

Track Standard

Track Audit and Compliance

Purpose

This document covers the process for the periodic reporting by Network Services staff to demonstrate compliance with the Railways Act, the KiwiRail safety case, principles and standards and business performance, and also the requirements for undertaking track asset audits.

Document Control

Document No.	T-ST-AM-5101	Issue No.	Issue 2.0
Date Effective	1/12/2018	Author	Section 9(2)(a) - Privacy
Prepared (P)	Section 9(2)(a) - Privacy	Checked and Approved By	Track – Technical Committee
Reviewed (R)		Authorised for Release By	Professional Head – Track
Amended (A)			

Copyright

The information in this document is protected by Copyright and no part of this document may be reproduced, altered, stored or transmitted by any person without the prior consent of KiwiRail.

The controlled version is held on iKon. Printed copies of this document are uncontrolled.



1. Revision Procedure and History

This is a 'living' document, that will be up dated every five years or whenever KiwiRail determines that changes to it and processing requirements documented herein are appropriate.

If changes arise from the review this document will be reissued, however, if no changes arise from the review, the current version of this document will remain in force.

Refer to the **Briefing Note(s) for T-ST-AM-5101 Track Audit and Compliance** and **Document History**

(at the end of this document) for full document changes.

Issue No	Prepared (P) Reviewed (R) Amended (A)	Authorised for Release By	Date Effective
1.0	Section 9(2)(a) - Privacy	Professional Head – Track	1/06/2018

1.1 Changes in this issue

Issue No	Section	Description	Page(s)
1.1		KiwiRail logo and branding updated	
		Amendments to Designations (eg NSM becomes GMO)	
	5.	Compliance Reporting – changed Network Services Manager to General Manager Operations	6
	Appendix 1	Track Audit Checklist – amended code references and added Part 1A: PDS Inspections	14
	Appendix 3	M120 Compliance Report Guidelines amended	21
		Briefing Note(s)	29
		Document History – updated	30

1.2 Withdrawn, closed and superseded

Old Reference	Title	Replaced by

2. Associated Documents

Level	Number	Title
	NRSS 9	Audit
4	M120	Quarterly Compliance Certificate

Table of Contents

Purpose	1
Document Control	1
Copyright	1
1. Revision Procedure and History	ii
1.1 Changes in this issue	ii
1.2 Withdrawn, closed and superseded	ii
2. Associated Documents	ii
3. Acronyms and Definitions	5
3.1 Notes, caution and warnings	5
4. Scope	6
4.1 Use in the field	6
5. Compliance Reporting	6
5.1 Compliance topics	6
5.2 Code exemptions.....	7
6. Audit Requirements	7
6.1 Internal track audits	8
6.2 NZTA infrastructure audits.....	9
6.3 Supplier audits	9
6.3.1 Regional / engineering services– supplier checks.....	9
6.3.2 Supplier audits	9
7. Audit Process	9
7.1 Planning	10
7.1.1 Extent of audit	10
7.1.2 Scheduling	10
7.1.3 Preparation	11
7.2 Execution	11
7.2.1 Methods	11
7.2.2 Observations.....	11
7.3 Reporting	12
7.3.1 Documentation.....	12
7.3.2 Report contents.....	12
7.3.3 Audit closeout.....	13
Appendix 1 Track Audit Checklist	14
Appendix 2 Track Audit Schedule – Example	20
Appendix 3 M120 Compliance Report Guidelines	21
Briefing Note(s) for T-ST-AM-5101 Track Audit and Compliance	29
Document History	30

List of Figures

Figure 5.1 The compliance test..... 7
Figure 7.1 Audit process 10



List of Tables

Table 6.1 Audit group..... 8
Table 6.2 Audit level..... 8

3. Acronyms and Definitions

Acronyms	Definition
IRIS	KiwiRail Incident Recording and Investigation System
M120	Quarterly Compliance Certificate
NRSS 9	National Rail System Standard 9 – Audit
NZTA	New Zealand Transport Agency
TRR	Track Risk Register

3.1 Notes, caution and warnings

Icon	Definition
	Note(s) to point out something of special importance
	Caution or warning – drawing special attention to anything of important reminder or a safety message

4. Scope

This document covers the process for the periodic reporting by Network Services staff to demonstrate compliance with the Railways Act, the KiwiRail safety case, principles and standards and business performance, and also the requirements for undertaking track asset audits.

4.1 Use in the field

This document has been designed to be used in the field. It is expected that this document will be opened in an iPad via 'Briefcase' and used as reference to complete the task. Note as written on the front cover the controlled version is held on iKon. **Printed copies of this document are uncontrolled.**

5. Compliance Reporting

Asset Engineers are to complete the M120 with supporting reports and forward this to their respective General Manager Operations for comment and countersigning. The reports are due each quarter at months end February, May, August and November.

The reports will then be sent to the Professional Head – Track for review by the 15th of the month following the compliance end period.

5.1 Compliance topics

The list of topics currently reported on is included in the most recent version of the M120.

The Asset Engineer is to note any exceptions to code compliance along with plans to achieve compliance and the target dates for completion. Any granted exemptions are to be included in the report.

The Professional Head of Track may at any time review the scope of the M120 to ensure all high risk issues are reported on. This could arise where a re-evaluation of the Track Risk Register has been carried out or where other track infrastructure trends are observed or reported.

