



## Access Provider Interoperability Standard - 11

# Heritage Vehicle and Train Management

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Two	(A) David Webb, Webb Partners NZ Limited, (R) Andrew Hunt	David Gordon (Acting Chief Executive) KiwiRail	19/07/2022	

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# Document Control

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**Introduction** This section covers document control and information needed to use this Standard.

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**Document owner** This Standard is owned by KiwiRail as Access Provider and provides the minimum requirements for Heritage Vehicle Operators and Heritage Vehicle Providers operating on the NRS.

It is also endorsed by:

- The Federation of Rail Organisations of New Zealand (FRONZ) as the minimum requirements for FRONZ members operating on the NRS.
- Waka Kotahi, New Zealand Transport Agency (Rail Regulator) as required for inclusion in the Safety Cases of Heritage Vehicle Operators and Heritage Vehicle Providers.

Approvals and endorsements are listed in Appendix 4.

The Access Provider leads the reviews.

Changes are notified by either sei-permanent bulletin or special instruction booklet, which remain in effect until either cancelled or incorporated into this Standard.

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**Distribution** This Standard is available on the Access Provider's website.

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**Method of showing amendments** All additions and alterations are shown using track changes mode (italic text with vertical bar in the left margin).  
Issue 2 amendments are not highlighted.

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**Change request process** Any suggested alterations or additions to this Standard should be referred to the KiwiRail Document Controller [rulesandstandards@kiwirail.co.nz](mailto:rulesandstandards@kiwirail.co.nz) covering the following:

- Instruction name
  - Page number
  - Suggested alterations
  - Reason for change
- 

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## Document Control, Continued

**Withdrawn,  
closed and  
superseded**

Title	Replaced by
NRSS 11 – Heritage Vehicle and Train Management (Issue 1, Effective Date 11-06-2007)	This Standard




**Associated  
documents**

Title
Heritage Operating Manual
Heritage Operators Access Agreement 2018 (or as amended or replaced)
<p>Access Provider Interoperability Standards (APIS) suite.</p> <ul style="list-style-type: none"> <li>• The NRSS suite was in the process of being phased out at the time of publication of APIS-11 Issue 2.</li> <li>• For a superseded NRS Standard refer to the replacement document.</li> </ul>

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## Document Control, continued

### Notes, caution, and warnings

Icon	Definition
	Note(s) to point out something of special importance.
	Caution or warning – drawing special attention to any important reminder or a safety message.
	Green block – a reference to correct process, simple explanation, or measurements.

### Change history

The table below identifies the changes made in each issue.

Issue and date	Section name	Change made
	All	V1 original (NRSS/11)
Two	All	<ul style="list-style-type: none"> <li>• Replaced 'ONTRACK' with 'the Access Provider'.</li> <li>• Corrected typos and spelling mistakes.</li> <li>• Adjusted sub numbering convention to follow one style.</li> <li>• Updated to reflect 2022 operating environment.</li> <li>• Added section 2.4, "Governance and Management".</li> <li>• Clarified items that had caused confusion.</li> <li>• Updates to HOC and HTC Terms of Reference.</li> </ul> <p>Issue 2 was drafted by the Access Provider and consulted with FRONZ, its network operators, and other affected parties.</p>



# Terms and Definitions

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## Abbreviations and meanings

<b>Abbreviations</b>	<b>Meaning</b>
APIS	Access Provider Interoperability Standard
FRONZ	Federation of Rail Organisations of New Zealand
HOC	Heritage Operations Committee
HTC	Heritage Technical Committee
NRS	National Rail System
NRSS	National Rail System Standard
ROC	Rail Operating Code (blue book)
RORP	Rail Operating Rules and Procedures (red book)
SFAIRP	So Far As Is Reasonably Practicable
Rail Regulator	Waka Kotahi, New Zealand Transport Agency

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## Terms and Definitions, Continued

### Terms and definitions

These terms are defined in the source document and repeated here for convenience.

The source document remains the authority and should be checked for any changes. For definitions of other capitalised terms check NRSS/1 or relevant legislation.

Term	Definition	Source
Heritage Operator	<p>An operator with access rights granted in accordance with the Common Access Terms to the NRS pursuant to a Heritage Access Agreement operating trains which incorporate Heritage Vehicles.</p> <p>A Heritage Operator which is also a Heritage Vehicle Provider must comply with all obligations of both roles.</p> <p>Each of the Heritage Operators named as parties to the agreement.</p>	<p>National Rail System Standard 1 Definitions</p> <p>Heritage Operators Access Agreement 2018</p>
Heritage Train	<p>A train operated principally for the enjoyment of the journey or the equipment used and hauled by a locomotive that is a Heritage Vehicle, or consists principally of Heritage Vehicles, and that does not run to a regular scheduled timetable.</p>	<p>Heritage Operators Access Agreement 2018</p>
Heritage Vehicle Provider	<p>A provider of Heritage Vehicles used on the NRS by a Heritage Operator or other Operator.</p> <p>A Heritage Operator which is also a Heritage Vehicle Provider must comply with all obligations of both roles.</p>	<p>National Rail System Standard 1 Definitions</p>

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## Terms and Definitions, Continued

Terms and definitions, continued

Term	Definition	Source
Heritage Vehicle	<p>Is defined for the purposes of this Standard as being:</p> <ol style="list-style-type: none"> <li data-bbox="603 443 1257 779">1. Any former KiwiRail (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 provided for use on the NRS by a Heritage Vehicle Provider and which is either:               <ol style="list-style-type: none"> <li data-bbox="683 801 1257 1182">1.1. substantially in the same configuration it was when operating in KiwiRail or predecessor service with the exception of the changes required to comply with this Standard and NRSS/6 Engineering Interoperability Standards or any law or regulation; or</li> <li data-bbox="683 1193 1257 1653">1.2. has been modified after being disposed of by KiwiRail or predecessor, but which has, subsequent to that modification, been approved by the Heritage Technical Committee and the Access Provider using the process for vehicle certification described in NRSS/6 Engineering Interoperability Standards and also in this Standard, or</li> </ol> </li> <li data-bbox="603 1664 1257 1832">2. Any vehicle proposed to be operated under the Special Case arrangements described in <a href="#">clause 3.8 of this Standard</a>, or</li> <li data-bbox="603 1843 1257 1921">3. Any other vehicle approved by the Access Provider.</li> </ol>	Heritage Operators Access Agreement 2018

