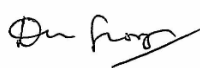


National Rail System Standard / 11

Heritage Vehicle and Train Management

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PREFACE

National Rail System (NRS) Standard

The objective of this NRS Standard is to set out the management framework and arrangements for the registration and operation of Heritage Vehicles on the NRS. It is applicable to Heritage Participants and any other Operator operating Heritage Vehicles on the NRS. It is intended to be consistent with the requirements set out in the relevant legislation and the Land Transport NZ document "Rail Safety Licensing and Safety Assessment Guidelines" and should be read in conjunction with those documents.

It should also be read in conjunction with the Heritage Participant's and Operator's safety system documentation and other applicable or relevant NRS Standards.

It is generic and specific to users of the NRS. The terminology chosen to apply to the NRS has been used in this NRS Standard (See NRSS/1). Capitalised terms are defined in NRSS/1 or in this Standard. "Standard" without further description means this NRS Standard, NRSS/11.

Review of National Rail System (NRS) Standards

NRS Standards are subject to periodic review and are kept up to date by the issue of amendments or new editions as necessary. The user is responsible for ensuring that they are in possession of the latest edition, and any applicable amendments.

Full details of all NRS Standards are available from ONTRACK (New Zealand Railways Corporation). The Document Controller for all NRS Standards is ONTRACK.

Suggestions for improvements to NRS Standards should be addressed to ONTRACK head office. Any inaccuracy found in a NRS Standard should be notified immediately to enable appropriate action to be taken.

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DEFINITIONS

As per NRSS/1 with the following definition amplified:

“**Heritage Vehicle**” is defined for the purposes of this standard as being:

- a) Any former Toll NZ / ONTRACK (or predecessor) passenger, freight or service vehicle, or locomotive which was introduced (or is of a class that was first introduced) 40 years or more before the date of registration and which is intended for operation on the NRS by a heritage organisation and which is either:
 - substantially in the same configuration it was when operating in Toll NZ / ONTRACK or predecessor service with the exception of the changes required to comply with this Standard and NRSS/6 or any law or regulation; or
 - has been modified after being disposed of by Toll NZ / ONTRACK or predecessor, but which has, subsequent to that modification, been approved by the Heritage Technical Committee and ONTRACK using the process for vehicle certification described in NRSS/6 and also in this Standard, or
- b) Any vehicle proposed to be operated under the Special Case arrangements described in clause 2.6 of this Standard, or
- c) Any other vehicle approved by ONTRACK.

1 INTRODUCTION

1.1 Scope

- 1.1.1 This Standard sets out the management framework and arrangements for the registration and operation of Heritage Vehicles on the NRS. It also sets out ONTRACK's expectations and requirements as Access Provider and Network Controller of current and potential heritage organisations intending to act as Heritage Participants on the NRS.
- 1.1.2 This standard applies to:
- an Operator operating a Heritage Vehicle,
 - a Heritage Vehicle Provider
- 1.1.3 This Standard alone does not provide all the requirements for Heritage Vehicles. Each Operator and each Heritage Participant is also required to comply with:
- all relevant provisions of all other NRS Standards,
 - all applicable Acts and Regulations,
 - the Safety Case for and all other requirements of, its Rail Safety Licence,
 - the Rail Operating Rules and Procedures,
- and in the case of Heritage Operators;
- that Operator's Heritage Access Agreement, including the "Common Access Terms",
 - the Heritage Operating Manual
- 1.1.4 Heritage organisations have been party to the preparation of this Standard and the Heritage Technical and Operations Committees described in it have endorsed the terms of reference for their respective committees.
- 1.1.5 Prior to the introduction of this National Standard there were no national standards for Heritage Vehicles. This National Standard sets out to advance the ongoing development of a set of appropriate codes and standards for Heritage Vehicle maintenance, modification and operation.

1.2 Overview

- 1.2.1 For heritage organisations to attain network operating status and maintain the currency and competency necessary to maintain that status they must draw on each others' knowledge and experience, and the knowledge and practice of the wider rail industry. Individual groups may not have the resources or scale of operation to stand alone. It is vital that heritage organisations collaborate in order to share experience and knowledge, set standards for heritage operations and develop proficiency. The standing and behaviour of any individual Heritage Participant potentially affects the standing of all Heritage Participants as a group in the sight of statutory bodies, customers, other industry bodies, and the wider community. A national body of Heritage Participants plays a vital role in facilitating collaboration between Heritage Participants and setting and moderating the standards expected of them.

- 1.2.2 In 2005 ONTRACK was directed by its shareholding ministers to assist Heritage Operators to move from operating under the Toll NZ Rail Service Licence and to assist them to move to self-sufficiency for heritage train management and operation.
- 1.2.3 Self sufficiency is taken to be achieved when a Heritage Operator is able to operate Heritage Vehicles on the NRS under its own rail safety licence, drawing resources from other Operators and Heritage Participants and interacting with the Access Provider as appropriate. It is noted that some Heritage Participants may elect not to attain full self sufficiency but nevertheless be Heritage Vehicle Providers to other Operators.

2 ACCESS MANAGEMENT

2.1 Introduction

Section 2 of this document details requirements that all Heritage Participants must comply with before being authorised to operate Heritage Vehicles on the NRS, or provide Heritage Vehicles for operation on the NRS by other Operators. A summary of requirements are shown in Table 1 below.

