rule development process. An interim guidelines for the application of FSA to the International maritime Organisation (IMO) rule-making process was agreed in 1997. Det Norske Veritas (DNV) believes that risk technology may drive the shipping industry to a deeper understanding of marine safety. This paper describes how DNV can utilise the FSA methodology to enhance the quality of the rule making process and thus achieve better and more cost efficient rules, discusses how DNV takes advantage of the FSA process to ensure that classification rules and survey schemes become transparent and focused on the essential aspects with respect to safety and environment, without unnecessary business interruptions for the ship owner; and focuses on the overall safety philosophy and acceptance criteria for FSA based Rules and gives practical examples on how overall safety philosophy can be linked to concrete prescriptive regulations.	Web site	Naval Regulatory System Folder 11	26 September 2000	I Kourmatzis, Det Norske Veritas. Presented at the Mare Forum 2000: The Shipping Risk Management Forum, Quality Management versus Risk Finance in Shipping, 25-26 September 2000, Athens, Greece.

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 195	Formal Safety Assessment	Formal Safety Assessment (FSA) is a designation that has been used in a number of different contexts and industries to describe the systematic risk-based approach to safety. FSA comprises a structured and systematic approach using risk and cost/benefit assessments, which are aimed at enhancing maritime safety. Its objectives include the protection of life, health, the marine environment and property. Being a tool designed to assist maritime regulators, FSA is not intended for application to individual ships, but for use in a generic way for shipping in general. The FSA methodology has been developed with two potential users in mind: IMO committees, to help in the review of existing regulations or in the evaluation of proposed new regulations; and individual maritime administrations, to support proposed amendments to IMO regulations. It is anticipated that FSA would usually be relied upon where proposals may have far reaching implications in terms of safety, cost or legislative burden. In these circumstances, the use of FSA should facilitate the achievement of a balance, not only between the various technical, operational and human issues involved, but also between safety and cost.	Other	Naval Regulatory System Folder 11	...	J Peachey, UK
NRS 196	Maritime Safety Committee: Formal Safety Assessment - Experience Gained from the Trial Application Undertaken by the UK	This document describes the UK's experience of conducting a trial application of the FSA process in accordance with the Interim Guidelines.	Other	Naval Regulatory System Folder 11	12 February 1998	Maritime Safety Committee, 69th Session, Agenda item 14.
NRS 197	Formal Safety Assessment of Shipping - Phase 2, Trial Application to the High Speed Passenger Catamaran (HSC)	Summaries work done for the Maritime and Coastguard Agency Research Project 404 starting with a brief introduction to the development of FSA for maritime application. The report then describes further methodology development carried out under this project and summarises the trial application to the High Speed Passenger Catamaran Ferries. It concludes with a commentary on the practicability of the methodology and by making recommendations as to how the methodology and its applications might be further improved and how the results of the trial application might be extended and used in the improvement of regulations.	Report	Naval Regulatory System Folder 11	...	...
NRS 198	Maritime and Coastguard Agency, United Kingdom	Defines FSA and discusses risk assessment methodologies, statistical data and method of calculation.	Web site	Naval Regulatory System Folder 11	...	Maritime and Coastguard Agency, United Kingdom
NRS 199	Formal Safety Assessment - Defined	Provides definitions of FSA from the Maritime and Coastguard Agency (UK) and the International Maritime Organisation (IMO).	Web site	Naval Regulatory System Folder 11	...	Maritime and Coastguard Agency, United Kingdom International Maritime Organisation
NRS 200	Australian Maritime Safety Authority	Service Charter.	Web site	Naval Regulatory System Folder 11	...	Australian Maritime Safety Authority

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 201	RAN Safety Case Training Course	Training course material presented as power point presentation, presenting an overview of Safety Case, hazard/risk identification and management, and practice hazard and risk management processes.	PP Presentation	Naval Regulatory System Folder 12	...	IRC Pty Ltd
NRS 202	FFG Upgrade Project: FFG UP - Safety Program Approach and Framework (SEA 1390 Phase 2)	Power point presentation with notes outlining the intended FFG Upgrade Safety Management Program and safety case development.	PP Presentation	Naval Regulatory System Folder 12	...	B Chase LCDR, D Washington LEUT, and G Stone, DMO Major Surface Ships Branch
NRS 203	MHF Guidance Material	...	Other	Naval Regulatory System Folder 12	...	...
NRS 204	Major Hazard Facilities: A Case for a Safer Approach	...	Brochures	Naval Regulatory System Folder 12	...	Victorian WorkCover Safety
NRS 205	Control of Major Hazard Facilities	Website reference to national standard for the control of major hazard facilities.	Web site	Naval Regulatory System Folder 12	...	National Occupational Health and Safety Commission
NRS 206	Occupational Health and Safety Major Hazard Facilities Regulations 2000	Version 003	Web site	Naval Regulatory System Folder 12	28 October 2002	...
NRS 207	DRAFT: FEG Master Plans - Purpose	<p>Agreed to by relevant stakeholders and is on the site for trial use until October 2002 after which it will be reviewed in the light of operating experience, and finalised.</p> <p>The FEG Master Plan is defined as a stand-alone part of a FEG's capability management documentation that contains sufficient material to inform FEG units and personnel, navy senior management and supporting organisation how the FEG is planning to meet the requirements and guidance placed on it by the Navy governance system. Under this definition, a FEG Master Plan is supported by subordinate plans and other documentation as necessary to give it effect. The definition does not, in itself, impose any minimum or maximum size requirements.</p> <p>A FEG MP is the prime management tool by which FEG Commanders detail how they intend to fulfil their obligations to the Navy. Its purpose is to translate higher level guidance into specific whole of life, whole of capability outcomes detailing how a FEG and supporting organisations are to deliver their respective capability in an effective and efficient manner. It also provides the authority on which organisations supporting the FEGs can act and the targets against which FEG performance can be measured.</p>	Other	Naval Regulatory System Folder 12	31 October 2002	...