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## Terms and Definitions, Continued

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Terms and definitions, continued

Term	Definition	Source
Rail Participant	Rail Participant means any of the following: <ul style="list-style-type: none"><li>• an infrastructure owner</li><li>• a rail vehicle owner</li><li>• a railway premises owner</li><li>• an access provider</li><li>• a rail operator</li><li>• a network controller</li><li>• a maintenance provider</li><li>• a railway premises manager</li><li>• any other class of person prescribed as a rail participant by regulations</li></ul>	Railways Act 2005

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# 1. Purpose

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## 1.1 Who should read this document?

Heritage Vehicle Providers, Heritage Operators 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 Waka Kotahi New Zealand Transport Agency [website](#).

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

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

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## 1.2 What does it cover?

It sets out the management framework and arrangements for the:

- Registration;
  - and
  - Operation,
- of Heritage Vehicles on the NRS.
- 

## 1.3 Document format

This Standard is made up of sections.

Each section follows a basic structure of providing relevant information in a logical manner. The basic structure is:

- an introduction to tell you what is in the section.
- an overview of the subject matter, including background information where applicable.
- the procedures to be carried out.

### **Document information:**

- Document name and version number is on the bottom left side of each page.
  - Page number is on the bottom right-hand side of each page.
- 

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# 1. Purpose, Continued

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## 1.4 History

Prior to the introduction of this Standard in 2007 there were no national standards for Heritage Vehicles.

This Standard sets out to advance the ongoing development of a set of appropriate codes and standards for Heritage Vehicle maintenance, modification, registration and operation.

In 2005 ONTRACK (the Access Provider at that time) 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. See Appendix Three.

Self-sufficiency is taken to be achieved when a Heritage Operator is able to operate or provide Heritage Vehicles under its own rail licence drawing resources from other Operators, Heritage Vehicle Providers, Heritage Operators and able to interact with the Access Provider to:

- Be a Heritage Vehicle Operator;
- and/or
- Be a Heritage Vehicle Provider to another Operator.

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# 1. Purpose, Continued

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## 1.5 Meeting and maintaining network operating status

For Heritage Vehicle Providers and Heritage Operators to register and operate Heritage Vehicles on the NRS and maintain the currency and competency necessary to maintain that status they must draw on each other's 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 Vehicle Providers and Heritage Vehicle Operators collaborate to share experience and knowledge, set standards for heritage operations and develop proficiency.

The standing and behaviour of any individual Heritage Vehicle Provider or Heritage Operator potentially affects the standing of all as a group in the sight of statutory bodies, customers, other industry bodies, and the wider community.

A national body of Heritage Vehicle Providers and Heritage Operators plays a vital role in facilitating collaboration between these organisations and setting and moderating the standards expected of them.

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## 1.6 Preamble – basis for heritage operations

Heritage Vehicles were built to a range of standards that may not meet contemporary vehicle or interoperability standards and are accepted onto the NRS on the basis of their traditional use, own value and appreciation of the value New Zealand's rail heritage. It is acknowledged that it is not practical to completely remove the risks inherent in operating these rail vehicles on the NRS compared to those of rail vehicles built to contemporary standards. Even if mitigations nominally provided the same levels of risk as contemporary operations, the per event risk of death or serious injury is higher for a Heritage Vehicle.

The safety risks of operating Heritage Vehicles are mitigated principally on the basis of:

- Restored and maintained vehicle condition.
  - Assessment of the risks associated with each Heritage Vehicle and its operation in a train, and the mitigation of those risks So Far As Is Reasonably Practicable by the operational practices of the Heritage Operator or Heritage Vehicle Provider, including the train management practices of the Heritage Operating Manual.
  - Any Access Provider operating restrictions.
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# 1. Purpose, Continued

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## 1.7 Scope

This Standard sets out the management framework and arrangements for the registration and operation of Heritage Vehicles on the NRS. It also sets out KiwiRail's expectations and requirements as Access Provider and Network Controller of current and potential heritage organisations intending to act as Heritage Vehicle Provider and/or Heritage Operators on the NRS.

This Standard applies to:

- a Heritage Operator operating a Heritage Vehicle.
- a Heritage Vehicle Provider providing a Heritage Vehicle.

This Standard alone does not provide all the requirements for Heritage Vehicles. Each Operator and each Heritage Vehicle Provider and/or Heritage Operator is also required to comply with:

- all relevant provisions of all other NRS or API Standards;
- all applicable Acts and Regulations;
- the Safety Case and all other requirements of its rail licence; and
- the Rail Operating Rules and Procedures,

and in the case of Heritage Operators:

- the Heritage Operator's Access Agreement, including the "Common Access Terms"; and
- the Heritage Operating Manual.

Heritage organisations have been party to the preparation and review of this Standard and the Heritage Technical Committee (HTC) and the Heritage Operations Committee (HOC) described in it have endorsed the terms of reference for their respective committees.

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## 2. Access Management

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### 2.1 Introduction

This section details prerequisites for Heritage Vehicle Providers and Heritage Operators wishing to access the NRS as an authorised:

- Heritage Operator;
- or
- Heritage Vehicle Provider providing Heritage Vehicles for operation on the NRS by Heritage Operators or other Operators.

A summary of requirements is shown in the table below.