Requirement	Clause	Heritage Vehicle Provider	Heritage Operator
FRONZ membership and endorsement	2.2.1	Yes	Yes
Rail Safety Licence coverage	2.2.2	Yes	Yes
Peer review	2.2.3	Yes	Yes
Audit requirements completed	2.2.4	Yes	Yes
Access Agreement	2.3.1	-	Yes
Heritage Operations Committee endorsement	2.3.2	-	Yes
Heritage Technical Committee endorsement	2.4.1	Yes	-
Annual inspection completed and current	2.4.2	Yes	-
Certification completed and current	2.4.3	Yes	-
Documentation provided to ONTRACK	2.4.6	Yes	-

Table 1: Summary of Requirements

2.2 General Requirements

These requirements apply to all Heritage Vehicle Providers and Heritage Operators.

2.2.1 FRONZ Membership and Endorsement.

The Heritage Participant must have and maintain full membership of FRONZ.

FRONZ endorsement is required in support of any application by a Heritage Provider as follows;

- To the Heritage Technical Committee (HTC) for any proposal for registration of a Heritage Vehicle (refer section 2.4.1).
- To the Heritage Operating Committee (HOC) for any proposal requiring their endorsement for an Operator to operate on the NRS (refer section 2.3.2).

Initial and ongoing endorsement by FRONZ will involve regular peer review of the Heritage Participant's activities. The HTC and HOC will specify a set of safety criteria which a Heritage Participant needs to meet for initial and ongoing FRONZ endorsement for their particular activities.

2.2.2 **Rail Licence.**

In order to be granted access to operate Heritage Vehicles on the NRS, or to provide Heritage Vehicles for use by another Operator, a Heritage Participant must have, or be able to gain a current valid Rail Licence, backed by a management and safety system, with a scope of activity that covers and permits the provision and/or operation of the vehicles on the NRS or specified parts of it, and must provide evidence of this to ONTRACK on request.

2.2.3 **Peer Review.**

To facilitate the transfer of knowledge of industry best practice amongst Heritage Participants, Heritage Participants must endorse, use and develop the peer review methodology of continuous improvement by providing results of internal and external audits, special inspections and certifications and an agreed summary of facts of any significant investigations into occurrences (after the the agreement of the individual Rail Participants has been given) to FRONZ and other Rail Participants, who will make them available for the perusal and benefit of all FRONZ members who are Heritage Participants authorised to access these reports. FRONZ will also make them available to ONTRACK. The peer review system should extend to having other Heritage Participants present and may extend to them actually assisting in carrying out specific vehicle inspections, system audits or other reviews. Heritage Participants and Operators will not be identified in any published peer review material if they so request.

2.2.4 **Audit**

Prior to the first occasion on which a Heritage Participant either operates a Heritage Vehicle on the NRS or provides a Heritage Vehicle to another Operator to operate on the NRS, and thereafter when reasonably required by ONTRACK, that Heritage Participant must undergo a vertical slice audit of their management and safety system and procedures by ONTRACK. This is in addition to the requirements for new entry vehicles.

2.2.5 **Preparation for Registration**

Heritage Vehicle Providers intending to register a vehicle for operation on the NRS some time in the future must submit to the Heritage Technical Committee a plan setting out how the Heritage Vehicle will be prepared for future Heritage Technical Committee endorsement (section 2.4.1). The plan must be in accordance with any criteria set by the Heritage Technical Committee from time to time. In this way the Heritage Technical Committee can provide guidance on vehicle design, construction, operation and maintenance in a timely manner before the vehicle registration is sought from ONTRACK.

2.3 Heritage Operators

2.3.1 Access Agreement.

Each individual Heritage Operator when operating trains on the NRS will be required to enter into a Heritage Access Agreement with ONTRACK, which will contain similar terms for the majority of Heritage Operators, including being bound by the Common Access Terms.

Note: Important safety provisions in individual Access Agreements and the Common Access Terms are not repeated in this Standard. Each Heritage Operator must comply with all such requirements.

2.3.2 Heritage Operations Committee Endorsement.

A Heritage Operator must be endorsed by the Heritage Operations Committee as appropriate to operate on the NRS prior to the first application to operate trains being made to ONTRACK. A copy of the letter of endorsement from the Committee must be provided to ONTRACK with the application to commence train operations on the NRS.

2.4 Heritage Vehicle Providers: Registration of Vehicles by ONTRACK

In its role of Access Provider, ONTRACK will maintain a register of all registered Heritage Vehicles that meet the requirements of this Standard, and are therefore authorised to operate on the NRS.

Before ONTRACK will allow a Heritage Vehicle to operate on the NRS, the following requirements must be met. These requirements also apply to new entry Heritage Vehicles and already registered vehicles that have been modified, or for which registration has been suspended or cancelled.

2.4.1 Heritage Technical Committee Endorsement.

Each Heritage Vehicle must be endorsed by the Heritage Technical Committee as appropriate to operate on the NRS prior to application being made for their registration to ONTRACK. A copy of the letter of endorsement from the Committee must be provided to ONTRACK with the application for registration.

2.4.2 Annual Inspection.

Each Heritage Vehicle must have an annual inspection which demonstrates that the Heritage Vehicle is fit to run (taking account of this documentation and subject to any conditions considered necessary). Re-inspection is required within 13 months of the date after passing the previous inspection. See also section 2.4.4.

The initial inspection and the annual inspection every second year thereafter must be carried out by an inspector independent (in terms of membership, employment etc.) of the Heritage Vehicle Provider. Every other year the inspection may be carried out by either an independent inspector or an inspector associated with the Heritage Vehicle Provider. Inspection by an in-house inspector must be to no less a standard than would be provided by an independent inspector.