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 208	Safety Case Approach	<p>There are many views on why fatal incidents continue to occur in the mining industry. Despite the often desperate and expensive efforts by the mining organisations trying to increase the level of safety on their facilities, there has been no appreciable impact on fatality statistics. This paper argues that the continued trend in mining fatalities is due to lack of <i>focused</i> attention on what matters the most in SMS. The organisations failing to identify all the "safety-critical systems" in their facilities, leave themselves exposed and vulnerable to not-so-random and largely preventable major accidental events (MAEs).</p> <p>This paper briefly examines the effectiveness of current approaches and explains why they are inappropriate tools for dealing with MAEs, while acknowledging that they are appropriate tools for addressing OHS issues. A safety case is put forward as a possible solution to the problem basing this on what has worked for other industries. The application of safety case in mining industry is compared to that in oil and gas industry, and the author describes the similarities and highlights the pitfalls of each application.</p>	Paper	Naval Regulatory System Folder 12	...	B Lisowska-Bell, Risk and Safety Consultant, QEST Consulting Group
NRS 209	Compliance Programs	<p>AS 3806: 1998</p> <p>Sets out essential elements for establishing, implementing and managing an effective compliance program within an organisation and provides guidance in using these elements. It provides a framework for an effective compliance program, the performance of which can be monitored and assessed.</p>	Standard - AS	Naval Regulatory System Folder 12	05 February 1998	Standards Australia
NRS 210	Risk Management	<p>AS/NZS 4360:1999</p> <p>This Standard provides a generic guide for the establishment and implementation of the risk management process involving establishing the context and the identification, analysis, evaluation, treatment, communication and ongoing monitoring of risks.</p>	Standard - AS/NZ	Naval Regulatory System Folder 12	12 April 1999	Standards Australia
NRS 211	A Standard for Regulatory Compliance? Industry Self-regulation, the Courts and AS3806-1998	<p>The primary objective of this article is to describe recent Australian moves to greater industry self-regulation and, within that context, to examine the development of AS3806, a voluntary standard developed by Standards Australia, which firms may use as a model or template for the design and management of their regulatory compliance systems. The article is divided into four sections. The first provides an outline of recent Australian developments regarding industry self-regulation and compliance. The second describes the growing interest in industry codes of conduct and the role of the Australian Competition and Consumer Commission (ACCC). The third describes the main features of AS 3806. The fourth examines the question of compliance standards in relation to the legal process, focusing on the two recent cases and is followed by a conclusion.</p>	Article	Naval Regulatory System Folder 12	...	P Carroll, University of Wollongong, and M McGregor-Lowndes, Queensland University of Technology. Australian Journal of Public Administration (2001) 60(4):80-91
NRS 212	Occupational Health and Safety (Commonwealth Employment) Act 1991	Act No 30 of 1991 as amended.	Cmwth Legislation	Naval Regulatory System Folder 12	28 June 2002	Attorney-General's Department, Canberra

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 213	Offshore Safety Cases - Aide Memoire	RAN visit to DITR, 26 June 2002.  To put responsibility on operator, not the regulator - "the creator of the risk should manage the risk".	Report	Naval Regulatory System Folder 12	26 June 2002	...
NRS 214	Operations Integrity Management System	...	Booklet	Naval Regulatory System Folder 12	...	LR Raymond, Chairman, ExxonMobil
NRS 215	RAN Safety Case Pilot Study: Application of Safety Case Regime to RAN Vessels	This paper begins with a hypothetical scenario in which HMAS NONSUCH, the newest ship in the fleet, explodes in Sydney Harbour. There is considerable loss of life and environmental damage. At the subsequent civil court of inquiry, the Maritime Commander is summoned to give evidence on issues relating to the safety of RAN vessels. The Maritime Commander, as the Operating Authority of RAN vessels, is questioned extensively on his personal knowledge of design and maintenance aspects relating to HMAS NONSUCH along with his personal assessment of the training, composition and competence of the ship's crew in matters of safety. The paper does not allow a full analysis of all the RAN's regulations and procedures. Rather, it points out the links that need to be in place and operating in order to provide an appropriate assurance of vessel safety. A full assessment of the effectiveness of the current system and the details necessary for changing to a Safety Case regime are issues best left to the RAN chain of command.	Paper	Naval Regulatory System Folder 13	07 June 2002	C. Emert, AMOG Consulting
NRS 216	Referral of a Defence Action that Has, Will Have or is Likely to Have a Significant Impact on the Environment	Departmental Environmental Instruction No 7/2002  Describes the process for when and how a Defence action is to be referred to the Environment Minister for approval.	...	Naval Regulatory System Folder 13	04 April 2002	T Weston, A/Secretary Infrastructure, Planning and Environment
NRS 217	Introducing Q-DOS	PowerPoint presentation.	PP Presentation	Naval Regulatory System Folder 13	...	IRC Pty Ltd
NRS 218	DRAFT: The Maritime Capability Regulatory System	DI(NO OPS xx-xx V2.0  Prescribes policy to be implemented via the Maritime Capability Regulatory System. The aim of the policy is to provide a framework that assures by means of independent regulation that maritime capability is safe, fit for service and environmentally friendly. The scope applies to maritime capability as operated by any of the Services, regardless of whether the asset is owned or leased. Regulation shall be applied from concept to disposal. This instruction outlines the principles to be implemented and captured within the Maritime Capability Regulatory System, and defines responsibility for regulatory management. Regulation of maritime capability shall address the Fundamental Inputs to Capability (FIC).	Instruction	Naval Regulatory System Folder 13	...	...

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 219	DRAFT: ABR 5454	Draft Chapters 1-11.  Describes and sets out the framework for the RAN Regulatory System to provide the Chief of Navy, Navy Systems Commander and the Maritime Commander with assurance that RAN materiel is safe and fit for service by providing a description of the general approach to regulation through a scheme of assessment, certification and audit.	Handbook/Mannual, Instruction	Naval Regulatory System Folder 13	...	...
NRS 220	The Nexus between Regulation Enforcement and Catastrophic Engineering Failures	The deaths caused by the 1999 Turkish earthquake, 2001 Indian earthquake, the 1997 Canberra hospital implosion and the 1998 Esso Longford gas plant explosion all have one thing in common. Good regulations existed but they were not followed nor enforced. Over the last two decades, the trends of de-regulation and self-conformance have effected most engineering activities. These trends have the potential to reduce costs, increase innovation and benefit the nation. But they also may lead to a decline in design quality, a failure to apply relevant codes and an increase in safety risks for the community.  The enforcement of engineering standards is a critical factor in ensuring that the reforms actually benefit society. This paper examines the evidence of the development and enforcement of engineering regulation, and finds that there is much to be concerned about.	Paper	Naval Regulatory System Folder 14	...	A Yates, Senior Policy Analyst, Institution of Engineers Australia
NRS 221	Control of Major Hazard Facilities	National Standard [NOHSC:1014(2002)] National code of Practice [NOHSC:2016(1996)]  Intended to cover all aspects of a facility, including those operations which may be spread over a number of different sites and are under the management of the same Operator.  The Standard has been drafted to ensure consistency with the following international approaches: The International Labour Organisation's <i>Convention for the Prevention of Major Industrial Accident</i> ; and the Council of the European Communities' <i>Draft Council Directive on the Control of Major Accident Hazards Involving Dangerous Substances</i> .	Cmwltth Legislation, Standard - AS	Naval Regulatory System Folder 14	31 October 2002	National Occupational and Safety Commission
NRS 222	DEF(AUST) 5679: The Procurement of Computer-Based Safety Critical Systems	Presents requirements and guidance for the procurement of computer-based safety critical systems in Defence. It describes procedures and practices to be carried out during systems development that provide assurance that the system will operate in its intended environment with an acceptable level of safety risk; and are appropriately rigorous relative to the perceived risk from the system.  Conformance to this Standard shall provide evidence that sufficiently rigorous development procedures and technical practices have been applied in trying to achieve a safe system.	Cmwltth Legislation, Standard - AS Defence	Naval Regulatory System Folder 14	31 August 1998	Defence Standardisation Coordination Group