Requirement	Clause	Heritage Vehicle Provider	Heritage Operator
FRONZ membership and endorsement	<a href="#">2.2</a>	Yes	Yes
Rail licence coverage	<a href="#">2.3</a>	Yes	Yes
Governance and Management	<a href="#">2.4</a>	Yes	Yes
Peer review	<a href="#">2.5</a>	Yes	Yes
Audit	<a href="#">2.6</a>	Yes	Yes
Access Agreement signatory	<a href="#">2.8</a>	Yes	Yes
Heritage Operations Committee endorsement	<a href="#">2.9</a>	-	Yes
Heritage Technical Committee endorsement	<a href="#">3.1</a>	Yes	-
Annual inspection completed and current	<a href="#">3.2</a>	Yes	-
Certification completed and current	<a href="#">3.3</a>	Yes	-
Documentation provided to Access Provider	<a href="#">3.6</a>	Yes	-

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## 2. Access Management, Continued

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### 2.2 FRONZ membership and endorsement

Heritage Vehicle Providers and Heritage Operators must have and maintain full membership of FRONZ.

FRONZ endorsement is required in support of any application by a Heritage Vehicle Provider and/or Heritage Operator as follows:

- By the Heritage Technical Committee (HTC) for any proposal for registration of a Heritage Vehicle [section 3.1 Heritage Technical Committee endorsement](#).
- By the Heritage Operations Committee (HOC) for any proposal requiring their endorsement for a Heritage Operator to operate on the NRS [section 2.8 Heritage Operators Access Agreement](#).

Initial and ongoing endorsement by FRONZ will involve regular peer review of the Heritage Vehicle Provider's and/or Heritage Operator's activities. The HTC and HOC will specify a set of safety criteria which Heritage Vehicle Providers and Heritage Operators need to meet for initial and ongoing FRONZ endorsement for their particular activities.

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### 2.3 Rail licence

A Heritage Vehicle Provider or Heritage Operator must have 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 Heritage Vehicles on the NRS or specified parts of it, and must provide evidence of this to the Access Provider on request.

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### 2.4 Governance and management introduction

This section details the minimum governance and management requirements for Heritage Vehicle Providers and Heritage Operators wishing to provide or operate Heritage Vehicles on the NRS.

The organisation structure of each Heritage Vehicle Provider and Heritage Operator must include a governance body (board, committee, trust or similar) compatible with its constitutional structure.



The governing body is responsible for high-level oversight and planning in order to set and achieve the organisation's goals, whereas management runs the day-to-day operations.

Governance determines 'what' is required and management determines 'how' it will be delivered.

The governance body must fulfil at least the requirements of the following sub-sections.

See the Waka Kotahi website [Governance page](#) for more information.

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## 2. Access Management, Continued

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### 2.4.1 Risk management

- Approve a risk policy and determine acceptable risk levels for the organisation. Ensure risk management is aligned with organisational objectives, strategy and culture.
  - Ensure that risk is managed in accordance with [ISO 31000 2018 - Risk Management](#).
  - Ensure that the risk assessment process is working effectively. Set thresholds at which risks must be escalated for approval. Ensure that mitigations are integrated into organisation procedures and practices.
  - Ensure that the risk management framework remains appropriate for the organisation and that mitigations continue to be appropriate and effective.
  - Ensure that all obligations and voluntary commitments are met.
- 

### 2.4.2 Management structure

- Define and implement the management structure.
- Assign and delegate authority and responsibilities covering at least portfolios for: general management, engineering, operations, training and safety.



The arrangement of responsibilities will vary with organisation size, attributes, and scope of activities. Rail licence requirements may also cover these items.

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### 2.4.3 People

- Ensure that systems are in place to identify and document safety-critical activities and that competent individuals are accredited to undertake those activities.
  - Ensure that processes are in place for the accreditation of contractors and service providers delivering safety-critical services (example specialist welding).
  - Ensure that staff operating on the NRS hold current qualifications.
  - Approve any nominations for independent inspectors.
  - Approve the appointment of certifying engineers.
- 

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## 2. Access Management, Continued

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### 2.4.4 Change management

- Ensure that a robust change management system is in place including limits of authority and escalation thresholds.



#### Example

Decision levels may vary between whether to repair or replace components as against a decision on changing component materials.

- The management of engineering change proposals with respect to registration and certification and change management is described in [4.5 Change Management \(engineering change procedure\)](#).
- 

### 2.4.4 Change management compliance

- Receive regular scheduled assurance and compliance reports from position holders and conduct reviews to satisfy itself that at least the requirements of this [section 2.4 Governance and Management](#) are being met. The Heritage Technical Committee and Heritage Operations Committee shall prepare and maintain templates of the nature and frequency of reports to be received and considered by the governance body.
- Review audit reports, notices and requirements from statutory bodies, certifying engineers, FRONZ and technical committees and ensure that appropriate actions are taken in response.
- Ensure that systems are in place to report undesirable outcomes and provide corrective actions.



#### Examples

Non-compliances, incidents, injuries, occupational illnesses, near misses, and equipment and operational failures.