In all cases, the inspector must be suitably experienced and qualified, and well versed in good sound railway engineering practice. The inspector must be approved by the Heritage Technical Committee. A copy of the inspection

certificate endorsed with any conditions imposed must be provided to ONTRACK with the application for registration and on each subsequent inspection.

2.4.3 Certification.

(a) Each Heritage Vehicle must be certified as fit to run on the NRS in all respects, taking account of this documentation and subject to any conditions considered necessary:

- Upon being presented for operation on the NRS for the first time under the Heritage Vehicle Provider's Rail Safety Licence.
- Following any engineering change unless specifically exempted by the Heritage Technical Committee.
- Following major overhaul (unless specifically exempted by the Heritage Technical Committee and ONTRACK).
- After any incident which any aspect of the vehicle possibly contributed to, or which involved other than superficial damage to the vehicle.
- And in any case, at no greater interval than every six years.

(b) Certification shall take into account at least the following:

- Compliance with NRSS/6.
- Compliance with the Heritage Vehicle Provider's Safety Case and Safety System.
- The nature and extent of the proposed or likely operations on the NRS.
- The suitability of the presenting organisation's management and safety systems generally and the proposed maintenance and inspection regime for the Heritage Vehicle in particular, including a suitably completed document matrix (refer to Appendix A and Appendix B for an example of recommended practice).
- The ability of the organisation to maintain the Heritage Vehicle in accordance with its management and safety system, including record keeping.
- The original construction standards used and current compliance with these.
- The documentation of any structural modifications, including the adequacy of design calculations and drawings.
- The documentation of any structural repair, overhaul etc. in terms of adequacy of the work carried out and examination of any normally hidden aspects of the Heritage Vehicle body and structure exposed during the work.
- Assessment of structure and body condition.
- The known maintenance history of the Heritage Vehicle.
- Evidence that a risk assessment process has been undertaken for the operation of the Heritage Vehicle and that the Heritage Vehicle has an acceptable risk profile under the Heritage Vehicle Provider's Safety Case approved by Land Transport NZ.

(c) The certifier must be a person unanimously endorsed by the Heritage Technical Committee to be a suitably experienced and qualified person and must in any event, be an appropriately qualified professional engineer, preferably a Chartered Professional Engineer (CPEng). The certification must follow or be accompanied by an inspection under section 2.4.2 A copy of the certification endorsed with any conditions

imposed must be provided to ONTRACK with the application for registration and on each subsequent certification.

2.4.4 Inspection and Certification Periods

The anniversary dates on which the next inspection or certification will fall due will not change provided that inspection and certification is carried out within the time frames and tolerances specified in Table 2, unless a separate certification is required under clause 2.4.3(a). In any case recertification resets the inspection and certification cycle to zero.

If inspection is carried out outside the time limits specified, the following will apply;

- the respective anniversary date will change to the date of the latest inspection
- the date when the next certification will fall due remains unchanged
- when the date of the next certification falls due, the inspection anniversary date then is reset to the re-certification date.

If re-certification is carried out outside the time limits specified, an annual inspection must still be carried out in accordance with section 2.4.3 and 2.4.5 at the time of re-certification, and the certification and annual inspection anniversary dates changed accordingly.

Period	Elapsed Time	Inspection	Certification	Tolerance
0	Initial Inspection/ & Certification (or Recertification)	Independent	Yes	Nil
1	12 months,	Can be from own organisation	No	± 1 month
2	24 months	Independent	No	± 1 month
3	36 months	Can be from own organisation	No	± 1 month
4	48 months	Independent	No	± 1 month
5	60 months	Can be from own organisation	No	± 1 month
6	72 months	Independent	Yes	±1 month (inspection), -1 month / +3 months (for certification)

Table 2

“Elapsed Time” is the time since the initial inspection and certification, or recertification (and associated independent inspection) following engineering change, overhaul or incident as per 2.4.3(a).

The “Tolerance” specifies the time band from the anniversary date in which inspections and certifications must be carried out to ensure continued currency.

After Period 6, the timetable recommences 12 months later at Period 1.

2.4.5 **Suspension and Cancellation of Registration**

Registration will be immediately suspended and therefore the authority to operate on the NRS will be temporarily withdrawn if the Heritage Vehicle does not pass any annual inspection (or is not re-inspected) as described in clauses 2.4.2 and 2.4.4.

A Heritage Vehicle that's registration has been suspended because it does not have a current inspection (but maintains current certification) may be re-inspected and registration restored within 48 months of the date on which it last passed inspection; otherwise registration will be cancelled and it will need to follow the procedure for new entry vehicles. The re-inspection must be by an independent inspector. The cycle of annual inspections will then continue with the inspection anniversary date changed to that of the re-inspection and the next annual inspection may be by an in-house inspector, unless that coincides with recertification under clause 2.4.3.

A Heritage Vehicle that's certification has expired will have its registration cancelled and therefore authority to operate on the NRS withdrawn.

Note if a registered Heritage Vehicle, whether current or suspended is modified and the modification is not managed in accordance with paragraph 3.5 the Heritage Vehicle's registration will be cancelled and therefore authority to operate on the NRS will be withdrawn.