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 223	Smart Safety - The Royal Navy Safety Vision	Keynote address.	Paper	Naval Regulatory System Folder 14	06 November 2002	NCF Guild, Rear Admiral, The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 224	Independent Safety Assurance	<p>Warships have always been exempt from merchant Shipping Legislation and are excluded from many IMO conventions such as SOLAS. The UK MoD has therefore been required to act responsibility and self-regulate its own shipping. In the past, the UK MoD was directly involved in all aspects of shipping from design and build through to refit, repair and operation. An infrastructure existed with adequate resources to maintain standards, such as Naval Engineering Standards (NESs) and to apply them.</p> <p>Over the years, the procurement and management of warships and auxiliaries has evolved with many aspects of shipping activities traditionally undertaken by the UK MoD being contracted out to industry. At this time, the impact of the latest acquisition initiatives is being felt. UK MoD new ship projects depend on industry to identify suitable standards, undertake design work, build ships, and more recently, to maintain them in-service. In these circumstances, it is increasingly difficult for the UK MoD to self-regulate its own shipping.</p> <p>Recognising these trends, the UK MoD has begun to harmonise its practices and requirements with merchant shipping. 'Naval Authorities' have been established to mirror 'Statutory Authorities' and to regulate certain ship hazards such as stability, structure and magazine construction. The implementation of Naval Authority regulation has, as expected, been faced with many obstacles, predominantly associated with the interactions between the various organisations involved in safety regulation.</p> <p>This paper summaries arguments for pursuing the Naval Authority concept, progress in the early days for surface ship naval architecture, the issues as seen from the UK MoD point of view and from industry, and what the future might hold.</p> <p>This paper presents the experience and opinion of two key participants in Naval Authority regulation; that of the UK MoD Sea Technology Group surface ship stability section and that of BMT Defence Services ltd, an independent consultant and delegated Naval Authority.</p>	Paper	Naval Regulatory System Folder 14	06 November 2002	G Rdugley, BMT Defence Services Ltd, and S Marshall, MoD Sea Technology Group, UK. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 225	The Future Royal Australian Navy Regulatory System	<p>In May 1998, four Royal Australian Navy (RAN) personnel were lost in a fire on board HMAS WESTRALIA. In the post-accident analysis, it became evident that the RAN, like many other Navies, was unable to produce documentation or evidence that WESTRALIA met Safety of Life at Sea (SOLAS) or an equivalence. Although SOLAS compliance is not mandatory nor always practical for warships, there is a high expectation within the media and Australian community that its Navy should not be exempt from the minimum commercial standards and civil occupational health and safety standards that applies to them.</p> <p>Whilst International Maritime Organisation regulations and the Commonwealth of Australia Navigation Act (1912) exempt warships from external regulation, there remains the threat that such exemption would be withdrawn should another major accident occur, systemic failures continue to exist and RAN be unable to demonstrate a strong robust safety management system. Consequently the RAN has in recent years been developing a system of self-regulation that is transparently equivalent to the Australian Maritime Safety Authority.</p> <p>This paper provides an overview of the work being undertaken to define that regulatory system and overcome the problems inherent in implementing the system - understanding what regulation is, appreciating what standards we require as a Navy, breaking down the organisational stovepipes, and building a culture and system of ownership, responsibility and enforcement. This paper describes the work in progress as the RAN undergoes a cultural shift in assuming a regulatory role.</p>	Paper	Naval Regulatory System Folder 14	06 November 2002	M Mechanicos and D Page Department of Defence (Aust), P Byrne and G Durant-Law (HolisTech Pty Ltd). The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 226	Technical Regulation, Certification and Classification of the ANZAC Ships	<p>The ANZAC Ship Project is a collaborative joint project by the Commonwealth of Australia and the Crown of New Zealand to construct ten ships in Australia, eight ships for the Royal Australian navy (RAN) and two ships for the Royal New Zealand Navy (RNZN). The project is managed by the ANZAC Systems Program Office (SPO). Tenix Defence as Prime Contractor has overall responsibility for design, procurement, system integration, construction, test and evaluation, and provision of an integrated logistic support package. The ships are being constructed to the MEKO 200 ANZ design provided by Blohm and Voss Assets, via a Defence Licence from Blohm+Voss GmbH. Saab Systems performs a dual role as both Combat Systems Integrator and Supplier for command and control system software and sensors.</p> <p>The need for a system of Technical Regulation and Certification in the RAN was reinforced by an incident in 1998 involving a fire on board the RAN Tanker, HMAS WESTRALIA, in which four sailors died. A Board of Inquiry highlighted systemic shortfalls in some of the RAN's practices. The certification process embodied in the RAN's Technical Regulation System is designed to minimise the possibility of a recurrence of such a disaster by clearly defining certification requirements, and the application of a comprehensive system of technical regulation, compliance assessment and audit.</p> <p>This paper aims to describe the process utilised to seek accreditation from the RAN's Chief Naval Engineer (CNE) as a Technical Regulatory Authority (TRA) for the ANZAC SPO and its key organisational participants, and the activities for Certification and Classification of the ANZAC Ships. Development and implementation of RAN policies for Technical Regulation and Certification has been accompanied by considerable debate about "who is competent to certify what", and the role of Classification Societies and relevant Naval Ship Rules.</p>	Paper	Naval Regulatory System Folder 14	06 November 2002	G McFarlane and J Lord, Department of Defence (Aust), R Milligan, Acumenta Pty Ltd, and S Sykes, Capability By Design. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 227	Applicability and Perceived Benefits of Safety Case to RAN for Management of RAN Fleet and of Each Asset	<p>This paper addresses the applicability and perceived benefits of the Safety Case Regime for providing improved technical regulation of its fleet and assets. It describes proposed adaptations of the Safety Case architecture and methodologies to RAN circumstances, where such approaches have proven effective in addressing the numerous significant shortcomings in the offshore sector.</p>	Paper	Naval Regulatory System Folder 14	06 November 2002	G MacDonald Department of Defence (Aust) and A Potts, AMOG Consulting. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 228	Lloyd's Register's Approach to Naval Ship Classification	<p>Although there has been considerable co-operation between classification societies and navies, particularly in times of major conflicts, the adoption of classification has, essentially, been limited to auxiliary ships of merchant ship types and smaller ships, such as patrol boats. This paper outlines the historical experience of Lloyd's Register with the application of the merchant ship classification regime to naval ships. This experience identifies areas where a fundamentally different approach is required to meet the requirements of navies, whilst retaining the same basic principles.</p> <p>The development of a classification regime that is specific to naval ships is described,</p>	Paper	Naval Regulatory System Folder 14	06 November 2002	RV Pomeroy, Lloyd's Register of Shipping, London, UK. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002,