- Ensure that all Heritage Vehicle Provider and Heritage Operator activities in support of NRS operations are conducted in accordance with its approved Safety Case and this Standard.
  - Approve applications for a first Safety Case and subsequent temporary and permanent variations.
  - Approve any activity outside the Heritage Vehicle Provider or Heritage Operator Safety Case or core competencies.
  - Approve all compliance and other reports sent to government agencies, including rail and other safety regulators.
  - Approve any departure from the organisation's use of FRONZ codes or those required by its Safety Case.
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## 2. Access Management, Continued

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### 2.4.4 Change management compliance, continued

- Ensure that the scope of the Heritage Vehicle Provider and, Heritage Operator activities are consistent with the availability of resources to undertake them.
  - Approve vehicle pre-registration plans and registration applications.
  - Ensure compliance with relevant legislation such as the management of hazardous materials, including asbestos.
- 

### 2.4.6 Documents and Record Keeping

- Maintain records of all governance group meetings including decisions made.
  - Review and hold copies of CV's or a file note that outlines the relevant skills and experience of those appointed to designated positions of responsibility or accredited for identified safety-critical activities.
  - Maintain records of qualifications and accreditations of personnel operating on the NRS.
  - Ensure that processes are in place for the documentation of restoration, repair, modification, inspection and maintenance activities sufficient to provide evidence of condition, work undertaken, and work outstanding or deferred safety critical work.
  - Ensure that a safety and management document system is maintained in accordance with the template in this Standard [section 6.1 Safety and Management manual template](#) or as approved in the Heritage Vehicle Provider or Heritage Operator Safety Case.
- 

### 2.4.7 Maintenance regime

- Ensure that maintenance regimes are put in place that are appropriate to the condition, operation, and storage of Heritage Vehicles and any other equipment.
  - Ensure that processes are in place to approve materials, services, and suppliers.
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## 2. Access Management, Continued

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### 2.5 Peer review

To facilitate the transfer of knowledge of industry best practice amongst Heritage Vehicle Providers and Heritage Operators, these organisations 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 agreement of the individual Rail Participant 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 a Heritage Vehicle Provider and/or Heritage Operator authorised to access these reports. FRONZ will also make them available to the Access Provider.

The peer review system should extend to having other Heritage Vehicle Providers and/or Heritage Operators present and may extend to them actually assisting in carrying out specific vehicle inspections, system audits or other reviews. Heritage Vehicle Providers and/or Heritage Operators will not be identified in any published peer review material if they so request.

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## 2. Access Management, Continued

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### 2.6 Audit

Prior to the first occasion on which a Heritage Vehicle Provider or Heritage Operator 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 the Access Provider, that the organisation must undergo a vertical slice audit of their management and safety system and procedures by the Access Provider. This is in addition to the requirements for new entry vehicles.

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### 2.7 Preparation for registration

Heritage Vehicle Providers intending to register a vehicle for operation on the NRS sometime in the future must submit to the Heritage Technical Committee (HTC) a plan setting out how the Heritage Vehicle will be prepared for future HTC endorsement [section 3.1 Heritage Technical Committee endorsement](#).

The plan must be in accordance with any criteria set by the HTC from time to time. In this way the HTC can provide guidance on vehicle design, construction, operation and maintenance in a timely manner before the vehicle registration is sought from the Access Provider.

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### 2.8 Heritage Operators Access Agreement

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



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.

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### 2.9 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 Access Provider.

A copy of the letter of endorsement from the Heritage Operations Committee must be provided to Access Provider with the application to commence train operations on the NRS.

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### 3. Heritage Vehicle Provider: Registration of vehicles by the Access Provider

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**Introduction**      The Access Provider 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 the Access Provider 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;
- already registered Heritage Vehicles that have been modified;
- or Heritage Vehicles for which registration has been suspended or cancelled.

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**3.1  
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 the Access Provider.

A copy of the letter of endorsement from the Heritage Technical Committee must be provided to the Access Provider with the application for registration.

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## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

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### 3.2 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 of passing the previous inspection as set out in [3.4 Inspection and Certification periods](#).

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 Heritage Technical Committee must approve the inspector. A copy of the inspection certificate endorsed with any conditions imposed must be provided to the Access Provider with the application for registration and on each subsequent inspection.

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### 3.3 Certification

This section details certification requirements for heritage vehicles.

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#### 3.3.1 Clarification

Certification is limited to:

1. The like-for-like restoration of a Heritage Vehicle in its original form.
2. The suitability of any modifications made to it.
3. The adequacy of the mitigations in the risk assessment for the occasional use of the Heritage Vehicle.
4. The proposed scope of use as a Heritage Vehicle.

Certification is not against contemporary standards that would apply to new-entrant vehicles.

It is the responsibility of the Heritage Vehicle Operator to use the Heritage Vehicle in a manner that mitigates the identified risks SFAIRP.

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## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

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### 3.3.2 When does a vehicle need certification?

Each Heritage Vehicle must be certified as fit to run on the NRS in all respects, taking account of this Standard 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 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 the Access Provider.
- After any incident which any aspect of the Heritage 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.

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## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

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### 3.3.3 Items to cover

Certification shall consider at least the following:

- Compliance with NRSS/6 Engineering Interoperability Standards.
- 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 Heritage Vehicle Provider, Heritage Operator'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 [Section 6 Templates](#) for an example of recommended practice.
- The ability of the Heritage Vehicle Provider, Heritage Operator 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 the Rail Regulator.

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*Continued on next page*

## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

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### 3.3.4 Certifier qualifications

The certifier must be:

- Unanimously endorsed by the Heritage Technical Committee to be a suitably experienced and qualified person, and
- an appropriately qualified professional engineer, preferably a Chartered Professional Engineer (CPEng).

The certification must follow or be accompanied by an inspection under [section 3.2 Annual inspection](#).

A copy of the certification endorsed with any conditions imposed must be provided to the Access Provider with the application for registration and on each subsequent certification.

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*Continued on next page*

## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

### 3.4 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 the table below unless a separate certification is required under clause [3.3.2 When does a vehicle need a certification?](#) 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 sections [3.3 Certification](#) and [3.5 Suspension and Cancellation of Registration](#) at the time of re-certification, and the certification and annual inspection anniversary dates changed accordingly.

Period	Elapsed Time <sup>1</sup>	Inspection	Certification	Tolerance <sup>2</sup>
0	Initial Inspection/ and 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)

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

<sup>1</sup> is the time since the initial inspection and certification, or recertification (and associated independent inspection) following engineering change, overhaul or incident as per [3.3.2 When does a vehicle need a certification?](#)

<sup>2</sup> specifies the time band from the anniversary date in which inspections and certifications must be carried out to ensure continued currency.