2.4.6 **Documentation to be Provided to ONTRACK.**

Heritage Vehicle Providers are to provide the following material in full with any application for registration of a new entry, a reinstated or modified existing Heritage Vehicle;

- Heritage Vehicle type and fleet number
- Previous Heritage Vehicle fleet numbers.
- Evidence that Land Transport NZ has approved (or will approve) a Safety Case or variation that permits the vehicle to run on the NRS.
- Evidence of passing the annual inspection.
- Evidence of vehicle certification
- Copy of the letter of endorsement from the Heritage Technical Committee.
- Details of ownership of the Heritage Vehicle and any lease arrangements, identifying the parties involved and their respective responsibilities for the condition and operation of the vehicle.
- Native class of Heritage Vehicle and original construction date.
- Description of the Heritage Vehicle and major components e.g. bogies, brakes, drawgear, structure, power system etc.
- General arrangement drawings for the Heritage Vehicle showing main features and details, including key dimensions and axle loads.
- Description of any modifications from original drawings, noting in particular any changes in purpose, operational methods, key dimensions or weights.
- Sufficient photographs to show the Heritage Vehicle's general arrangement, including interior arrangement where appropriate.
- Statement of intended function and operation of the Heritage Vehicle.

- Proposed operating regime including any associated risk mitigation provisions (e.g. speed, marshalling position, public access, etc.) taking into account crash worthiness and any other safety related features.

2.5 Special Risk Assessments.

ONTRACK will from time to time review the design and construction standards of Heritage Vehicles and conduct special risk assessments in respect to their operation on the NRS. Any outcomes from these special risk assessments in the form of operating restrictions or vehicle withdrawal from operating on the NRS will be issued by ONTRACK to FRONZ through the Heritage Technical and Operations Committees. Special risk assessment is in addition to those carried out by individual Operators and Heritage Vehicle Providers as part of their safety and management system, and to those provided for in the Common Access Terms or individual Operator's Access Agreements.

2.6 Special Cases

- 2.6.1 In recognition of the importance of New Zealand's rail heritage, museum or demonstration vehicles may be granted short term special purpose registration, at the discretion of ONTRACK, for limited operation for such occasions as centenaries, celebrations, commemorations and any such special occasion that ONTRACK and the Operators involved agree as being covered by this 'special case' category.
- 2.6.2 This short term special purpose registration provides for Heritage Vehicles that may not comply with this standard, current interoperability standards or any other rail standards. This registration will only be granted with special restrictions such as 'block of line', speed restrictions and any other special provisions deemed necessary by the Operators involved, Heritage Technical and Operational Committees or ONTRACK.
- 2.6.3 For guidance, it is envisaged that any individual Heritage Vehicles which gain the right to operate on the NRS under this special case category would do so no more frequently than once every three years. It is also envisaged that such events will generally be non-profit making train journeys to ensure that they are considered truly special events.
- 2.6.4 It is acknowledged that it is not practical to completely remove the risks inherent in operating these Heritage Vehicles on the NRS and thus operating restrictions will be put in place for these Heritage Vehicles to reduce the risk to as low as reasonably practicable whilst acknowledging the benefits to New Zealand's rail heritage of such special heritage events.
- 2.6.5 For information, any Operator involved will require a variation to its Rail Safety Case approved by Land Transport NZ to permit the operation of such Heritage Vehicles on the NRS.
- 2.6.6 Dead haulage between one locality and another will be by agreement between ONTRACK and the Operator providing haulage under its Rail Safety System. The Operator or Heritage Vehicle Provider will take responsibility for ensuring that the Rail Vehicle can be handled safely under any special conditions applicable.

3 MECHANICAL

3.1 NRSS/6

NRSS/6, Engineering Interoperability, provides key requirements relating to Heritage Vehicles.

3.2 Key Processes

There are several processes in the effective management of Heritage Vehicles that require special mention in this Standard. Even though they may be part of Heritage Vehicle Providers' existing safety and management systems they are repeated here to ensure that all parties are aware of their importance, especially in the event of an incident where a failure of the relevant safety and management system requires a clear audit trail of events. All of the following items are subject to ONTRACK audit and should be key items for peer review.

3.3 Codes and Standards.

In the absence of sound alternatives contained in a Heritage Vehicle Provider's Safety System (approved as part of the Rail Safety Licence issued by Land Transport NZ) a Heritage Vehicle Provider will use the codes, standards and practices approved by the Heritage Technical Committee, which will apply in all respects to the design, construction (including vehicle body strength and crashworthiness), inspection and maintenance of vehicles. These codes and standards are generally accepted NZ rail heritage practice applicable to the NRS and any proposed alternative must be equivalent or better.

3.4 Design and Construction

Heritage Vehicle Providers must ensure in any submission to the Heritage Technical Committee that all aspects of design, construction, maintenance and operation are considered and are in accordance with good sound railway engineering practice, the requirements of all NRS Standards and, in the case of registration, are covered by the scope of their Rail Safety Licence.

3.5 Modification

Any proposed modification to any Heritage Vehicle that affects its structure, operation or function must be managed as an engineering change and submitted to and endorsed by the relevant Heritage Technical and/or Operations Committee as appropriate. Modifications include, but are in no way limited to, any change to passenger safety equipment (such as steps, gangways, handrails, barriers, glass, platforms, doors and gates) running gear, draw gear and brake gear, and any move away from standard parts or fittings. See also section 3.6 "Engineering Change Procedure".

If the Heritage Vehicle to be modified is yet to be registered, the modification must be submitted to and endorsed by the relevant Heritage Technical and/or Operations Committee prior to submitting the application for registration of the Heritage Vehicle to ONTRACK.