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
		identifying how this regime supports the naval ship designer, constructor and operator. The result, supported by recent experience with application of both the naval ship regime and the merchant ship regime to naval ships, is shown to be a rapidly maturing scheme that is finding considerable interest within the military community. The paper also explores the fundamental requirement for safety assurance, the relation to other technical safety regimes and the standards role that is played by classification.				London, UK.
NRS 229	Safety Objectives in HSC Code as Reflected in DNV Navy Rules	The safety objectives for naval ships, as reflected in naval engineering standards, etc. have not generally been harmonised with that of the recognised international codes and conventions and in particular with IMO such as the International Code of Safety for High Speed Craft (HSC Code). Naval surface craft are exempt from International codes and conventions (HSC code), unless such codes and conventions are implemented for naval surface craft through domestic legislation. Several navies have expressed a wish to demonstrate that their ships, as far as reasonably practicable, meet the safety principles established by IMO. DNV has realised this need and have adopted a philosophy for their rules for naval surface craft that accommodate military operational requirement. Based upon principles of equivalent safety or general acceptable societal peacetime safety objectives DNV has developed a set of rules for naval ships. Due to naval requirements that not necessarily coincide with that of a civilian vessel, additional or deviating safety objectives have been identified and discussed within DNV's Naval Craft Technical Committee. The NCTC has advised DNV to apply these principles to their rules for naval surface craft. This paper will, in general terms, identify the safety objectives given in the HSC code, and present equivalent or alternative naval safety objectives that have been reflected in DNV's Navy Rules.	Paper	Naval Regulatory System Folder 14	06 November 2002	K Lindemann, Det Norske Veritas, Norway. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 230	Classification Society Rules for Naval Engineering Systems	The American Bureau of Shipping and the United States Navy have been working together over the last several years in a measured initiative to develop and apply classification Rules for naval vessels. The tack taken has been structured to allow for sufficient development time and feedback from initial application to ensure proper integration of prior naval experience with current Rule approaches. The areas targeted for initial development include Structures, Naval Diesel Engines, Naval Gas turbines, Electrical Systems, Materials and High Speed Naval Craft. This paper will discuss the overall approach to exploring the application of classification Rules to naval vessels, specifically outline the development of the engineering systems Guides and describe the experience thus far with their application.	Paper	Naval Regulatory System Folder 14	06 November 2002	GM Ashe, The American Bureau of Shipping, USA. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 231	Development of Naval Ship Rules for Safety Equipment and Arrangements	This paper reviews the process and philosophy by which Lloyd's Register and its industry partners have developed proposals for a new set of Rules for the Classification of Safety Equipment and Arrangements on Naval Ships. Those responsible for the procurement, design and operation of warships are increasingly seeking to adopt practices and standards that are consistent with those used in merchant ships. The International Maritime Organisation's Conventions, which are applicable to merchant ships, contain good safety engineering practice which, with suitable adaptation, can also be applied to naval ships. This paper provides an explanation of the rationale behind developing such Rules and discusses the Challenges and peculiarities overcome in the process. This paper also details how the Rules are to be applied, and how they effect other aspects of Naval Ship Classification.	Paper	Naval Regulatory System Folder 14	06 November 2002	N Rattenbury and M McMahon, Lloyd's Register of Shipping, UK. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 232	Safety Management and Regulation of Submarines: A Personal View	This paper discusses the background to submarine safety assessment and reviews the interaction between code or rule based design and whole ship safety case development and regulation, taking account of the unique nature of submarine safety. Conclusions are drawn on the most effective way of achieving a full safety case, and the role that design to rule and the regulator can most usefully play. Some caution is expressed over the potential to justify a design meeting an As Low As Reasonably Practical risk expectation.	Paper	Naval Regulatory System Folder 14	06 November 2002	DW Chalmers, Consultant, UK. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 233	The VT Shipbuilding Approach to Safety Case	The last three MoD contracts won by VT Shipbuilding have been for vessels built to Classification Society rules and each has required a safety case which meets the requirements of JSP 430. VT's approach to producing safety cases is presented. The approach was developed during the Trimaran Demonstrator project and is now being followed on both the Survey Vessel and Future Offshore Patrol Vessel projects. In June 2000 VT Shipbuilding was awarded the contract to provide two new multipurpose survey vessels for the Royal Navy. The compilation of the safety case and the experience gained in balancing commercial practices and standards with MoD expectations is described.	Paper	Naval Regulatory System Folder 14	06 November 2002	N Pattison and S Loyns, VT Shipbuilding, UK. The Royal Institution of Naval Architects, International Conference, <i>Safety Regulation and Naval Class</i> , 5-6 November 2002, London, UK.
NRS 234	Recommendations for the New Safety Defence Standards - DARP Workshop Report	Issue 1.0 Proposed that a new issue of defence standard 00-56 (UK) could be used in contracts to ensure that safety is adequately managed by suppliers, whether providing an item of equipment (eg. a tank) or providing a service (eg. air-to-air refuelling). Informally, the new standard should be seen as a 'contracting version' of the key principles underlying the MoD's Acquisition Management System (AMS) and the relevant Joint Services Publications (JSPs). The standard also needs to be applicable under all contractual conditions as well as conventional acquisition of equipment. The new issue of 00-56 would act as an umbrella under which other standards can be used to enable the MoD to establish a set of guidelines and standards that meet the 'as civilian as possible and only as military as necessary' principle.	Report	Naval Regulatory System Folder 15	27 June 2002	C O'Halloran, QinetiQ

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 235	Overview Report of the DARP HIRTS Independent Safety Auditors Workshop	An overview of the findings of the Defence Aerospace Research Partnership (DARP) High Integrity Real Time Systems (HIRTS) Independent Safety Auditors workshop held on 18-19 April 2000. The workshop discussed the different roles of ISAs (auditor, assessor and advisor) and how they effect regulatory monitoring of safety. Also discussed were ISA competencies, management, terms and conditions as well as the recently introduced ISA IEE/BCS competency guidelines.	Report	Naval Regulatory System Folder 15	01 November 2002	P Caseley, DERA
NRS 236	The Management of Safety	Discusses safety management and requirements within the MoD, UK.	Other	Naval Regulatory System Folder 15	...	...
NRS 237	Safety Management Requirements for Defence Systems - Part 1: Requirements	00-56 (Part 1)/Issue 2  Describes the requirements for safety management, including hazard analysis and safety assessment. It can be applied during the initiation, feasibility, project definition, full development and production phases of MoD projects embodying safety related components, and for in-service operation, maintenance and modification. Provides uniform requirements for implementing a system safety programme in order to identify hazards and to impose design techniques and management controls to identify, evaluate and reduce their associated risks to a tolerable level. Specifically directed towards the Contractor's responsibilities for safety. This part of the standard should be used in conjunction with Part 2, "Guidance", which provides information and guidance on implementation of the requirements, with a view to achieving commonality in their interpretation.	Standard - UK Defence	Naval Regulatory System Folder 15	13 December 1996	Ministry of Defence, UK
NRS 238	MoD Ship Safety Management	Discusses ship safety to ensure that the levels of risk of accidental death or injury or damage to property or the environment due to MoD shipping activities are to be as low as reasonably practicable.	Brochures	Naval Regulatory System Folder 15	...	Ship Safety Management Office, UK
NRS 239	JSP430: MoD Ship Safety Management	Part 1, Policy  Ensures MoD corporate ship safety and environmental management policy is defensible and robust; informs all who are involved with MoD shipping activities about the policy and arrangements for ship safety and environmental management; instructs all staff tasked with safety responsibilities on their duties; and guides those undertaking these tasks with essential background information, sources of further information and best practice.	Standard - UK Defence	Naval Regulatory System Folder 15	31 May 2002	Ship Safety Management Office, UK
NRS 240	INDUSTRY DRAFT: JSP430 MoD Ship Safety Management	Part 2, Code of Practice	Standard - UK Defence	Naval Regulatory System Folder 15	31 August 2002	Ship Safety Management Office, UK