*Continued on next page*

## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

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### 3.5 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 [3.2 Annual inspection](#) and [3.4 Inspection and certification periods](#).

A Heritage Vehicle that 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 [3.3.2 When does a vehicle need a certification?](#)

A Heritage Vehicle for which certification has expired will have its registration cancelled and therefore authority to operate on the NRS withdrawn. Reinstatement will follow the procedure for new entry vehicles except as specifically exempted by the Heritage Technical Committee and the Access Provider.



If a registered Heritage Vehicle, whether current or suspended is modified and the modification is not managed in accordance with section [4.4 Modification](#) the Heritage Vehicle's registration is no longer valid and authority to operate on the NRS will be withdrawn.

Anything that affects the registration of a vehicle must be advised to the Access Provider in writing by the Heritage Vehicle Provider.



**Example**  
Withdrawn endorsement or management decision to lapse registration.

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*Continued on next page*

## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

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### 3.6 Documents to be provided to the Access Provider

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 Rail Regulator 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.
- Clearance diagram for the Heritage Vehicle showing cross-sections and dimensions.
- 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.
- Risk assessment.
- Proposed operating regime including any associated risk mitigation provisions (e.g. speed, marshalling position, public access, etc.) considering crash worthiness and any other safety related features.

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*Continued on next page*

## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

### 3.7 Special risk assessments

The Access Provider may 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 the Access Provider to FRONZ through the Heritage Technical Committee and Heritage Operations Committee. The Heritage Technical Committee and Heritage Operations Committee will be invited to provide input to any special risk assessments.

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 Access Agreements.

### 3.8 Special Cases

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 the Access Provider, for limited operation for such occasions as centenaries, celebrations, commemorations and any such special occasion that the Access Provider and the Operators involved agree as being covered by this 'special case' category.
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 Committee and Heritage Operations Committee or the Access Provider.
3.	For guidance, it is envisaged that any individual Heritage Vehicle which gains 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.

*Continued on next page*



## Heritage Vehicle Provider: Registration of vehicles by the Access Provider, Continued

### 3.8 Special Cases, continued

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4.	It is acknowledged that it is not practical to completely remove the risks inherent in operating Heritage Vehicles on the NRS and thus operating restrictions will be put in place for these Heritage Vehicles to reduce the risk so far as is reasonably practicable whilst acknowledging the benefits to New Zealand's rail heritage of such special heritage events.
5.	For information, any Operator involved will likely require a variation to its Rail Safety Case approved by the Rail Regulator to permit the operation of such Heritage Vehicles on the NRS.
6.	Dead haulage between one locality and another will be by agreement between the Access Provider and the Operator providing haulage under its Rail Safety System. The Operator or Heritage Vehicle Provider will take responsibility for ensuring that the Heritage Vehicle can be handled safely under any special conditions applicable.

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## 4. Mechanical

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**Introduction** This section covers the mechanical considerations for this Standard. NRSS/6 Engineering Interoperability Standards, provides key requirements relating to Heritage Vehicles.

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**4.1 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 the 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 the Access Provider audit and should be key items for peer review.

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**4.2 Codes and standards** In the absence of sound alternatives contained in a Heritage Vehicle Provider's Safety System (approved as part of the rail licence issued by the Rail Regulator) 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.

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**4.3 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 licence.

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## 4. Mechanical, Continued

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### 4.4 Modification

Any proposed modification to any Heritage Vehicle that affects its structure, operation, function or risk profile 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 [4.5 Change Management \(engineering change procedure\)](#).

Use of equivalent materials or replacement of parts no longer available are subject to [4.5 Change Management \(engineering change procedure\)](#). Modifications that change the function of a Heritage Vehicle or introduce new features must be assessed against Access Provider interoperability requirements or contemporary standards. Such modifications include, but are in no way limited to, electrical work, heating and ventilation, mounting or retention of additional equipment, the fire safety and crashworthiness of added or reconfigured features, lighting or changes to leading vehicle exterior colour schemes.

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 the Access Provider.

If the Heritage Vehicle to be modified is already registered, (or registration has been suspended –see clause [3.5 Suspension and cancellation of registration](#)) the proposal must be submitted to and endorsed by the relevant Heritage Technical and/or Operations Committee and submitted to the Access Provider before the modification is carried out.

The registration of a Heritage Vehicle that has been modified without due process will be cancelled and therefore authority to operate on the NRS will be withdrawn.

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## 4. Mechanical, Continued

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### 4.5 Change Management (engineering change procedure)



This change management procedure applies to all modifications or changes to a Heritage Vehicle.

1.	This is a critical area and the one most likely to cause Heritage Vehicle Providers the most liability.
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.	Any change must be part of the Heritage Vehicle Provider's 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.
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.
5.	The management of engineering change proposals with respect to registration and certification is described in section <a href="#">4.4 Modification</a> .

### 4.6 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.

### 4.7 Inspection and 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.

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*Continued on next page*

## 4. Mechanical, Continued

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### 4.8 Operating history records

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

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### 4.9 Restoration records

Restoration tasks must be documented and the records be available for the appropriate period of time after restoration and, at a minimum, must be held for at least seven years after the Heritage Vehicle is registered.

Restoration records should include the likes of logbooks, photographs, drawings, material certificates, certificates for external services and other documents providing evidence of restoration activities and compliance with the restoration plan.

These records must include the name of the competent/designated person supervising and approving the restoration of each safety-critical item.

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## 5. Rail Operations

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**Introduction** This section covers the operational considerations for this Standard. The Access Provider standard for Rail Operations Interoperability provides key requirements relating to the operation of Heritage Vehicles.