Asset Engineers are to ensure they have the most recent version of the M120 which is included on the iKon intranet. The M120 Track Compliance Reporting Guidelines contain instructions on the preparation of the compliance report and the supporting data required. This document is included in Appendix 3.

5.2 Code exemptions

Compliance is achieved when code requirements are being followed or where standards cannot be met then:

- the correct mitigations are applied, and
- code exemptions are approved.

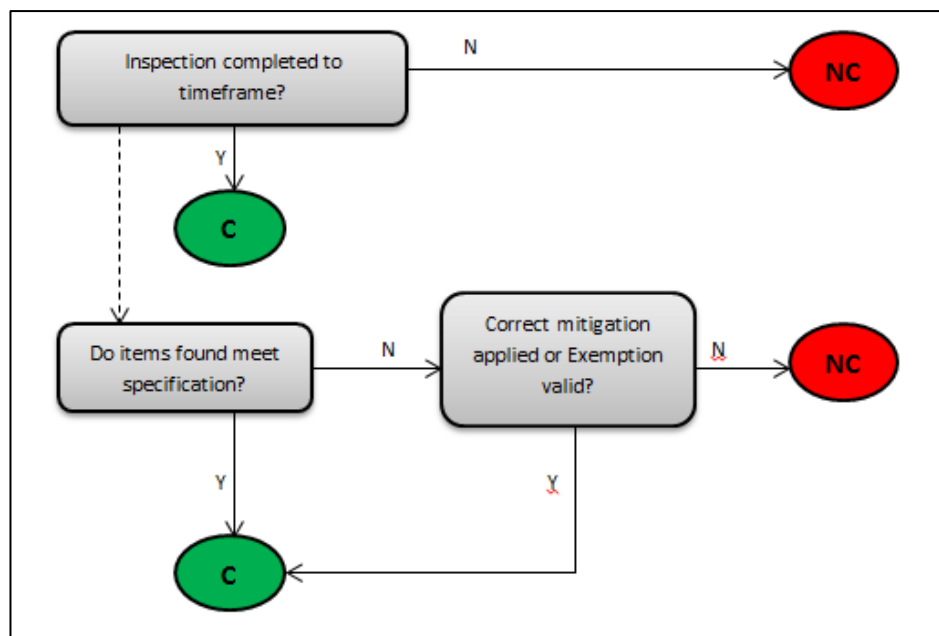


Figure 5.1 The compliance test

In certain circumstances where compliance timeframes or standards cannot be achieved, a code exemption may be granted. This may be where track materials are unobtainable, or a planned renewal is imminent and remedial work to remove a defect is therefore inefficient.

All code exemptions require the approval of the Professional Head of Track and are reviewed by the Track Technical Committee at quarterly intervals.

6. Audit Requirements

NRSS 9 stipulates that operators and access providers must have an annual audit plan which includes both internal and external audit requirements. Audits are classified by both Group (Table 6.1) and Level (Table 6.2).

Table 6.1 Audit group

Group	Scope	Intent
First Party	Internal	An internal assessment of compliance with systems, processes and procedures
Second Party	Supplier	An assessment of a supplier to determine that supplier's capability to deliver to specification
Third Party	External	An external assessment for regulatory compliance with an approved safety system

Audits will be one of the following types:

Table 6.2 Audit level

Level	Type	Intent
1.	Short Form	<p>A routine or special inspection of process or infrastructure / equipment or compliance with standards and procedures using standardised check sheets.</p> <ul style="list-style-type: none"> • May be completed by a technical expert. • Not required to hold an audit qualification. • Designed to provide assurance by covering a number of sites / asset types or processes per annum. • May be carried out in conjunction with regular field management / technical visits / walk-about.
2.	Full	<p>A systematic audit using established audit standards.</p> <ul style="list-style-type: none"> • National Rail System, ISO, AS/NZ Standards as appropriate. • Must be conducted by a lead auditor. • System audits designed to cover the range of activities within a given timeframe.
3.	Special	<p>'One off' audits as required for a particular reason:</p> <ul style="list-style-type: none"> • Audit qualification determined by scope. Usually a Specialist Engineer, Operating Officer or Senior Manager.

6.1 Internal track audits

These audits pertain specifically to regional compliance to Task Instructions, Policies and Standards.

The principal items to be audited are those which are typically represented in the Track Generic Risk Register as very high risk (or higher) and are therefore included in the M120 quarterly compliance reports. These items are listed in the Track Audit Checklist which is included in Appendix 1 of this document.

Other lesser compliance and maintenance issues are also included in the checklist which from time to time may be included in a track audit.

Track compliance audits are:

- First party internal audits as per Table 6.1.
- Level 1 short form audits and as such may be conducted by a technical expert with or without a formal audit qualification.
- Typically carried out in the field in conjunction with local track inspecting staff.

6.2 NZTA infrastructure audits

These audits are initiated by a regulatory or governing body (NZTA) on a general basis or due to a specific reason of concern. An annual programme is developed by NZTA advising the KiwiRail groups and individuals to be audited.

6.3 Supplier audits

These audits pertain to a supplier's adherence to specification with relation to materials or services supplied.

6.3.1 Regional / engineering services– supplier checks

These are performed by the Regions and/or Track Engineering on the supplies received (eg ballast and track components). The purpose is to provide feedback to Inventory on the quality of track hardware and in some cases for acceptance or rejection of products into inventory.