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 241	Safety Management Requirements for Defence Systems - Part 2: Guidance	00-56 (Part 2)/Issue 2 (Also refer NRS 237 - Part 1)  Provides information and guidance on the requirements of Part 1. Provides generic information and guidance on the safety management requirements for systems. Any design rules, methods or techniques contained in application specific standards are not directly addressed, except where used for illustrative purposes. Examples of method and techniques have been included to aid explanation of the requirements where appropriate. The choice of an example neither implies that it is suitable in a particular instance, nor that other methods and techniques are unsuitable.	Standard - UK Defence	Naval Regulatory System Folder 15	13 December 1996	Ministry of Defence, UK
NRS 242	ADF Airworthiness Policy, Structure and Responsibilities	Outlines ADF Airworthiness philosophy, defines airworthiness processes and describes the responsibilities of key positions in the airworthiness organisation, as well as promulgate regulations regarding Operational Airworthiness management.	Handbook/Mannual	Naval Regulatory System Folder 16	...	...
NRS 243	Review of Configuration Management in the RAN	Final report: Version 1.0  The purpose of the review is to establish the level of understanding of the RAN configuration management policy and the effectiveness of its application across the RAN and in organisations service the RAN.	Report	Naval Regulatory System Folder 16	16 August 1999	Gahan, Lawson & Associated Pty Ltd
NRS 244	DRAFT: Contract Quality Assurance Program Guidance Handbook	Provide Navy contract managers with visibility both "Pre" , "In" and "Post" contract of supplier's competencies, performance, confidence and risk levels; and provide confidence of contract compliance through contract focussed audits.	Handbook/Mannual	Naval Regulatory System Folder 16	31 December 2001	A Presland, Maritime Services Division
NRS 245	Quality System Certification Scheme (QSCS)	QSCS verifies that a Society has developed its own internal quality management system; the system of the Society is in conformity with the requirements laid down by IACS including i.a. the "Code of Ethics" and IACS procedural requirements; and the system of the Society is in operation as described in relevant documents of that Society.	Web site	Naval Regulatory System Folder 17	...	International Association of Classification Societies (IACS)
NRS 246	IACS Code of Ethics	Revision 10, March 2002	Instruction	Naval Regulatory System Folder 17	...	International Association of Classification Societies (IACS)
NRS 247	IACS Formal Safety Assessment (FSA) Training	Defines Formal Safety Assessment and outlines FSA training course.	Web site	Naval Regulatory System Folder 17	...	International Association of Classification Societies (IACS)
NRS 248	Formal Safety Assessment: Overview and IACS Experience	PowerPoint presentation at MSC 75	PP Presentation	Naval Regulatory System Folder 17	16 May 2002	International Association of Classification Societies (IACS)

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 249	Reports, Forms and Certificates Required during the Design and Build of MoD Ships and Craft	MoD 02-24 (NES 24) Identifies the reports, forms and certificates which MES 32 generates when called up in the procurement documents. It also identifies the main events and activities which require or give rise to formal documentation; the authority responsible for compiling and submitting each document; and the nature (report, form or certificate) and typical distribution of completed documents.	Booklet, Standard - UK Defence	Naval Regulatory System Folder 17	01 April 2000	Ministry of Defence, UK
NRS 250	DMO Core Process Mapping - C3 'Provide in Service Capability Support'	...	Email	Naval Regulatory System Folder 17	06 September 2002	M Mechanicos
NRS 251	<ul style="list-style-type: none"> <li>DMO Core Business Process - Provision of In-Service Capability Support</li> </ul>	Seeks endorsement to develop a comprehensive management system for the DMO Core Business Process C3 "Provide In-Service Capability Support" (ISCS) - a management system known as the Standard ISCS Management System (SISMS) and will parallel SAMS.	E-Attachment, Minute	Naval Regulatory System Folder 17	06 September 2002	M Kelaher, DGMPs
NRS 252	<ul style="list-style-type: none"> <li>Executive Briefing - Mapping C3 - Provision of In-Service Capability Support</li> </ul>	Provides an update on developments underway to align DMO Core Business Process C3 "Provide In-Service Capability Support" (ISCS) and integrate those processes with corporate DMO initiatives such as ASDEFCON (SM).	E-Attachment, Minute	Naval Regulatory System Folder 17	06 September 2002	Shireane McKinnie, HESD
NRS 253	<ul style="list-style-type: none"> <li>C3 Map</li> </ul>	Mindmanager screen capture.	E-Attachment, Image/Picture	Naval Regulatory System Folder 17	...	...
NRS 254	<ul style="list-style-type: none"> <li>DMO Core Business Processes</li> </ul>	Mindmanager screen export to word format of NRS 253.	E-Attachment, Other	Naval Regulatory System Folder 17	...	...
NRS 255	<ul style="list-style-type: none"> <li>SISMS Project Stake Holder Contacts</li> </ul>	...	E-Attachment, Other	Naval Regulatory System Folder 17	...	...
NRS 256	Navy Plan Green: 2002-2012	Third update to Plan Green, outlining Navy's ten year strategic direction to 2012.	...	Naval Regulatory System Folder 17	09 July 2002	CA Ritchie, Vice Admiral, Chief of Navy
NRS 257	Regulation of Technical Integrity of Australian Defence Force Material	DI(G) LOG 08-15 Defines the common framework and requirements for the technical regulation of Australian Defence Force (ADF) materiel.	Instruction	Naval Regulatory System Folder 17	19 July 2002	CA Barrie, Admiral, Chief of the Defence Force

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 258	Technical Regulation of Navy Materiel	DI(N) LOG 47-3  Prescribes responsibility for the naval technical regulatory system, which provides confidence in assurance provided by responsible authorities that RAN vessels are safe and fit for service.	Instruction	Naval Regulatory System Folder 17	24 February 1999	DB Chalmers, Vice Admiral, Chief of Navy
NRS 259	Safety Management in Submarines	Describes how the RAN Submarine Safety Program evolved from a risk management process associated with the New Submarine Project to a safety management system for all aspects of submarine safety.	Paper	Naval Regulatory System Folder 17	...	F Owen, Commander, SUBSAFE Program
NRS 260	Guide 28 - General Rules for a Model Third-Party Certification System for Products	SAA HB18.28 - 1991; SANZ HB18.28 - 1991; ISO/IEC Guide 28 - 1982  Provides a third party certification system of determining conformity with product standards through initial testing and assessment of a factory quality management system and its acceptance followed by surveillance that takes into account the factory quality management system and the testing of samples from the factory and the open market.	Standard - AS/NZ	Naval Regulatory System Folder 17	30 June 1991	Standards Australia/Standards New Zealand
NRS 261	Value Management	AS/NZS 4183:1994  Provides guidelines to clients and other users for the application of Value Management. This Standard defines terms, establishes the essential elements necessary to achieve effective value management and clarifies roles and responsibilities, but is not specifically intended to play the role of a handbook or training manual.  Value Management is a structured, systematic and analytical process which seeks to achieve value for money by providing all necessary functions at the lowest total cost consistent with required levels of quality and performance. The process may be applied to management decision making at any level of an organisation and specifically may be applied to projects, products, systems, services or processes.	Standard - AS/NZ	Naval Regulatory System Folder 17	11 April 1994	Standards Australia/Standards New Zealand
NRS 262	Risk Analysis of Technological Systems - Application Guide	AS/NZS 3931: 1998; IEC 60300-3-9;1995  Provides a basic model for analysis of risk; guidelines for selecting and implementing risk analysis techniques, primarily for risk assessment of technological systems; and to enable quality and consistency in the planning and execution of risk analyses and in the presentation of results and conclusions.	Standard - AS/NZ	Naval Regulatory System Folder 17	05 April 1998	Standards Australia/Standards New Zealand