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**5.1 Heritage Operating Manual** The Heritage Operating Manual provides rail operating procedures applicable to trains containing Heritage Vehicles not otherwise covered in NRSS/7 Rail Operations Interoperability (or successor). A Heritage Operator who is managing the operation of such trains on the NRS where access to the NRS is covered by the Heritage Operators Access Agreement, must comply with the Heritage Operating Manual, unless alternative arrangements are agreed to by the Access Provider.

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**5.2 Risk management** All proposed train trips involving Heritage Vehicles must be subject to a risk screening process in accordance with contemporary risk screening processes. This exercise should be jointly conducted by all parties involved.

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*Continued on next page*

## 5. Rail Operations, Continued

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### 5.3 Rail personnel

1	<p>Where one Operator provides rail personnel to another Operator, the Operator providing the personnel remains responsible for ensuring that:</p> <p>1.1 The personnel supplied:</p> <ul style="list-style-type: none"><li>• hold all required technical qualifications for the service to be performed (including the correct certification for the Rail Vehicle type), and</li><li>• 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</li><li>• have current medical fitness certificates that remain valid during the period of service supply.</li></ul> <p>1.2 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.</p>
2	<p>Where one Operator engages contracted rail personnel from another Operator, the engaging Operator remains responsible for ensuring that:</p> <ul style="list-style-type: none"><li>• the physical operation of the service/s are conducted in accordance with its approved Rail Safety Case; and</li><li>• the rail personnel are in a fit and proper state to commence duty, with all hours of work and rest requirements complied with, and</li><li>• those rail personnel are appropriately managed and instructed whilst operating under the Rail Licence of the party operating the rail service; and</li><li>• 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</li><li>• 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</li><li>• 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.</li></ul>

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## 5. Rail Operations, Continued

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### 5.4

#### Operating demarcations

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.
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 Rail Participants provide the staff or vehicles, they shall also comply with the provisions of this Standard in their own right.
3	By agreement, Heritage Vehicle Providers supplying Heritage Vehicles for use by another Operator may provide an owner's representative to provide designated technical and operational support.
4	A Heritage Operator who hires Rail Vehicles and/or rail personnel in accordance with clauses 1. and 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.
5	The Access Provider's Bulletin will specify the Operator taking overall rail safety system responsibility together (with any special arrangements applicable), regardless of whether other parties provide vehicles or rail personnel. The train will then be deemed to be operating under the Rail Licence of the Operator taking overall responsibility

#### Example of interaction between Operators:

Operator A arranges and operates a train using its carriages and Guard, a locomotive provided by Heritage Vehicle Provider B, and driven by locomotive engineers from Operator C. 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).

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## 6 Document template lists

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### Introduction

The attached:

- Safety and Management Manual template; and
- list of template documents,

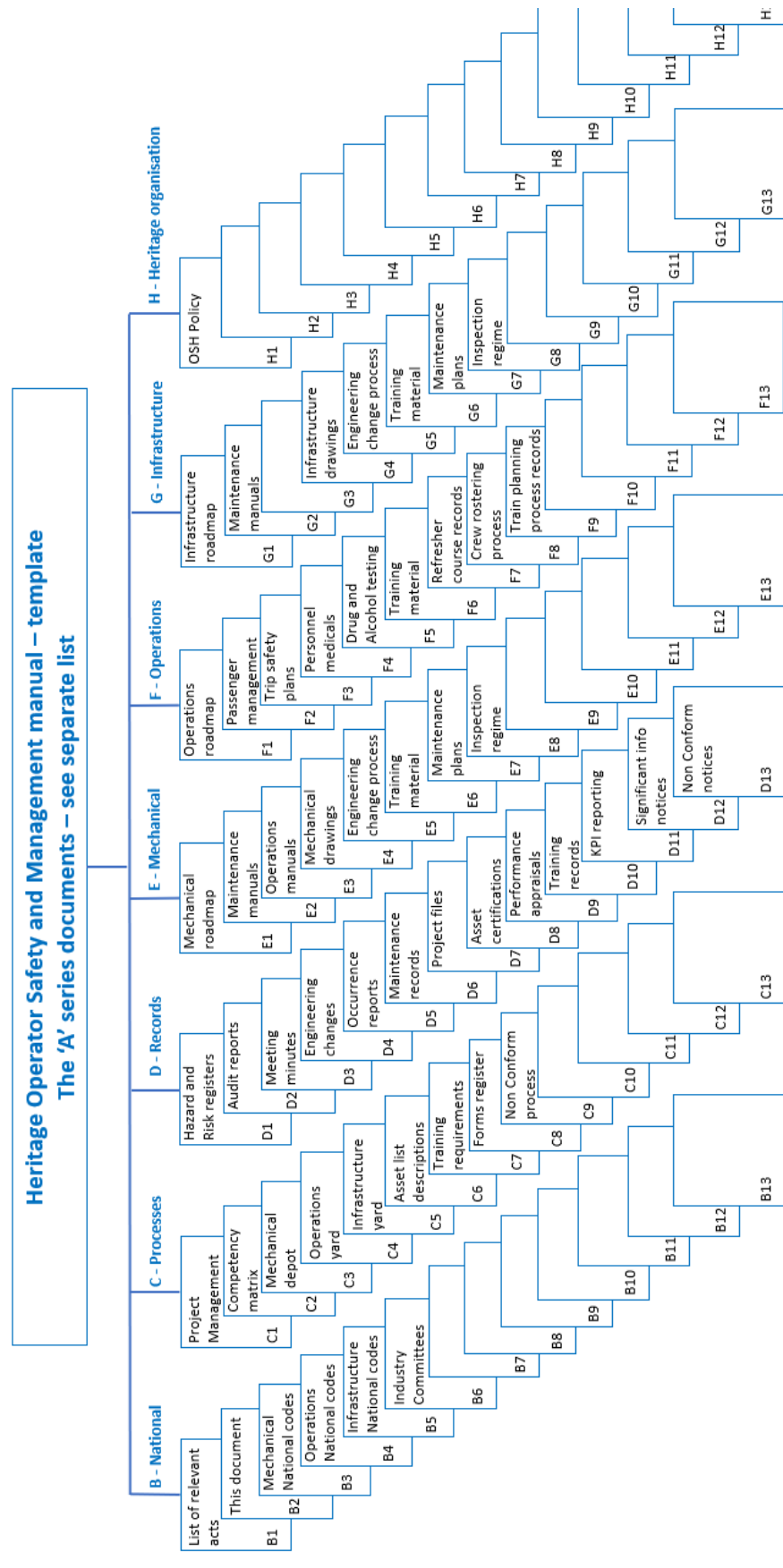
have been provided as guidance to assist Heritage Vehicle Providers and Heritage Operators develop their systems and to obtain a new, or variation to their current, rail licences for operation on the NRS.

