National Rail System Standard / 8

GUIDELINES FOR DOCUMENT CONTROL

Issue Number	Prepared (P), Reviewed (R), Amended (A)	Approved by	Date of Approval
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TWO	(A) AEC Neilson (R) NRSS Executive 28/2/2007 (R) Land Transport NZ 4/5/07	D H George (Chief Executive, ONTRACK)	11 June 2007
THREE	(A) G Dilks (R) NRSS Executive	J Quinn Chief Executive KiwiRail	November 2011
FOUR	(A) B Gillett (R) NRSS Executive	J Quinn Chief Executive KiwiRail	16 August 2013
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Approved by NZTA for adoption by all licence holders on the National Rail System on

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Change History

Issue number	*Date of Issue*	*Section*	*Changes made*
4.1	*27th Mar, 2017*		*Document has been updated to cater more effectively for modern electronic systems. Changes are:*
		2.1	*Add that name of document approver may be electronic or printed*
		2.5	*Add a different colour for changed text*
		2.6	*Delete instruction re flow chart symbols*
		3.2	*Remove requirement that a hard copy record of changes be maintained, add statement that documents are uncontrolled when printed in document footer, and must be managed under a strict document control system*
		3.6	*Add that SIN's should be incorporated in the appropriate management system as soon as possible.*
		4.2	*Add that cancelled or superseded documents be clearly marked or identified.*
		5.0	*Update meaning of "Key Records"*

PREFACE

National Rail System (NRS) Standard

The objective of this NRS Standard is to provide a generic framework for document control. It is applicable for all activities associated with operations of the National Rail System and is designed to meet the requirements set out in the relevant legislation and the NZ Transport Agency guidelines.

It should be read in conjunction with other applicable NRS Standards and relevant Safety System documentation.

It is generic and specific to users of the National Rail System. The terminology chosen to apply to the National Rail System has been used in this NRS Standard.

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 KiwiRail. The Document Controller for all NRS Standards is KiwiRail.

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

CONTENTS

1   INTRODUCTION

1.1   Scope

This National Rail System Standard sets out the base requirements for controlled documentation

Four key principles apply. These are:

- Preparation
- Publishing
- Notification
- Record Keeping

This Standard provides guidance on establishing controls to ensure the processes supporting these elements are fit for purpose.

1.2   Application

Controlled documentation means documents that form a component of the safety case or supporting systems identified in the Rail Safety System or an Organisation's Quality / Management System.

2   PREPARATION

Required elements are:

2.1   Title *P*age *(where deemed appropriate)*

MUST include:

- Title of document
- Reference
- Effective Date *(or Issue Number)*
- *Name of current Document Approver (electronic or printed)*

Where appropriate, they should also include:

- Document status; whether Amendment (A), Review (R), or Prepared (P)*, or similar*
- Document Approver's full printed name and designation.
- References to copyright and distribution

2.2   Contents / Issues Sheet *(if appropriate)*

MUST include:

- ALL section(s) and/or pages (by number or reference)
- Effective Date (or Issue Number)

2.3   Pages

MUST include:

- Title, or reference, of document
- Effective Date of Issue, or Issue Number
- Page number and number of pages (e.g. Page 5 of 6)
  (Alternatively where necessary, the number of pages can be stated on the contents/issues page so users are able to cross-check whether they have a complete document).

2.4   Font

The preferred font is Arial.

2.5   Changes

Changes must be identified. *Suggested* methods are:

- a vertical line in the margin, or
- highlighting the text in some way, e.g. by bold, underlined italics viz. ***<u>changed</u>***
- *using a different colour for changed text (e.g. red)*

3   PUBLICATION

3.1   Electronic Documentation - Links

Links are an effective mechanism to avoid duplication of information and should be used where possible.

3.2   Copies

A record of all changes must be maintained. *Evidence must be retained showing when the document was approved, published and notified.*
Where relevant, a statement that documents are uncontrolled when printed should be placed in the document footer.
Where controlled copies of documents are issued, they should be managed under a strict document control system.

3.3   Approvals

Controlled documentation must be approved by a competent authority.

3.4   Reviews

Controlled documentation should be reviewed by regular technical committees or by the issuing authority at an interval sufficient to ensure currency.

3.5   Bulletins

Bulletins are used for *communicating* immediate change to the Rail Operating Rules, Codes and Procedures. Control of Bulletins is described in the Rail Operating Code.

3.6   Significant Information Notices (SIN's)

SIN's are an effective mechanism for *communicating* immediate changes to documents not covered by the Bulletin method.

Instructions must be followed by each issuing authority.
SIN's *must*:

- *b*e issued by sequential number, e.g. 068, 069, 070 etc...
- identify the issuing authority
- not be **re-issued** *(under normal circumstances). The changes and/or* instructions should be incorporated into *the appropriate management system* as soon as possible*.*
- be kept / filed*, if directed.*
- *provide details of all active SINs (either in the SIN footer, or as a separate SIE – SINs in Effect notice.*
  (Details listed only need be applicable to the issuing authority)

For hard copy distribution, SIN's shall preferably be:
- produced on BLUE paper for internal distribution, and
- on letterhead or equivalent paper when distribution includes external organisations.

Where electronic distribution is used,
- the document controller must ensure that document users are provided with access to electronic media.

A general proforma is illustrated below;

SIGNIFICANT INFORMATION NOTICE

KiwiRail - 070

Maximum Allowable ....

Introduction :
This instruction modifies Code XWZ…..

Background :
The safe working of ....

Text can cover any topic e.g.
* about failures,
* potential failures,
* technical or safety
  information.
The SIN may background the problem, and include action and/or implementation hints. As appropriate diagrams should be included.

(Nameof authorised person)
(Designation)
(e-mail address), (contact phone number)

The following SIN's are in force as at the effective date of this SIN :
 038; 041 to 060 incl., and 063 to 069 incl.

4   NOTIFICATION

4.1   Document Controllers

Document Controller */ Owner*s must:

- ensure documentation is reviewed, re-issued or withdrawn prior to review date (where applicable).

- approv*e* the document and/or changes (which may include agreements and sign-offs by associated parties), or arrang*e* the necessary authorising signature.

- ensure a suitable process has been established for users to check the currency of controlled documentation in use. An "In Effect" *notice* available for reference by users will meet the requirements of this standard.

4.2   Document Users

Document Users must:

- ensure controlled documentation in use is the current issue.

- immediately remove *cancelled or superseded* documentation from use when notified. (This includes electronic notification advised on "In Effect" summaries).

- clearly *mark or* identify *with "Historical Reference Only",* any *cancelled or superseded documents you wish to retain.*

5   KEY RECORDS

"Key *R*ecords" *refers to recorded information created, received and maintained in pursuance of our legal obligations and requirements under the* Rail Safety System. *Examples of these records include, but are not limited too,* investigation reports, official correspondence with *external* parties, train control graphs, inspection and safety certificates.

Master copies of key records must be:

- stored to minimise loss/deterioration and possibility of theft
- indexed for easy retrieval
- have a stipulated minimum time period for retention
- where defined as a "secure" document have a stated method of disposal.

Official original signed paper copies of *records* must be held on file, or in secure designated storage.

Electronic copies of documents stored on servers or individual computers, must be backed up periodically and held off site in secure data storage.

6   EXTERNAL DOCUMENTS

The organization must identify external documents used by their Rail Safety System and establish controls to ensure effective implementation, currency and withdrawal, when no longer in use.