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 263	Organisational Experiences in Implementing Risk Management Practices	<p>HB 250-2000</p> <p>The purpose of this project was to gain an insight into how organisations have addressed and implemented risk management practices in their business environment. To achieve this, Standards Australia, with the assistance of Arthur Andersen, conducted research into the risk management strategies and activities of several organisations. This report is not intended to be a best practice guide, nor is it intended to be prescriptive. The information and experiences documented can assist you to develop your own approaches to and capabilities of effectively managing risk.</p>	Report	Naval Regulatory System Folder 17	31 October 2000	Standards Australia International
NRS 264	Environmental Risk Management - Principles and Process	<p>HB 203:2000; Based on AS/NZS 4360:1999 Risk Management</p> <p>This guide is intended to help individuals and organisations to understand environmental risk management, and to implement environmental risk management programs based on the generic process set out in the Joint Australian/New Zealand Standard, AS/NZS 4360, Risk Management.</p> <p>Section 1 introduces fundamental concepts and principles of environmental risk management, and outlines the environmental issues and criteria that need to be considered during decision making and in developing an environmental risk management strategy. Section 2 is based on the steps described in AS/NZS 4360, and elaborates on issues noted in Section 1 by detailing how the principles and process can be applied in implementing environmental risk management. Section 3 provides an illustrative example (case study) of the way the steps of the risk management process may be followed.</p>	Report	Naval Regulatory System Folder 18	...	Standards Australia/Standards New Zealand
NRS 265	Quality Management Systems - Fundamentals and Vocabulary	<p>AS/NZS ISO 9000:2000</p> <p>Quality management systems can assist organisations in enhancing customer satisfaction. The quality management system approach encourages organisations to analyse customer requirements, define the processes that contribute to the achievement of a product which is acceptable to the customer, and keep these processes under control. It can provide a framework for continual improvement to increase the probability of enhancing customer satisfaction and the satisfaction of other interested parties. It provides confidence to the organisation and its customers that it is able to provide products that consistently fulfil requirements.</p>	Standard - AS/NZ	Naval Regulatory System Folder 18	15 December 2000	Standards Australia/Standards New Zealand

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 266	Quality Management Systems - Requirements	AS/NZS ISO 9001:2000  Specifies requirements for a quality management system where an organisation needs to demonstrate its ability to consistently provide product that meets customer and applicable regulatory requirements, and aims to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable regulatory requirements.	Standard - AS/NZ	Naval Regulatory System Folder 18	15 December 2000	Standards Australia/Standards New Zealand
NRS 267	Using IT to Mitigate Exposure to Risk in a Company's Safety Management System	Provides insight into how Information Technology (IT) solutions can act as a barrel, by keeping a competitive edge, to reduce the administrative burden associated with management systems.	Paper	Naval Regulatory System Folder 18	...	WP Purio, Capt, and JS Clarkson, Capt. P&H Marine Associates Inc
NRS 268	System Auditing for Compliance	Outlines the changed approach to surveillance and describes the planning processes that have been developed for CASA's surveillance program for the aviation industry, including the use of risk assessment techniques to focus CASA's surveillance efforts.	Paper	Naval Regulatory System Folder 18	...	P Boyd, Civil Aviation Safety Authority (CASA). Presented at the Queensland Mining Industry Health and Safety Conference, 2001.
NRS 269	The UK Regulatory Approach to the Management of Risks	In the regulation of risks to health and safety at work, the Health and Safety Executive (HSE) starts with the premise that suitable controls must be in place to address all significant hazards and that these controls, at a minimum, must implement authoritative good practice irrespective of situation based risk estimates. Where there is no reliable base of good practice, it is necessary to undertake a risk assessment and evaluation to decide on the extent to which the risk should be controlled. This concept is a central feature of much of the Health and Safety legislation in Great Britain.	Paper	Naval Regulatory System Folder 18	...	W Holmes, Health and Safety Executive, UK
NRS 270	A Vision of the Future: Offshore Petroleum Safety in 2010	Provides a potential scenario for the regulation of offshore safety in Australia by 2010.	Paper	Naval Regulatory System Folder 18	23 April 2002	P Wilkinson, Department of Industry, Tourism and Resources, Canberra

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 271	Application of Commercial Ship Maintenance Philosophy to Naval Ships	Initially looks at the commercial ship maintenance process and how it evolved with reduced crew size, advance in automation and preventative maintenance techniques. The role of risk based analysis and condition based inspection will be examined for present day ships and offshore structures as may be applicable to future Naval ships. The advances in sensor technology and information systems as applied to ship maintenance will also be examined. For Naval ships, the paper will review the existing process and procedures for ship maintenance for various classes of ships including typical operational profile and maintenance cycles. Future ship designs are looking at reduced crew size and through life maintenance plans. The use of advanced smart systems, reduced crew size and advanced condition monitoring systems will be examined as part of the overall maintenance philosophy for Naval vessels. The paper will then examine the process used in the development of the naval Vessel Rules and requirements for surveys after construction and through life maintenance philosophies.	Paper	Naval Regulatory System Folder 18	...	TJ Ingram
NRS 272	Governance-Based Analysis of Regulation	Examines briefly what we mean by regulation; what the current literature tells us about the developing nature of regulatory systems and regulatory reform; attempts to place such arrangements in the pervasive context provided by public policy processes and institutions; and argues that an explanation of the 'governance of regulation' is crucial to an understanding of the strengths and weaknesses of regulatory policy and practice.	Paper	Naval Regulatory System Folder 18	31 October 2001	M Minogue, University of Manchester. Paper No 3, Centre on Regulation and Competition Working Paper Series
NRS 273	ISM Code: Implementation Through Innovation and Practical Experience	Discusses the way to a successful safety management system.	Paper	Naval Regulatory System Folder 18	29 September 1999	JS Clarkson, Capt, P&H Marine Associates, Inc. Presented at International Congress: Ship and Marine Transport 99, 28-29 September 1999, Hamburg, Germany.
NRS 274	Implementing ISM Code: How to Make it Work in the Real World	Many shipping companies are in different stages of implementation of the ISM Code are using various methods to achieve compliance. However, there is still some misunderstanding regarding: 1. What really is ISM all about; 2. What do you need to know in order to make it work?; and, 3. How is the 'best way' to achieve an effective program? The most important elements of the ISM Code that constitute the four pillars of an effective Safety Management System is discussed. Also discussed are the seven key steps necessary to implement a Safety Management System. In particular, a description is provided of an innovative information technology approach that uses a new safety and quality management software program.	Paper	Naval Regulatory System Folder 18	24 November 1998	K Jones, Canada Steamship Lines, and W Purio, Capt, P&H Marine Associates, Inc. Presented at International Symposium ISIS '98, 22-24 November 1998, onboard KRONPRINS HARALD.
NRS 275	IPM Lecture Notes: The Difference Between Efficiency and Effectiveness	Defines and discusses the difference between these two words.	Web site	Naval Regulatory System Folder 18	28 June 2002	M Kelly, McKinnon Secondary College