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*Continued on next page*

# 6 Document template lists, Continued

## 6.1 Safety and Management manual template



Continued on next page

## 6 Document template lists, Continued

### 6.2 A - series documents

Document reference	Description	Comment
A1	Organisation; name; address etc.	Formal registered name of organisation and address.
A2	Scope of organisation	Statement scope of license and organisations activities.
A3	Roadmap of organisation documents	A roadmap showing the suite of documents in the system.
A4	Definitions and abbreviations	NRSS1 etc
A5	Safety policy and objectives	Organisation safety policy, objectives and procedures.
A6	Occupational Health and Safety	OSH policy, objectives and compliance procedures.
A7	Management	Heritage Organisation specific.
A8	Organisation structure and charts	Charts for the whole organisation and position holders.
A9	Position descriptions	Full set of PDs with competencies and responsibilities.
A10	Hazard and risk management	Organisational policy and risk management NRSS4.
A11	Interoperability arrangements	NRSS 6 and 7 policy statement etc.
A12	KPIs and reporting arrangements	Suite of KPIs and reporting requirements.
A13	Audit process	Organisational policy on internal and external audits. NRSS4
A14	Communication between operators	Operations, Engineering etc Join Operating plans, HTC
A15	Fitness of rail personnel	Recruitment policy and medical testing regime.
A16	Consultation with rail personnel	Consultation statement and process for staff and service organisations.
A17	Safety reviews	Change management and regular reviews.
A18	Occurrence management	Organisation policy on occurrence management. NRSS10
A19	Certifications	Current status of staff, vehicles, equipment buildings etc.

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## 6 Document template lists, Continued

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### 6.2

#### A - series documents, continued

Document reference	Description	Comment
A20	Documents and data control	Policy and method of organisations document and data control.
A21	Meeting and committee structure	Register of meetings, frequency and attendees.
A22	Distribution list for documents	Full list of all documents and distribution list.
A23	Rail licence	Copy of current license.
A24	Common Access Terms	Copy of current CAT document.
A25	Access Agreement	Copy of current access agreement with Access Provider.
A26	Insurance policy	Copy of applicable insurance policy for mainline operations.
A27	FRONZ status	FRONZ letter stating FRONZ membership
A28	Contract 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 onwards	Reserved for Heritage Organisation	Heritage Organisation specific.

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## 6 Document template lists, Continued

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### 6.3

#### B - series documents

Document reference	Description	Comment
B1	List of relevant acts	
B2	Heritage Vehicle and Train Management (this document)	
B3	Mechanical National codes	
B4	Operations National codes	
B5	Infrastructure National codes	
B6	Industry Committees	
B7 onwards	Reserved for Heritage Organisation	

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### 6.4

#### C - series documents

Document reference	Description	Comment
C1	Project management	
C2	Competency Matrix	
C3	Mechanical depot	
C4	Operations yard	
C5	Infrastructure yard	
C6	Asset list descriptions	
C7	Training requirements	
C8	Forms register	
C9	Non Conform process	
C10 onwards	Reserved for Heritage Organisation	

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## 6 Document template lists, Continued

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### 6.5 D - series documents

Document reference	Description	Comment
D1	Hazard and Risk registers	
D2	Audit reports	
D3	Meeting minutes	
D4	Engineering changes	
D5	Occurrence reports	
D6	Maintenance records	
D7	Project files	
D8	Asset certifications	
D9	Performance appraisals	
D10	Training records	
D11	KPI reporting	
D12	Significant info notices	
D13	Non Conform notices	
D14 onwards	Reserved for Heritage Organisation	

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## 6 Document template lists, Continued

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### 6.6 E - series documents

Document reference	Description	Comment
E1	Mechanical roadmap	
E2	Maintenance manuals	
E3	Operations manuals	
E4	Mechanical drawings	
E5	Engineering change process	
E6	Training material	
E7	Maintenance plans	
E8	Inspection regime	
E9 Onwards	Reserved for Heritage Organisation	

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### 6.6 F - series documents

Document reference	Description	Comment
F1	Operations roadmap	
F2	Passenger management	
F3	Trip safety plans	
F4	Personnel medicals	
F5	Drug and Alcohol testing	
F6	Training material	
F7	Refresher course records	
F8	Crew rostering process	
F9	Train planning process records	
F10 Onwards	Reserved for Heritage Organisation	

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## 6 Document template lists, Continued

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### 6.7

#### G - series documents

Document reference	Description	Comment
G1	Infrastructure roadmap	
G2	Maintenance manuals	
G3		
G4	Infrastructure drawings	
G5	Engineering change process	
G6	Training material	
G7	Maintenance plans	
G8	Inspection regime	
G9 Onwards	Reserved for Heritage Organisation	

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### 6.8

#### H - series documents

Document reference	Description	Comment
H1	OSH policy	
H2 onwards	Reserved for Heritage Organisation	

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## 7 Industry committees' background

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- Introduction** This section explains how the industry committees operate including:
- Terms of reference
  - Scope
  - Purpose
- 

### 7.1 Committees

Two joint technical committees were established by the Access Provider and FRONZ in 2006.