If the Heritage Vehicle to be modified is already registered, (or registration has been suspended –see clause 2.4.5) the proposal must be submitted to and endorsed by the relevant Heritage Technical and/or Operations Committee and submitted to ONTRACK before the modification is carried out.

The registration of a Heritage Vehicle that has been modified without due process will be cancelled.

3.6 Engineering Change Procedure.

3.6.1 This is a critical area and the one most likely to cause Heritage Vehicle Providers the most liability.

3.6.2 Any change to any piece of rolling stock or component must only be made with due care and recognition of all the implications of that change.

3.6.3 Any change must be part of an engineering change management system and the controls must be robust to ensure that the competency levels of persons proposing, reviewing and making the change are well considered. Managers and engineers should err on the side of caution and ensure that appropriate persons are making the decisions as to the adequacy and efficacy of any change proposed.

3.6.4 The change system must record each and every change. This does not include rotatable changes and the like but does include modifications, alterations and additions to any part of any rolling stock.

3.6.5 The management of engineering change proposals with respect to registration and certification is described in paragraph.3.5.

3.7 Maintenance Records.

Maintenance tasks whether scheduled or unscheduled must be recorded and the records be available for the appropriate period of time after the maintenance task and, at a minimum, must be held for at least seven years. These records must include the name of staff involved and the supervising person for the staff.

3.8 Inspection & Certification Records.

All vehicle inspection and certification sheets for each scheduled inspection and/or certification must be retained for an appropriate period (of at least seven years) that provides an adequate audit trail for both the inspection and certification undertaken and the personnel involved.

3.9 Operating Records.

Log books or similar recording methods for faults and repairs undertaken on vehicles must be retained by Heritage Vehicle Providers to demonstrate that adequate actions are being taken by repair and maintenance staff. These must be retained for at least seven years.

4 RAIL OPERATIONS

4.1 NRSS/7

NRSS/7 Rail Operations Interoperability provides key requirements relating to the operation of Heritage Vehicles.

4.2 Heritage Operating Manual

The Heritage Operating Manual provides rail operating procedures applicable to trains containing Heritage Vehicles not otherwise covered in NRSS/7. A Heritage Operator who is managing the operation of such trains on the NRS where access to the NRS is covered by a Heritage Access Agreement, must comply with the Heritage Operating Manual, unless alternative arrangements are agreed to by ONTRACK.

4.3 Risk Management

All proposed train trips involving Heritage Vehicles must be subject to a risk screening process in accordance with NRSS/4. This exercise should be jointly conducted by all parties involved.

4.4 Rail Personnel

4.4.1 Where one Operator provides rail personnel to another Operator, the Operator providing the personnel remains responsible for ensuring that:

(a) the personnel supplied:

- hold all required technical qualifications for the service to be performed (including the correct certification for the Rail Vehicle type), and
- have completed current safety observation and theory assessments (or alternatively applicable approved formal safety refresher training) which will remain current during the period of service supply, and
- have current medical fitness certificates and that they remain so during the period of service supply, and

(b) any corrective actions identified as a result of any occurrence, audit or review involving the rail personnel supplied under the terms of any such contract are acted upon and the status of any such corrective action is advised to the other party to provide assurance that deficiencies have been corrected.

4.4.2 Where one Operator engages contracted Rail Personnel from another Operator, the engaging Operator remains responsible for ensuring that:

- the physical operation of the service/s are conducted in accordance with its approved Rail Safety Case; and
- the Rail Personnel are in a fit and proper state to commence duty, with all hours of work and rest requirements complied with, and
- those Rail Personnel are appropriately managed and instructed whilst operating under the Rail Licence of the party operating the rail service; and
- investigation of occurrences and initiation/closure of identified corrective actions involving those rail personnel are conducted in accordance with its approved Rail Safety Case, and
- the party providing the Rail Personnel is immediately notified of any occurrence involving the Rail Personnel supplied under the terms of any

such contract and is, where appropriate, involved in the investigation process; and

- the party providing the Rail Personnel is notified of any concerns they have in relation to Rail Personnel supplied including, if appropriate, requesting report back on the status of corrective actions where these have been identified as relating to these Rail Personnel as a result of any investigation, audit or review of the arrangements.

4.5 Operating Demarcations

- 4.5.1 A Heritage Operator may hire locomotives, passenger cars and /or other rail vehicles from other Operators or a Heritage Vehicle Provider. Similarly, an Operator may hire Heritage Vehicles from a Heritage Vehicle Provider to use on its own scheduled or special charter train services.
- 4.5.2 A Heritage Operator may rely on others for the provision of locomotive crew and some support crew as well as hiring rolling stock from other Operators or Heritage Vehicle Providers. If other participants provide the staff or vehicles, they shall also comply with the provisions of this Standard in their own right.
- 4.5.3 By agreement, Heritage Vehicle Providers supplying Heritage Vehicles for use by another Operator may provide an owners representative to provide designated technical and operational support.
- 4.5.4 A Heritage Operator who hires Rail Vehicles and/or Rail Personnel in accordance with clauses 4.5.1. and 4.5.2 from another Operator under that Operator's Rail Licence, will be required to enter into an agreement with each Operator outlining clear demarcation of rail safety responsibilities.
- 4.5.5 The ONTRACK Bulletin will specify the Operator taking overall rail safety system responsibility together (with any special arrangements applicable), regardless of whether vehicles or staff are provided by other parties. The train will then be deemed to be operating under the Rail Licence of the Operator taking overall responsibility.