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 276	Efficiency and Effectiveness in Australian Policing	Presents an overview of issues relating to the analysis of police performance in Australia. It was written in order to stimulate critical thinking in an area of public policy which tends to be the subject of emotional rather than rational discourse.	Web site, Paper	Naval Regulatory System Folder 18	31 December 1988	PN Grabosky. Trends and Issues in Crime and Criminal Justice, Australian Institute of Criminology.
NRS 277	Navy Certification and Safety - Surface Ships	Response to request for advice on: Navy's responsibilities, both legally and as a good corporate citizen, with respect to safety, environmental compliance and fitness for service of its ships; Legal responsibilities and liabilities of the Navy regulator/certifier and surveyors; Appropriateness of current regulatory polices; and Navy's responsibilities and liability for work undertaken with regard to its ships by third parties, such as marine surveyors and classification societies.	Letter, Other	Naval Regulatory System Folder 18	22 March 2002	Blake Dawson Waldron Lawyers
NRS 278	Workshop Folder: Developing a Generic "Permissionary Framework"	Workshop conducted for the RAN, 27-28 August 2002, held at the Australian Defence Force Academy, Canberra. A collection of papers presented during the workshop.  The primary concept used during the workshop is HolisTech's Holistic Systems Development and Management (HSDM) Model. It utilises a very robust requirements development process, which at its completion, defines a comprehensive solution set. It is equally adept at providing a development and management framework for a business, a project or any system regardless of context, size, complexity, or technology. The model provides for a cascade of information leading from a conceptual System Statement through Objectives, into the real cost drivers of any system, the Solution Space. In addition to many other utilities, it provides auditable traceability from organisational goals and objectives to be achieved in selected environments, to the actual real objects or artefacts in the real world that produce the required outputs.	Other	Naval Regulatory System Folder 19	28 August 2002	HolisTech Pty Ltd
NRS 279	Workshop Folder: Developing the future RAN "Permissioning" Framework (or Re-Examining the Naval Regulatory System)	Workshop conducted for the RAN, 6-7 November 2002, held at the Australian Defence Force Academy, Canberra. A collection of papers and reports presented during the workshop.  Validates outcomes from previous workshops and then converts these outcomes into a detailed framework for the allocation of roles and tasks to various organisations and structures within the RAN, wider ADF and possibly industry. It was also intended to identify whether organisations are a regulator, or an agent of the regulatory authority or authorities.	Other	Naval Regulatory System Folder 20	07 November 2002	HolisTech Pty Ltd
NRS 280	Strategic Intent for Future Navy Regulation	Summaries the strategic intent for development of future Navy regulation, and to formalise the outcomes of the meeting held between CDRE Crane (CANSC) and CAPT McKinnie (DGNCSA) of 20 December 2001. Documents the NCSA organisational and staffing implications of near term changes in accordance with this strategy. Impacts upon Project HELP activities (Health Engineering and Logistics Policy).	Minute	Naval Regulatory System Folder 21	15 January 2002	AR McKinnie, CAPT, DGNCSA

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 281	DRAFT: Navy Regulatory System Project Team Terms of Reference	Manage the development of the overarching Navy Regulatory System. This System will be built upon the existing systems of assurance for technical, operational, safety and environmental compliance.	Other	Naval Regulatory System Folder 21	...	...
NRS 282	Brief for Stakeholders and Request for Assistance: Naval Regulatory System	Provides Stakeholders of the Naval Regulatory System (NRS) with an update on the current status of its definition, the process being followed to define it and to seek your assistance in progressing it to a conclusion over the coming months.	Paper	Naval Regulatory System Folder 21	31 October 2002	MA Sander, CAPT, DGNCSEA
NRS 283	Chapter 3, ABR 5454: The Mechanisms of Regulation	Provides Chapter 3 of ABR 5454, undated, issue unknown.	Handbook/Manual	Naval Regulatory System Folder 21	...	...
NRS 284	Outcomes of DNC Workshop - Certification Framework	Provides outcomes of the DNC workshop held 22-23 August 2002 which discusses the certification framework.	Minute	Naval Regulatory System Folder 21	30 September 2002	M Mechanicos, DNC
NRS 285	Chief of Navy Directive No .../2000 to The Maritime Commander Australia, Rear Admiral GF Smith	Sets out responsibilities of the Maritime Commander against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	07 July 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 286	Chief of Navy Directive No .../2000 to The Deputy Chief of Navy, Rear Admiral BL Adams	Sets out responsibilities of the Deputy Chief of Navy against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	07 July 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 287	Chief of Navy Directive No .../2000 to Director General Navy Business Management, Mr LA Wallace	Sets out responsibilities of the Director General Navy Business against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	07 July 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 288	DRAFT: Chief of Navy Directive No .../2000 to Warrant Officer - Navy, Warrant officer D Wilson	Sets out responsibilities of the Warrant officer - Navy against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	...	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 289	DRAFT: Chief of Navy Directive to Commodore AW Flint, Director General Maritime Development	Sets out responsibilities of the Director General Maritime Development against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	31 October 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 290	Chief of Navy Directive No .../2000 to Rear Admiral R Lamacraft as a Member of the Chief of Navy Senior Advisory Committee	Sets out responsibilities of a Member of the Chief of Navy Senior Advisory Committee against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	31 August 2000	DJ Shackleton, Vice Admiral, Chief of Navy

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 291	Chief of Navy Directive No .../2000 to Rear Admiral KJ Scarce as a Member of the Chief of Navy Senior Advisory Committee	Sets out responsibilities of a Member of the Chief of Navy Senior Advisory Committee against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	31 August 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 292	Chief of Navy Directive No 3/2000 to Commander Australian Navy Systems Command, Commodore MR Davis	Sets out responsibilities of the Commander Australian Navy Systems against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	31 July 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 293	Chief of Navy Directive No .../2000 to Commodore AW Flint as a Member of the Chief of Navy Senior Advisory Committee	Sets out responsibilities of a Member of the Chief of Navy Senior Advisory Committee against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	31 August 2000	DJ Shackleton, Vice Admiral, Chief of Navy
NRS 294	Chief of Navy Directive No .../2000 to Senior Naval Officer Western Australia	Sets out responsibilities of the Warrant officer - Navy against which performance will be measured.	Instruction	Naval Regulatory System Folder 21	31 August 2000	BL Adams, Rear Admiral, Deputy Chief of Navy
NRS 295	NAVSAFE Performance Specifications	Version 3.4 Ensures that the requirements of the Defence Safety Performance Requirements are aligned to the aims and objectives of the NAVSAFE to ensure compliance.	Other	Naval Regulatory System Folder 21	16 April 2002	D Allen, DNAVSAFE
NRS 296	NAVSAFE Performance Specifications	Version 4.0 Ensures that the requirements of the Defence Safety Performance Requirements are aligned to the aims and objectives of the NAVSAFE to ensure compliance.	Other	Naval Regulatory System Folder 21	22 August 2002	D Allen, DNAVSAFE
NRS 297	Navy Safety Policy	Introduction to the Navy Safety Management System (NAVSAFE) which aims at prevention of adverse events, through integration of safety into core business, proactive management and a program of continuous improvement which sets measurable objectives and targets.	Other	Naval Regulatory System Folder 21	28 August 2002	CA Ritchie, Vice Admiral, Chief of Navy
NRS 298	Outcomes of Visit to RANTEAA	Outlines the results of the investigation, provides a recommendation for or against RANTEAA involvement; and provides an estimate of additional costs if the recommendation is to include RANTEAA.	Brief	Naval Regulatory System Folder 21	26 April 2002	P Byrne, HolisTech Pty Ltd
NRS 299	Brief for CANSC and RAN Regulatory System Board	Provides a brief on the project to CANSC and updates the Board on the current status of the project; and ensures the current plan and work is aligned with the Board's vision for the project.	PP Presentation	Naval Regulatory System Folder 21	16 October 2002	HolisTech Pty Ltd