Supplier checks are not by definition classified as audits – they are quality control checks.

6.3.2 Supplier audits

Second party (supplier) audits are limited to suppliers whose products and/or services could significantly affect an access provider's or operator's rail safety risk profile. These may be required as part of an assessment of a new supplier or where significant quality issues have been experienced.

7. Audit Process

The process will follow a three-step approach, which consists of planning, undertaking the audit and reporting. This process is outlined in Figure 7.1, showing the various sub-categories of each main step. Each audit should be treated as a separate item, although multiple audits can be planned periodically and well in advance.

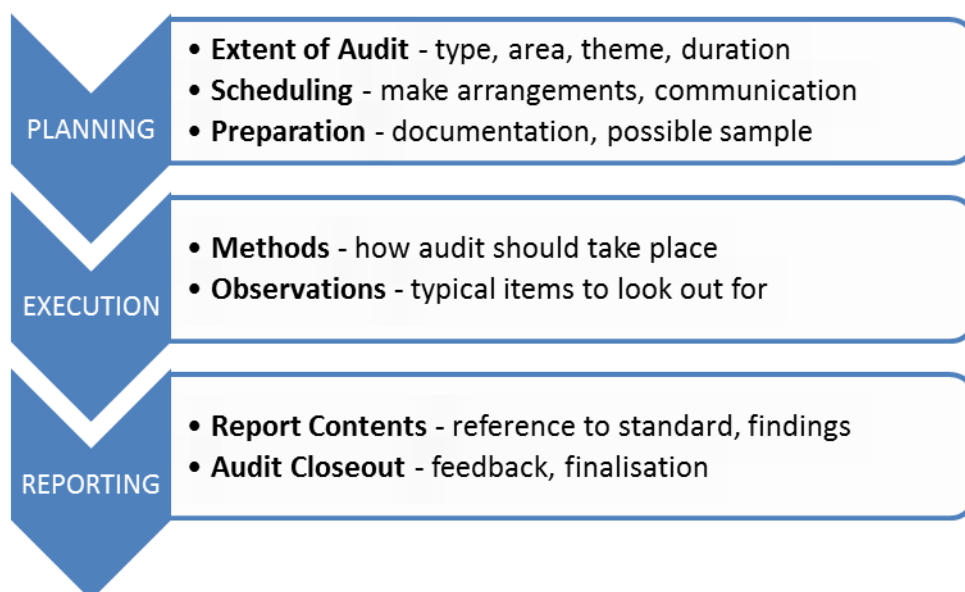


Figure 7.1 Audit process

7.1 Planning

Planning involves identifying the key topic or topics for auditing, the extent of the audit, the date on which the audit shall take place as well as all communication with the relevant parties taking part in the audit.

7.1.1 Extent of audit

The topic of the audit should be determined from the highest current risks in the rail network, which are identified through observation of prevalent issues or featured in the M120. The main topics to select from are included in the Track Audit Checklist in Appendix 1.

The number of topics chosen should be considered when planning the audit, which will determine the amount of time required to conduct the audit. A further consideration should be the sample size to be audited as well as its ability to form a representative sample.

7.1.2 Scheduling

An annual programme is developed by Track Engineering detailing proposed audits for each region. The themes of the audits may differ from region to region, aiming to address the key risks identified.

Once the extent of the audit has been established and time constraints are known, a preliminary schedule or formal request is sent to the relevant regions a minimum of six weeks in advance of the recommended audit date. The region will then have ten days to confirm the programme.

After dates have been confirmed, the detailed audit schedule is distributed. A typical schedule is featured in Appendix 2 Track Audit Schedule and includes the following information:

- Area to be audited (Recipient)
- Extent of track length to be audited
- Audit theme or topic(s)
- Confirmed date of audit
- Number of days to complete audit
- Manager to contact
- Audit progress (this will be updated throughout the auditing process).

It is the auditor's responsibility to confirm the availability of the resources needed to conduct the audit.

7.1.3 Preparation

In preparation of the audit, depending on the list of audit topics and the length of track or yard that is to be audited, the auditor should be in possession of the following items:

- Corridor logs
- Maximo reports (eg M125, EM80, NDT)
- Previous M120 reports where applicable
- List of any renewals works undertaken
- Records of any other specific item being audited.

7.2 Execution

The execution of the audit involves the method to be used and items to be observed.

7.2.1 Methods

Audits may be undertaken by any suitable means that will allow for a sufficiently detailed inspection of the track and its components. These can include:

- Walking
- HiRailing
- Accompanying the Track Inspector or Ganger, etc.

Auditors must be able to stop when required to carry out detailed observation of track conditions.

7.2.2 Observations

Auditors must observe and record relevant issues, for example:

- Records of inspections carried out.
- Condition of M125/126 faults as found matches Maximo record and that fault is being dealt with according to code.

- Condition of EM80 faults as found matches report and fault is being dealt with according to code.
- Quality of repair work is satisfactory.
- Quality of renewals works are satisfactory.

It is not necessary to audit 100% of all the above items over the entire audit length. Sufficient locations from the auditor's site list should be observed to enable conclusive assessment to be made on issues identified.

7.3 Reporting

This section details the requirements for maintaining accurate documentation, compilation of the final report and the process of closing out the report.