An example of interaction between Operators:

Operator A arranges and operates a train using its passenger cars and Train Manager/Guard, a locomotive provided by Heritage Vehicle Provider B, and driven by locomotive engineers from Operator C in which case Operator A takes overall responsibility for the safety of the train, under its Safety Case, relying on:

- *its own licensed Rail Safety System as it relates to interaction with the licensed Rail Safety Systems of other Operators and Heritage Vehicle Providers.*
- *its own licensed Rail Safety System for train management, passenger safety and provision of passenger cars fit for main line operation;*
- *the licensed Rail Safety System of Heritage Vehicle Provider B for the provision of the locomotive fit for main line operation;*
- *the licensed Rail Safety System of Operator C for the provision of locomotive engineers qualified to drive on the National Rail System and driving and controlling the locomotive.*

In this example Heritage Vehicle Provider B will have a safety system covering the provision of its locomotive fit for main line operation but it might not be a main line Operator in its own right in terms of holding a Rail Licence covering the operations of trains on the NRS (including train management and passenger safety).

5 SAFETY AND MANAGEMENT MANUAL TEMPLATE

Appendices A and B, the Safety and Management Manual template and list of documents, have been provided as guidance to assist Heritage Participants develop their systems and to obtain a new, or variation to their current, rail licences for operation on the NRS.

6 INDUSTRY COMMITTEES

FRONZ and ONTRACK have established two joint technical Committees to assist in the efficient and effective management and ongoing development of Heritage Vehicle and heritage train operations on the NRS. FRONZ will lead these committees and ONTRACK will provide secretarial and professional support to them. Existing and intending Heritage Participants must conform to the Committees' requirements. The committees are:

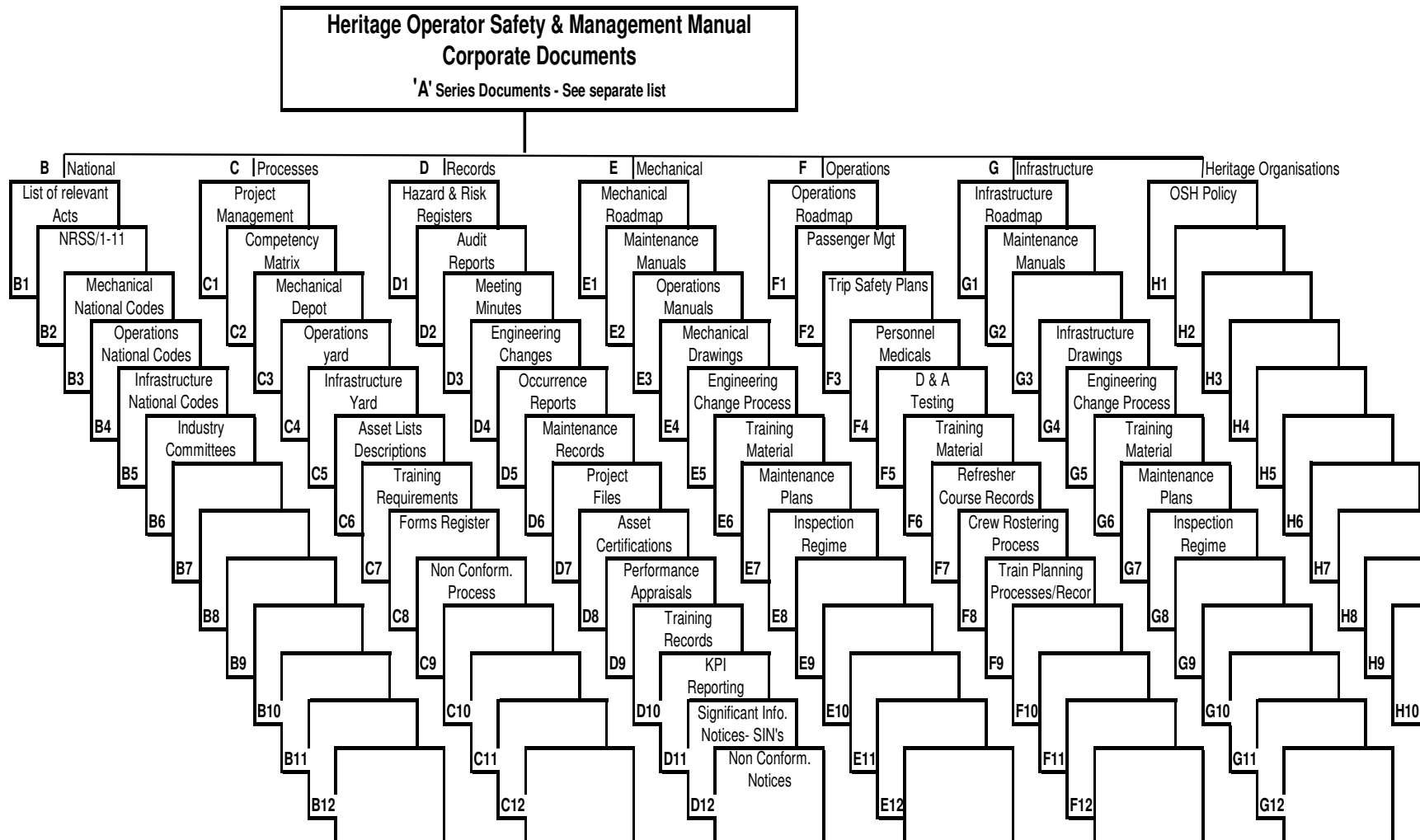
- Heritage Technical Committee (HTC)
- Heritage Operations Committee (HOC)

The terms of reference for these committees are listed in Appendices C & D respectively.