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 300	Brief to CNE - RAN Regulatory System	Provides a brief on the project to CNE; provides CNE with an insight into the direction of the project; and discusses aspects of interest to CNE.	PP Presentation	Naval Regulatory System Folder 21	21 October 2002	HolisTech Pty Ltd
NRS 301	Grey Letter Law: Report to the Commonwealth Interdepartmental Committee on Quasi-regulation	Publication not available.	...	Naval Regulatory System Folder	...	Australian Office of Regulation Review (1997) Canberra
NRS 302	A Guide to Regulation (2nd ed)	Publication not available.	...	Naval Regulatory System Folder	...	Australian Office of Regulation Review (1998) Canberra
NRS 303	Regulation of On-Exchange and OTC Derivatives Markets: Final Report	Publication not available.	...	Naval Regulatory System Folder	...	Australian Companies and Securities Advisory Committee (1997) Sydney
NRS 304	Regulation and Its Review	Publication not available.	...	Naval Regulatory System Folder	...	Australian Industry Commission and Australian Productivity Commission (1995) Canberra
NRS 305	Regulation of Computer Bulletin Board Systems	Publication not available.	...	Naval Regulatory System Folder	...	Australian Computer Bulletin Board Systems Task Force and L Johnson (1995) Australian Government Printing Service, Canberra
NRS 306	Regulation of the Taxi Industry: Commission Research Paper	Publication not available.	...	Naval Regulatory System Folder	...	Australian Productivity Commission (1999) Melbourne
NRS 307	System Safety Engineering and Risk Assessment: A Practical Approach	Publication not available.	...	Naval Regulatory System Folder	...	NJ Bahr (1997) Taylor and Francis, Washington DC
NRS 308	Regulation of Pollution in New South Wales	Publication not available.	...	Naval Regulatory System Folder	...	B Bateman, P Davies, et al (1999) Prospect Media, Sydney
NRS 309	Regulation, Crime and Freedom	Publication not available.	...	Naval Regulatory System Folder	...	J Braithwaite (2000) Ashgate, Aldershot

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 310	Regulatory Philosophy and Intent of Radioactive Material Transport: Including Transport of Components from Decommissioned Nuclear Facilities: Session: Pressure Vessels and Piping	Publication not available.	...	Naval Regulatory System Folder	...	RW Carlson, LE Fischer, et al (1990) Conference Papers
NRS 311	Regulation and the Supervision of Banks	Publication not available.	...	Naval Regulatory System Folder	...	E Elgar (2001) Cheltenham
NRS 312	The Megalex Macquarie Dictionary	Publication not available.	...	Naval Regulatory System Folder	...	Eurofield Information Systems (2002) Chatswood, Australia
NRS 313	The Regulation of International Commercial Aviation: The International Regulatory Structure	Publication not available.	...	Naval Regulatory System Folder	...	JR Fox and SB Rosenfield (1984) Oceania Publications, Dobbs Ferry, NY
NRS 314	Regulation, Deregulation, Deregulation: The Future of the Banking, Insurance and Securities Industries	Publication not available.	...	Naval Regulatory System Folder	...	A Gart (1994) Wiley & Sons, NY
NRS 315	Regulation of Summer Tourism in Australian Mountain Conservation	Publication not available.	...	Naval Regulatory System Folder	...	W Hill, CM Pickering, et al (2002) CRC for Sustainable Tourism, Gold Coast, Australia
NRS 316	Reason, Regulation and Realism: Towards a Regulatory Systems Theory of Reason and Evolutionary Epistemology	Publication not available.	...	Naval Regulatory System Folder	...	CA Hooker (1995) State University of New York Press, Albany NY
NRS 317	Regulation Theory and the Crisis of Capitalism	Publication not available.	...	Naval Regulatory System Folder	...	B Jessop (2001) Cheltenham, UK
NRS 318	The Regulation of Non-Bank Financial Institutions: The United States, the European Union, and Other Countries	Publication not available.	...	Naval Regulatory System Folder	...	A Kumar, TM Chuppe, et al (1997) World Bank, Washington DC
NRS 319	Informational Approaches to Regulation	Publication not available.	...	Naval Regulatory System Folder	...	WA Magat and WK Viscusi (1992) MIT Press, Cambridge Mass

Ref No	Title	Description	Info Form	Hard Copy Location	Date of Publication	Author/Endorsed by
NRS 320	The Role of Regulatory Enforcement in the Australian Economy	Publication not available.	...	Naval Regulatory System Folder	...	E Mayer (1998) Australian Industry Commission, Canberra
NRS 321	The History of Financial Regulation	Publication not available.	...	Naval Regulatory System Folder	...	A Neoh (2001) Accessed: <a href="http://www.adbi.org/cfwhar-ton">http://www.adbi.org/cfwhar-ton</a>
NRS 322	The Direction of Future Regulation	Publication not available.	...	Naval Regulatory System Folder	...	NCSA (2001) Canberra
NRS 323	Regulation of the Victorian Legal Profession: Report of the Review of the Legal Practice Act 1996	Publication not available.	...	Naval Regulatory System Folder	...	PA Sallmann, RT Wright, et al (2001) Department of Justice, Melbourne, Australia
NRS 324	The Regulation of International Trade	Publication not available.	...	Naval Regulatory System Folder	...	MJ Trebilock and R Howse (1995) Routledge, NY
NRS 325	Privatisation and Regulation in the Seaport Industry	Publication not available.	...	Naval Regulatory System Folder	...	L Trujillo, G Nombela, et al (1999) World Bank Institute Governance Regulation and Finance, Washington DC
NRS 326	The History of Regulation	Publication not available.	...	Naval Regulatory System Folder	...	UK Cabinet Office (2002) Access: <a href="http://www.cabinet-office.gov.uk/regulation/Role/history.htm">http://www.cabinet-office.gov.uk/regulation/Role/history.htm</a>
NRS 327	Regulation of Trading Systems on Financial markets	Publication not available.	...	Naval Regulatory System Folder	...	JB Zufferey, M Tschanz-Norton, et al (1997) London
NRS 328	Regulation of Health: Case Studies of Sweden and Switzerland	Publication not available.	...	Naval Regulatory System Folder	...	P Zweifel, CH Lyttkens, et al (1998) Kluwer Academic, Boston

## Acknowledgments

The authors wish to express their gratitude for the assistance provided by the staff of the Naval Safety and Certification Agency, in particular Mr Michael Mechanicos, Commander David Page, and Commander Tony Vine.

---

Mr Pat Byrne  
HolisTech® Pty Ltd  
Ph: 61 2 6255 0122  
Mob: 61 412 103 629  
E-Mail: [pat.byrne@holistech.com.au](mailto:pat.byrne@holistech.com.au)

Mr Graham Durant-Law  
HolisTech® Pty Ltd  
Ph: 61 2 6255 0122  
Mob: 61 408 975 795  
E-Mail: [graham.durantlaw@holistech.com.au](mailto:graham.durantlaw@holistech.com.au)

Ms Denise McQuire  
HolisTech® Pty Ltd  
Ph: 61 2 6255 0122  
Mob: 61 412 788 784  
E-Mail: [denise.mcquire@holistech.com.au](mailto:denise.mcquire@holistech.com.au)