7.3.1 Documentation

Auditors are responsible for:

- Fully recording all observations including both compliant and non-compliant conditions or processes
- Maintaining complete records including completed checklists, photographs and audit notebooks

7.3.2 Report contents

The audit must be reported in a standard format.

The auditor will assess the severity of the reported findings into one of three categories:

Conditions	<p>These relate to procedures that do not conform to the requirements of the relevant documentation. Conditions that affect the safety of either personnel or property are given a major rating; all other conditions are given a moderate rating.</p> <p>The recipient of the condition must respond to the condition within the time period determined by the assessor based on the seriousness of the condition.</p>
Recommendations	<p>These are actions which the assessor urges the recipient consider for implementation in the interests of correcting identified deficiencies in the operating environment, but which are not considered as conditions that may affect KiwiRail's code or regulatory non-compliance.</p> <p>Recommendations should be reviewed by the manager by the time of the required deadline and either accepted or declined. If accepted, they should be actioned at the earliest opportunity. If they are declined, the reason for the decline should be recorded.</p>
Observations	<p>These are actions or changes which the operating unit is advised to implement in the interests of good quality management practices but which are not considered as non-compliances. Observations are recorded for possible inclusion in the next assessment.</p>

All conditions included in the audit report shall be loaded into IRIS for action by the recipient of the audit.

For each finding, the following shall be reported:

- Finding reference number
- Corresponding IRIS Incident Number
- Finding topic
- Description of conformity / non-conformity
- Clause and Standard / Specification references
- Classification of finding as a Condition, Recommendation or Observation
- Date to be completed.

7.3.3 Audit closeout

Once the initial report has been issued, the auditee must respond to the issues raised according to the timeframes specified against each finding in IRIS. A summary of findings is listed at the rear of the audit report. Timeframes for responses will be determined by the classification of the severity of non-compliant items. For example a 'Major' Condition will require a response within one month from the issue date of the report.

Items will be closed out in IRIS once the auditor is satisfied with the responses received and evidence provided. The status of each audit will be recorded on the Track Audit Schedule.

Master copies of all audits conducted will be held by Track Engineering.

Appendix 1 Track Audit Checklist

	Description	Context	Code Reference	Source	Risk
					Reference
1.0	Defects, Exceedances, Failures, Derailments				
1.1	Rail failures	Reporting (M58A)	T003/P81, T200/502	Key risk item	1, 34
		Temporary repair – emergency plating, etc	T200/523-528	M120	5
		Repair (M130 or de-stress)	T200/465		30
1.2	Track misalignments	Reporting (M150, M151)	T003/P89	Key risk item	2
		Special precautions in hot weather	T003/P90, T200/481-482	M120	30
		Remedial action – evidence	T200/483		
1.3	Pull-aparts	Reporting (M160)	T003/P89	M120	2
		Remedial action – evidence			
1.4	NDT faults	Rail defect actions	T-ST-AM-5330	M120	1, 34
		Records and reporting	T200/503-508, Table 7		5
		Remedial action – evidence			30
1.5	EM80 exceedances	Frequency of operation	T-ST-AM-5120	M120	8, 9, 37
		Records and reporting	T200/336		5
		Repair action			30
		Corrective action sustainability			

	Description	Context	Code Reference	Source	Risk
					Reference
1.6	M125, M126 exceedances	Reporting	T-ST-IN-5109	M120	21
		Correct prioritisation for work plans	T200/336, Table 8	Maximo	5
		Records and Databases	T-ST-IN-5109	Maximo	
		Remedial Action – (Evidence of SR or WO)		Maximo	
1.7	Derailments	Establishing Cause	T-ST-EM-5610	M120	
		Protection of site	T-ST-EM-5611		30
		Investigation		Key risk item	
		Quality of reports			
1.8	Code Exemptions	Currency	T-ST-AM-5101	M120	
1.9	Speed Restrictions	Correct application	T-ST-AM-5121	Key risk item	30
			T-ST-AM-5161	Maximo, OMS	21
		Settlement rules	T200 881-891 T200 Tables 22, 23		
2.0	Inspections		T-ST-IN-5109		
2.1	Track Inspector Inspections	Frequency and exemptions	T-ST-IN-5109	Key risk item	21
		Requirements of a track inspection	"	M120	16
		Curve Board Inspection (M186)	"	Maximo	19
		Turnout Inspection	"	Maximo	17
		Essential Features	"	Maximo	40
		Reporting and record keeping (M125, M126)	"	Maximo	
2.2	Special Inspections	Adverse Weather	"	Key risk item	2


	Description	Context	Code Reference	Source	Risk
					Reference
		Reports (M127)	"		16
		Holiday Inspections	"		24
2.3	AM Inspection	Track Inspection	"	Key risk item	
		Locomotive Runs	"	Maximo	
		EM80	T-ST-AM-5120		
2.4	Engineering Inspections	Programme and completion	T-ST-IN-5109	Key risk item	
		Records and Databases	T-ST-IN-5109	Maximo	25
		Private Sidings	T-ST-IN-5109		20
3.0	Construction and Maintenance Standards				
3.1	Curve Lubrication	Programme and Completion	T-ST-AM-5330	Observation	26,47
3.2	Thermit Welding	Process	T-ST-AM-5331	Observation	27
		Training and Certification			34
		Welding Returns and Databases			
3.3	Continuous Welded Rail	Minimum Track Standards	CSP Section 31	Key risk item	27
	De-stressing	De-stress Process and Returns	CSP Section 31		2
		Correct Maintenance – hot rail management (M130)	T200/464-499		30
		Stability Analysis	T-ST-AM-5112		
		Recording Rail Temperatures (M127H) and follow-up action (Heat 40 management)			
		Track Monuments	T-ST-AM-5120		