These committees provide technical and operating expertise for heritage operations. Their purpose is to ensure that the heritage operating and mechanical systems and procedures set out heritage best practice and the approval processes for change are professionally managed.

7 APPENDICES

Appendix A. Safety & Management System Template



Appendix B. “A”-series Documents

Doc. Ref.	Description of Document	Comments
A1	Organisation name,address etc	Formal registered name of organisation and addresses.
A2	Scope of organisation	Statement of scope of license and organisations activities
A3	Roadmap of organisation docs	A roadmap showing the suite of documents in the system
A4	Definitions and abbreviations	NRSS/1 etc
A5	Safety policy & objectives	Organisation safety policy, objectives and procedures
A6	Occupational Health & Safety	OSH policy, objectives and compliance procedures
A7	Management	Heritage Organisation specific
A8	Organisation structure & charts	Charts for whole organisation and position holders
A9	Position descriptions	Full set of PDs with competencies and responsibilities
A10	Hazard & risk management	Org. policy on risk management. NRSS/4
A11	Interoperability arrangements	NRSS/6&7 Policy statement etc.
A12	KPI's & reporting arrangements	Suite of KPI's and reporting requirements
A13	Audit process	Org. policy on internal & external audits. NRSS/4
A14	Communication between operators	Ops, Eng, etc Joint Operating Plans, HITC
A15	Fitness of rail personnel	Recruitment policy and medical testing regime
A16	Consultation with rail personnel	Consultation statement and process for staff & service orgs
A17	Safety Reviews	Change management and regular reviews
A18	Occurrence management	Org. policy on occurrence management. NRSS/10
A19	Certifications	Current status of staff, vehicles, equipment buildings etc
A20	Document & data control	Policy & method of org. document and data control.
A21	Meeting & committee structure	Register of all meetings, frequency & attendees
A22	Distribution list for documents	Full list of all documents & distribution list
A23	Rail Service License	Copy of current Rail Service License
A24	Common Access Terms	Copy of current CAT document
A25	Access Agreement	Copy of current access agreement with ONTRACK
A26	Insurance policy	Copy of applicable insurance policy for mainline operations
A27	FRONZ status	FRONZ letter stating status of FRONZ membership
A28	Contracts and agreements	Heritage Organisation specific
A29	Administration	Heritage Organisation specific
A30	Marketing	Heritage Organisation specific
A31	Sales	Heritage Organisation specific
A32	Finance	Heritage Organisation specific
A33	Commercial	Heritage Organisation specific
A34	Reserved for Heritage Organisation	Heritage Organisation specific
A35	Reserved for Heritage Organisation	Heritage Organisation specific
A36	Reserved for Heritage Organisation	Heritage Organisation specific
A37	Reserved for Heritage Organisation	Heritage Organisation specific
A38	Reserved for Heritage Organisation	Heritage Organisation specific
A39	Reserved for Heritage Organisation	Heritage Organisation specific
A40	Reserved for Heritage Organisation	Heritage Organisation specific
A41	Reserved for Heritage Organisation	Heritage Organisation specific
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Appendix C. Heritage Technical Committee (HTC) Terms of Reference

<p>Purpose</p>	<ol style="list-style-type: none"> 1. The Heritage Technical Committee (HTC) provides the Heritage Participants with a body to review and approve national standards, significant engineering changes, documents and staff and rail vehicle certifications. It will also provide a forum for discussion of national technical issues to apply best rail practice for all matters relating to the management of Heritage Vehicles certified or intended to be certified to operate on the National Railway System. 2. It will act to raise standards, spread technical knowledge and expertise, and give technical guidance to Heritage Participants. FRONZ will lead the Committee and ONTRACK will support it by providing: <ul style="list-style-type: none"> • appropriate membership from within ONTRACK; • secretarial support; and • access to ONTRACK technical expertise. 3. ONTRACK as Access Provider and Network Controller reserves the right not to accept the Committee's decisions or recommendations.
<p>Scope</p>	<ol style="list-style-type: none"> 1. Provide technical advice to industry membership. 2. Review, advise and endorse, subject to certification by a Chartered Professional Engineer, proposed significant engineering changes to Heritage Vehicles or other rail vehicles to be used by Heritage Participants. 3. Manage rail vehicle certification requirements. 4. Maintain a list of "up and coming new entry vehicles" that Heritage Vehicle Providers advise they intend to put through the the process to get on ONTRACK register. 5. Establish a pre-registration process for up and coming new entry heritage vehicles to the NRS. 6. Establish a staff certification system for specific rolling stock maintenance tasks, e.g. brake testing, wheel inspection and readings, inter-car connection inspections, drawgear coupling inspections. 7. Review all applications for Rail Licences or significant technical variations to an existing Rail Licence by Heritage Participants to ensure the relevant guidelines are being applied. 8. Provide a system of registering Heritage Vehicle maintenance documentation as part of FRONZ Heritage Vehicle standards. 9. Review and advise on the content of the safety & management system template 10. Initiate special risk assessments as occurrence trends, outputs from audit reports or significant changes in operating patterns become a concern. 11. Monitor peer review development 12. Interface with Toll NZ on technical matters 13. Parties to be consulted on issues affecting their organisations include; <ul style="list-style-type: none"> • RMTU (for employee relevant issues affecting their members) • FRONZ members who operate on the main line • Category A members (as defined in NRSS/2) for any liaison required with the Joint Technical Committee for Engineering Interoperability.