	Description	Context	Code Reference	Source	Risk
					Reference
3.4	Short closures	Compliance and Maintenance	T200/437	M120	34
		Records and Reporting			2
3.5	Curves	Maintaining Curve Records	T-ST-AM-5121	Key risk item	9
		Curve Speed Review and Verification			10
		Updating M186			23
3.6	Tamping	Planning	T-ST-AM-5161	Observation	35
		Site Preparation			
		Hot Weather Tamping Procedures		Key risk item	2
		Track Settlement Rules			30
		Monuments and Controlled Track			29
		Quality			27
		Reporting (log sheets, monument checks, etc)			25
3.7	Miscellaneous Track	Reported and Addressed According to Code	T200	Observation	21
	Conditions				
3.8	Temporary Clamped	Compliance and Maintenance	T200/510, 523-528	Key risk item	38, 39
	Fishplates and Dollies	Reporting			30

	Description	Context	Code Reference	Source	Risk
					Reference
4.0	Work Programming				
4.1	Track Renewals	Classification of Work	T-ST-AM-5100	Key risk item	35
		Maintenance			
		Approved Work / JCP process			
		Pre-Works Survey (M134)			
		Site Completion Audit Checklist (M135)			27
		Final Completion Certificate (M136)			
		Deferred Works - Management		Key risk item	11
4.2	New Work Quality	Planning	T-ST-AM-5100	Key risk item	27
		Resources - Track Machines	T-ST-AM-5161		35
		Appropriate Track Materials	T-ST-MM-5709		38
			T200 Table 23		
			Track Settlement Rules		
5.0	Safe Working				
5.1	Documentation Held	Codes and Supplements	T003/P3, P5, P11	Observation	
		Current Work Programmes		Maximo	21
		M125, EM80, NDT lists			8, 9, 37
		TSR's and Heat 40's			30
	Documentation Held continued	Essential Features List			
		Curve List			25
		Job Start Plans			

	Description	Context	Code Reference	Source	Risk
					Reference
		Operating Rule Books (TSR rules)			
5.2	Safety of Personnel	Safety of Employees	G2.1	Observation	
		Safe Working Procedures	G2.5		50
		Appropriate Protection Applied	Rule 901	Key risk item	
5.3	Training and Competencies	Knowledge of Rules and Regulations	G1.3	Key risk item	
		Certifications Current			

Appendix 2 Track Audit Schedule – Example

		Track: yyyy Internal Audit Schedule									
Location	Gang Length	Assessment No.	% Complete	Days Prog.	Planned Date yyyy	Assessment Date Actual	Date Report Sent	Date Set for Response	Response Received	Manager to contact	Current Status
TRACK			25% audit conducted 50% audit report completed 75% audit response received 90% further response info req. 100% audit closed								
Auckland Metro Network Services											
Auckland Area Office											
North Island Network Services											
Hamilton East Area Office											
Hamilton South Area Office											
Palmerston North Area Office											
East/West Area Office											
Wellington Metro Network Services											
Wellington Area Office											
South Island Network Services											
Christchurch Area Office											
Greymouth Area Office											
Dunedin Area Office											
Other											
TOTAL (Percentage Completed Year To Date)											

Appendix 3 M120 Compliance Report Guidelines

<p>Compliance Review 2015</p>	<p>A review of the M120 compliance reporting process carried out in March 2015 determined that a wide range of compliance issues were being reported with the result that there was a lack of focus on the more safety critical issues.</p> <p>As a result, the revised M120 Quarterly Compliance Certificate now requires Asset Engineers to focus on the key compliance issues identified in the review. The management of lower level compliance issues, which are generally related to reliability rather than safety, will be advised separately.</p>
<p>Document</p>	
<p>Document Flow</p>	<p>Each Asset Engineer is to complete the M120 and submit this to their General Manager Operations for comment and countersigning. The electronic copy of the report will then be forwarded through to the Professional Head of Track for review. Receipt of the report will be acknowledged by the Professional Head of Track and the Chief Engineer, Planning and Engineering on the front page of the document.</p>
<p>Format</p>	<p>The current version of the M120 is held on iKon. The Asset Engineer is to complete Section A as follows:</p> <ul style="list-style-type: none"> • Address field - delete the GMO locations as appropriate. • Period Ending and Asset Engineer Area. • Insert name, signature, and date with counter-signature by the General Manager Operations.
<p>Compliance Test</p>	<div data-bbox="512 1111 1385 1581" data-label="Diagram"> <pre> graph TD A[Inspection completed to timeframe?] -- N --> B((NC)) A -- Y --> C((C)) C -.-> D[Do items found meet specification?] D -- N --> E[Correct mitigation applied or Exemption valid?] D -- Y --> F((C)) E -- N --> G((NC)) E -- Y --> F </pre> </div> <p>Compliance is achieved when code requirements are being followed or where the correct mitigations are applied where these standards cannot be met.</p>