Membership	<p>The chairperson should always be a FRONZ appointee to ensure that the organisation is led by the national Heritage Participants' body.</p> <p>Membership will be for 12 months made up of representatives as follows:</p>		
	Position	Preferred Background	Appointed By
	Chair	Experienced FRONZ member with engineering experience	FRONZ
	Secretary	ONTRACK staff	ONTRACK
	Member	TGR	TGR
	Member	ONTRACK professional engineer	ONTRACK
	Member x 2	Independent rail industry professional engineer	ONTRACK/ FRONZ
Meeting frequency.	<p>The committee will meet as required to meet the requirements for Heritage Participants obtaining Rail Licences for operation of their Heritage Vehicles on the National Rail System. The ongoing frequency of meetings should be no more than quarterly unless specific urgent business dictates otherwise.</p>		
Funding	<p>In general costs will lie where they fall however specific funding sources for obtaining specific external technical, legal or other advice or services will be established by the committee as required.</p>		
Review of Processes	<ul style="list-style-type: none"> • Review by HTC after considering submissions from parties involved in the consultative process including LTNZ as Regulator. • Where consensus is unable to be reached final decision rests with ONTRACK. • Submitters will be provided with a response and any reasons for non-acceptance. 		
Records	<p>Full minutes of all meetings shall -;</p> <ul style="list-style-type: none"> • be kept by the permanent Secretariat • be retained for a minimum of seven (7) years • include the outcome of any separate submissions made. • include any non-acceptance of decisions by a voting member • include the outcome of any specific submission made. <p>All correspondence relating to submissions, consultation and promulgated changes will be maintained as required by ONTRACK document control procedures.</p>		
Venues	<p>Provided by ONTRACK or set by mutual agreement.</p>		
Note	<p>The HTC has been established at the time of the introduction of the Railways Act 2005 and the directive by ONTRACK's shareholding ministers to assist Heritage Participants to move from operating under the Toll NZ Rail Licence and to assist them to move to self-sufficiency for the management and operation of heritage trains and vehicles.</p>		

Appendix D. Heritage Operations Committee (HOC) Terms of Reference

<p>Purpose</p>	<ol style="list-style-type: none"> 1. The Heritage Operations Committee (HOC) provides main line Heritage Operators with technical leadership, direction and professional technical guidance for matters relating to the management of train operations on the National Rail System. 2. It will act to raise standards, spread technical knowledge and expertise, and give technical guidance to Heritage Operators. FRONZ will lead the Committee and ONTRACK will support it by providing: <ul style="list-style-type: none"> • appropriate membership from within ONTRACK; • secretarial support; and • access to ONTRACK technical expertise. 3. ONTRACK as Access Provider and Network Controller reserves the right not to accept the Committee's decisions or recommendations.
<p>Scope</p>	<ol style="list-style-type: none"> 1. Provide rail operating advice to Heritage Operators operating on the National Rail System 2. Develop, review and endorse for ONTRACK's approval operating procedures that provide best rail practice and ensure compliance with NRSS/7, Rail Operations Interoperability, including: <ul style="list-style-type: none"> • Processes to enable Heritage Operators to obtain Rail Safety Licences for passenger management and safety systems for heritage operations on the NRS. • Processes to enable Heritage Operators equipment to operate under the Rail Licences of other Operators. • Manage the on-going development of the Heritage Operating Manual 3. Co-ordinate training requirements and priorities across all Heritage Operators. 4. Initiate special risk assessments as occurrence trends, outputs from audit reports or significant changes in operating patterns become a concern. 5. Parties to be consulted on issues affecting their organisations include; <ul style="list-style-type: none"> • RMTU (for employee relevant issues affecting their members) • FRONZ members who operate on the main line • Category A members (as defined in NRSS/2) for any liaison required with the Joint Technical Committee for Rail Operating Rules and Procedures.

Membership	Membership will be for 12 months made up of representatives as follows:		
	Position	Preferred Background	Appointed By
	Chair	Experienced heritage operator	FRONZ
	Secretary	ONTRACK staff	ONTRACK
	Member	Network operations, codes and standards	ONTRACK
	Member	Experienced TGR operator	TGR
	Member	Independent with network operations experience	FRONZ/ ONTRACK
Meeting frequency	The committee will meet as required. Meetings should be no more than quarterly unless specific urgent business dictates otherwise.		
Funding	In general costs will lie where they fall however specific funding sources for obtaining specific external technical, legal or other advice or services will be established by the committee as required.		
Review of Processes	<ul style="list-style-type: none"> Review by HOC after considering submissions from parties involved in the consultative process including LTNZ as Regulator. Where consensus is unable to be reached final decision rests with ONTRACK. Submitters will be provided with a response and any reasons for non-acceptance. 		
Authorisation of Documents	Chief Operating Officer, ONTRACK, following endorsement by HOC.		
Promulgation of Documents	In accordance with ONTRACK document control procedures		
Records	<p>Full minutes of all meetings shall;</p> <ul style="list-style-type: none"> be kept by the permanent Secretariat be retained for a minimum of seven (7) years include the outcome of any separate submissions made. include any non-acceptance of decisions by a voting member include the outcome of any specific submission made. <p>All correspondence relating to submissions, consultation and promulgated changes will be maintained as required by ONTRACK document control procedures.</p>		
Venues	Provided by ONTRACK or set by mutual agreement.		