Part 1: Track Inspections	
Reference	Document T-ST-IN-5109 Track Inspection
Requirements	<p>Complete ALL fields, if not applicable then insert 'N/A':</p> <ul style="list-style-type: none"> • Report progress against programme for Track Inspector's inspections – i.e. Track Inspections and M186 Curve Board Inspections. • To be compliant, inspections must be completed within the required timeframes as shown on the report. • If not compliant then note measures in place to rectify, stating remedial programme and completion by date, with any exemptions or mitigations in place. • Inspections are scheduled and reported on over a calendar year.
Supporting Data	Select the Maximo work order report titled Track Compliance – Inspections , and enter the Area, Compliance period date range, and '1' for compliance.
Report Format: PDF	<p>The report will list M125 and M186 inspections scheduled during the compliance period with late or incomplete 'Actual Finish dates'. The first page of the report will summarise inspections scheduled, completed, completed within timeframes, and incomplete. The following pages will itemise each overdue inspection to enable the Asset Engineer to trace and correct the causes of non-compliances. Work orders with late or missing completion dates will have the target finish dates highlighted in red text.</p> <p>General commentary on the inspection programme, and compliance with it should be made in Part 1 of the M120. Comments specific to non-completed or significantly overdue work orders should be entered into the work log summary. These comments will then appear in the report beneath the relevant work order.</p> <p>Note actual finish dates of inspection must be the date that the inspection is physically completed. However, where an inspection is missed and it is necessary to close the work order at the end of the compliance period, enter the date of the following inspection over the exact same area and include the comment 'Superseded by next run' in the work log summary.</p>
Part 1A: PDS Inspections	
Reference	Documents T-ST-IN-5107 PDS Condition Assessment and T-TI-WA-5955 PDS Condition Assessment
Requirements	<p>Demonstrate compliance with the inspection schedule periodically issued by Aurecon.</p> <p>The above Task Instruction details the Asset Engineer's responsibilities in terms of compliance:</p> <p>'... the Asset Engineer will ensure compliance with respect to inspections and is responsible for:</p> <ul style="list-style-type: none"> • safe delivery of the agreed replacement works. • delivering the inspections to the agreed frequency regime. • ensuring information is fed back to the PDS database. • liaising with the Production Manager on a monthly basis to capture any sleepers replaced by the minor renewals or other non-PDS budgets.'
Supporting Data	<p>Attach the following reports:</p> <ul style="list-style-type: none"> • Current overdue inspection summary report. This is page 1 of the PDS Dashboard Report issued by Aurecon in a monthly email. The report lists a

Part 1A: PDS Inspections	
	<p>summary of overdue inspections by Area, giving a snapshot of inspection compliance.</p> <ul style="list-style-type: none"> Area Inspection Report. This report lists all sites with the current inspection status and can be found here: P:\PMO\Projects\PDS\6.0 Reporting\6.1 Project reports\Aurecon download\Latest Month\Area Manager\
Report Format: PDF	<p>Complete a commentary on PDS inspection compliance in Part 1A: PDS Inspections. Comments should focus on significantly overdue inspections which are flagged red in the Area Inspection Report including:</p> <ul style="list-style-type: none"> Issues with resourcing PDS inspections Programme to achieve compliance with scheduled inspection dates Verifying inspection information is returned for entry into the database Management of flagged sleeper sites including mitigations applied and renewals planned. Refer Heatmaps on P Drive link.
Part 2: Code Exemptions	
Reference	Document T-ST-AM-5101 Track Audit and Compliance
Requirements	<p>Attach the code exemption report as detailed below.</p> <ul style="list-style-type: none"> Are exemptions compliant with conditions imposed on them? Under issues/comments explain what is being done for each of the exemptions, plans to achieve compliance including date.
Supporting Data	Go to Work Orders > Code Exemption. Select the report titled KR Code Exemption and enter Discipline = 'Track' and Area.
Report Format: PDF	
Part 3: Specific Compliances	
Requirements	<p>Complete ALL fields in the table - if not applicable then insert 'N/A':</p> <ul style="list-style-type: none"> Is the item code compliant? Code compliance is achieved if code requirements are being followed - no supporting documentation is required. If any parts have not been carried out then mitigations are required. Compliance is also achieved if correct mitigations are applied for the duration that the defect remains uncorrected within the timeframes stated in the Track codes. Details of mitigations are to be included in the supporting documentation. If not code compliant then submit a planned rectification date; make this achievable. Complete comments box in the table. If compliant, elaborate. If not compliant, give reasons why not. <p>When completing other issues/comments give more detail for each of the items in this section that are not compliant include total numbers and steps taken to address these issues.</p>
Supporting Data	Provide the following (in this order) at the back of the report, separating each section with a coloured divider.

EM80 Exceedances	
Reference	Documents T-ST-AM-5120 Track Geometry and T200 338 and Table 4
Requirements	<p>Level 1 compliance requires reporting of all overdue main line ** gauge and twist exceedances and any other main line ** exceedances which do not have the correct mitigation. For the purposes of verifying that these mitigations are being applied, all main line ** exceedances will be listed.</p> <p>Select the Maximo service request report titled Track Compliance EM80 and enter the Area, Compliance (period end) Date, and '1' for compliance.</p>
Report Format: Excel	<p>The report will sort by Line, Track, and Start Metrage and includes columns for SR number, status and target finish date. The 'Status' field is included in the report to help identify exceedances from previous runs which may still be 'In Progress' at the time of reporting. Ideally these exceedances should be managed out prior to compliance reporting.</p> <p>Export the data to Excel to enter comments and mitigations.</p> <p>Note: It is preferred that comments pertaining to each exceedance are entered as required into the service request work log. These comments will then appear in the report.</p> <p>Actual speed and the required code restricted speed for the exceedance are included in the report to highlight where mitigations are required. Where the actual running speed at the location of the exceedance exceeds the code required speed, this field will be highlighted in red text.</p> <p>Highlight exceedances such as twist and gauge as high priority – give planned dates for repair.</p>

M125 / M126 Inspection Defects	
Reference	Documents T-ST-IN-5109 Track Inspection and T200 336 and Table 3
Requirements	<p>All overdue P1 and P2 (Maximo pty < 6) faults are to be reported.</p> <p>Select the Maximo service request report titled Track Compliance P1 P2 Track Defects and enter the Area and Compliance finish date.</p> <p>This report will produce a list of all P1 and P2 faults without completion dates.</p>
Report Format: PDF	<p>The report will sort by Reported Date and includes columns for SR number, Status, Reported and Target Finish dates.</p> <p>Make comments in Part 3 of the compliance report on overdue service requests (where actual finish date exceeds target finish date)</p>

Temporary Clamped Fishplates and Dollies	
Reference	T200 423-428 and Table 22
Requirements	<p>Report all temporary clamped fishplates and dollies.</p> <p>Select the Maximo Service Request report titled 'Track Temporary Clamped Fishplates and Dollies' and enter the Area and Compliance Date.</p>
Report Format: PDF	<p>The report will sort by Line, Track, and Start Metrage and includes all service requests with a status of 'New' or 'In Progress' and with the classifications = TRACKCM \ CMRAIL \ REMCLAMP or TRACKCM \ CMRAIL \ REMDOLLY.</p> <p>Comments on the inspection, mitigations applied and proposed removal of clamps and dollies should be made in Part 3: Specific compliances.</p>

Temporary Clamped Fishplates and Dollies	
	<p>The commentary is also to include details of any clamps or dollies installed and removed during the compliance period including dates.</p> <p>Records of fitted clamps entered into Maximo should also be included in the Essential Features List or on a PM Work Order for the TI or Ganger to inspect every week. This would also assist in identifying any TSR requirements.</p>
NDT Defects	
Reference	Document T-ST-IN-5109 Track Inspection
Requirements	<p>Report on the status of all current NDT defects as at compliance date.</p> <p>Select the Maximo service request report titled Track Compliance NDT and enter the Area and Compliance (period end) Date.</p>
Report Format: PDF	<p>The report will sort by Line, Track, and Start Metrage and includes all service requests with a status of 'New' or 'In Progress' and with the reporter type = NDT. The report will list all 'open' service requests for all defect classes as at the nominated compliance date (ie where reported date < compliance date).</p> <p>Overdue defects have a red target finish date.</p> <p>Include comments in Part 3 of the report where sites cannot be removed within the required timeframes or are extended by mitigation (eg emergency plating).</p> <p>Note changes may only be made to Target Finish dates when:</p> <ul style="list-style-type: none"> • emergency plates have been fitted as allowed by T200 clause 503 Table 13. In this instance, a comment to this effect must be included within the service request work log. • a code exemption has been granted. Enter the CE finish date as the SR target finish date, noting the CE number in the work log.
Rail Wear	
Reference	Documents T-ST-AM-5330 Rail Management and T200 435 and Table 7
Requirements	<p>Report sites which are at or beyond replacement limits only.</p> <p>Select the Maximo asset report titled Track Rail Wear and enter the Area and '1' for the Compliance report. The report will sort by Line, Track, and Curve Metrage and will list all sites at or beyond replacement limits, including sites recorded on tangent track.</p>
Report Format: PDF	<p>The report will draw in all TSR and Work Order information from Maximo to clearly show sites which are / are not mitigated, and whether there is a renewal work order in the system.</p> <p>Make comments on the state of compliance in Part 3 of the M120. Sites without mitigation and/or planned work orders should be covered.</p> <p>Notes: in addition to reporting on compliance, other versions are:</p> <ol style="list-style-type: none"> 1. Management Report – lists sites which are approaching renewal limits or are due for transposing. This report also lists Work Order information (year, status); the excel output will also give meterage details for the respective work orders. 2. Inspection Report – a rail wear inspection report which can be issued to inspectors for use in the field.

Reporting of Derailments and Defects									
Reference	Documents T-ST-EM-5610 Mainline Derailment Investigation, T003 P89 and T200 502, 870-874								
Requirements	<p>Report all main line derailments, track buckles, pull-aparts, and rail failures occurring within the compliance period.</p> <p>The following work order reports are to be used:</p> <ol style="list-style-type: none"> 1. Track Pull-aparts 2. Track Rail Failures 3. Track Buckles 4. Track Derailments. 								
Report Format: PDF	<p>All M120 defect reports are derived from Maximo 155 Work Orders. These include rail failures, pull-aparts, track buckles, and main line derailments.</p> <p>As these work orders are EM Work Orders created by the 155 desk, they can vary in description.</p> <p>The various Maximo reports initially search for description text in EMWO's as follows:</p> <table border="1" data-bbox="614 891 1385 1126"> <thead> <tr> <th>Report</th> <th>Search Text</th> </tr> </thead> <tbody> <tr> <td>Track Rail Failure</td> <td>'broken rail'; 'rail failure'; 'broken weld'; 'rail break', etc.</td> </tr> <tr> <td>Track Pull Apart</td> <td>'pull apart'; etc.</td> </tr> <tr> <td>Track Buckle</td> <td>'buckle'; 'misalign'; 'misalign'; 'kick'</td> </tr> </tbody> </table> <p>In addition to the text search on EMWO's, the reports will also include CM Work Orders which have been created with the classification REPFail, etc. This is to pick up work orders created after the event where required, for example where more than one defect has been reported on a work order (refer to Maximo process 19).</p> <p>Note the Derailment report is derived by a search on Classification.</p>	Report	Search Text	Track Rail Failure	'broken rail'; 'rail failure'; 'broken weld'; 'rail break', etc.	Track Pull Apart	'pull apart'; etc.	Track Buckle	'buckle'; 'misalign'; 'misalign'; 'kick'
Report	Search Text								
Track Rail Failure	'broken rail'; 'rail failure'; 'broken weld'; 'rail break', etc.								
Track Pull Apart	'pull apart'; etc.								
Track Buckle	'buckle'; 'misalign'; 'misalign'; 'kick'								
Process	<p>Track Rail Failure, Track Pull Apart, Track Buckle Reports</p> <p>The base report for each of these defects includes all work orders with the corresponding text in the description field or work orders with the correct classification. The resultant list therefore includes defects on main lines and in yards, and also reported defects which are not in fact valid. An example is where a pull-apart or broken rail has been reported by a train driver which later turns out to be erroneous.</p>								

Reporting of Derailments and Defects

Process continued

The process as described in Maximo Process 19 requires action on reported defects as follows:

Step	Action
1.	Verify the reported defect is valid.
2.	Ensure asset number and meterage is correct.
3.	Classify the work order with the appropriate classification for all work orders including those in yards.
4.	Supply a form for each defect to Track Engineering – note date sent in Work Log (eg M160 forwarded to TE on 29.08.15).
5.	Ensure only one defect is reported on each work order (create an extra CMWO with classification if necessary) therefore one form for each work order.

Derailment Report

There are two relevant Maximo processes: Process 23 for Main Line derailments, Process 24 for Shunting derailments.

All derailments are to be classified with either:

- TRACKCM \ DERAILMENT \ MAINLINE or
- TRACKCM \ DERAILMENT \ SHUNTING.

Reports

Track Rail Failure, Track Pull Apart, Track Buckle Reports

These reports are located in Maximo Work Orders and have request pages as follows:

- Area
- From Date
- To Date
- '1' for Compliance
- Blank for All

Step	Action
1.	Enter Area and compliance date range.
2.	Run option = Blank for a list of all defects.
3.	Follow steps described in Process above.
4.	Run option = '1' for compliance report. This will give an accurate report of all defects in main lines, loops, and yards provided asset numbers, metreages, and correct classifications have been verified.

Reporting of Derailments and Defects

Reports continued

The correct classifications can be found in Maximo Process 19 but are repeated here for:

- rail failures use 'TRACKCM \ CMRAIL \ REPFAIL'
- pull-aparts use 'TRACKCM \ CMRAIL \ REPPULL'
- track buckles and misalignments use 'TRACKCM \ CMRAIL \ REPBUCKLE'

Note for the repair of other rail defects such as squats, wheel burns, or other defects which are not NDT's or broken rails, use the classification 'TRACKCM \ CMRAIL \ REMRAILDEFECT'.

Derailment Report

The Maximo report is located in Maximo Work Orders and has a request page with the following options:

- Area
- From Date
- To Date
- '1' for Compliance – Main Line Derailments
- '2' for Shunting Derailments
- Blank for All.

Step	Action
1.	Enter Area and compliance date range.
2.	Run option = Blank for a list of all derailments.
3.	Verify that the correct classification has been assigned as described in Process above – note Main Line derailments are defined by IRIS reporting system and do not relate to the Maximo asset number. For example: derailment of a berthing or departing train may be a MLD even if it occurs off the main line.
4.	Run option = '1' for compliance report.

Briefing Note(s) for T-ST-AM-5101 Track Audit and Compliance

Date Effective 1/012/2018 **Issue No.** Issue 1.1

Background

Note Key changes statement.

Key changes / compliance

Issue 1.1 contains revisions to the designations for the required M120 signatories, amended code references in Appendix 1 Track Audit Checklist, and revised compliance reporting requirements in Appendix 3 M120 Compliance Report Guidelines.

Implementation

As per the effective date.

Applicability (Select relevant boxes)	General	Civil	Signals and Telecommunication	Structures	Track	Traction and Electrical
Zero Harm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Learning and Development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Management Office	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manager Property Revenue and Grants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Train Control Centre	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Professional Head		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Engineering Manager		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Network Services Managers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Region Operations Managers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
STTE Managers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Production Managers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Asset Engineers		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Document History

Note page numbers relate to the document at the time of amendment and may not match page numbers in current document.

Issue No.	Section	Description	Page(s)
1.0		First publication	
		T003 Cl. P38 Area Manager's Reports – Withdrawn replaced with T-ST-AM-5101	