They 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 the Access Provider will fund the secretarial support. Existing and intending Heritage Vehicle Provider and/or Heritage Operators 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 [One](#) and [Two](#) 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.

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## Appendix One: Heritage Technical Committee (HTC)

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### Purpose

1. The Heritage Technical Committee (HTC) provides Heritage Vehicle Providers 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 NRS.
2. It will act to raise standards, spread technical knowledge and expertise, and give technical guidance to Heritage Vehicle Provider and Heritage Operators. FRONZ will lead the Heritage Technical Committee and the Access Provider will support it by providing:
  - appropriate membership from within the Access Provider:
  - fund secretarial support; and
  - access to the Access Provider technical expertise.

The Access Provider and Network Controller reserves the right to not accept the Heritage Technical Committee's decisions or recommendations.

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## Appendix One: Heritage Technical Committee (HTC), Continued

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### Scope

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 Operators.
3. Manage Heritage 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 process to get on the Access Provider register.
5. Administer the pre-registration process for up and coming new entry Heritage Vehicles to the NRS.
6. Maintain 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 Vehicle Provider and/or Heritage Operator 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 and management system template
10. Provide a baseline checklist of compliance items for scheduled reporting by office holders to their overseeing committee.
11. Initiate special risk assessments as occurrence trends, when outputs from audit reports recommend change or when significant changes in operating patterns become a concern.
12. Monitor peer review development
13. Interface with Access Provider on technical matters
14. Parties to be consulted on issues affecting their organisations include:
  - 14.1 RMTU (for employee relevant issues affecting their members).
  - 14.2 FRONZ members who operate on the NRS.
  - 14.3 Category A members (as defined in NRSS/2) for any liaison required with the Joint Technical Committee for Engineering Interoperability.

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## Appendix One: Heritage Technical Committee (HTC), Continued

**Membership** The chairperson should always be a FRONZ appointee to ensure that the organisation is led by the national body.  
Membership will be for 12 months made up of representatives as follows:

Position	Preferred Background	Appointed By
Chair	FRONZ member with engineering experience.	FRONZ
Professional Secretary	Meaning a person with knowledge of the NZ rail regulatory landscape, risk management, document control, and document authoring protocols.	FRONZ
Member	Dunedin Railways	FRONZ
Member	Access Provider professional engineer.	Access Provider
Member x 2	Independent rail industry professional engineer	FRONZ
Member x 4	FRONZ members – not as group representatives but ‘best of sector’: <ul style="list-style-type: none"> <li>Practical knowledge, currency, appreciation of network operations, and unique environment.</li> <li>Network operator (but with options for others if unique skills are on offer)</li> </ul>	FRONZ
Succession planning seats x6	To provide capacity building and succession planning; possible participation in HTC subset/working: <ol style="list-style-type: none"> <li>Participating at discretion of the Chair.</li> <li>Non-voting.</li> <li>General skill set with potential to attain FRONZ membership.</li> <li>KiwiRail / Dunedin Rail understudies.</li> </ol>	Nominated by Heritage access agreement signatories and endorsed by FRONZ.

### Process of confirming membership

Annual confirmation / endorsement of all members by appointing endorsing group.

	<p>Certified Engineers:</p> <ul style="list-style-type: none"> <li>Separate arrangements, must attend annual professional forum</li> <li>Informed by endorsement reports</li> </ul>
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## Appendix One: Heritage Technical Committee (HTC), Continued

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### Meeting frequency

The HTC will meet as required to meet the requirements for Heritage Vehicle Provider and/or Heritage Operators obtaining Rail Licences for operation of their Heritage Vehicles on the NRS.  
The ongoing frequency of meetings should be no more than quarterly unless specific urgent business dictates otherwise.

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### Quorum - meeting

The HTC meet four times in a calendar year, either a:

- a face to face meeting;  
or
- video conference.

A minimum of:

1. 7 voting members.
    - 1.1 A minimum of two Engineers present for valid robust discussion and technical decision making.
  2. HTC committee members may substitute others to represent them prior to the meeting with written permission of the Chair.
    - 2.1. Substitutes need to have similar skills and experience as the committee member in the Chair's opinion.
- 

### Video or tele conference between scheduled meetings

1. Used for subsequent discussion following on from a meeting where time or data was not available to a decision to occur.
  2. Cannot be used for vehicle certifications.
  3. Short and sharp – one topic only.
  4. Quorum numbers apply.
- 

### Decision making

Consensus (100%) of committee members.

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## Appendix One: Heritage Technical Committee (HTC), Continued

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### Vehicle approval

1. Documents loaded in fleet management software.
  2. Committee meet at a scheduled meeting and discuss registrations:
    - 2.1. Owners' representative included in meeting by phone for Q and A session.
      - 2.1.1 If owner's representative part of committee, then excluded for meeting while discussion decision making occurs.
    - 2.1 Committee write to owner confirming registration or clarifying items.
- 

### Engineer approval

1. Documents shared with committee about potential engineer.
  2. Committee meet at a scheduled meeting and discuss nominations.
  3. Secretary advises engineer of committee decision.
    - # Engineer familiarisation with heritage equipment workshop may occur before or after item #2
- 

### Change management decisions

1. Documents loaded in fleet management software or emailed to secretary if more than one vehicle involved.
  2. Group emails Secretary with details.
  3. Secretary contacts committee with details.
  4. Committee review items and reply to Secretary.
  5. Secretary advises group of committee decision.
- 

### 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.

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### Review of processes

- Review by HTC after considering submissions from parties involved in the consultative process including the Rail Regulator.
  - Where consensus is unable to be reached final decision rests with Access Provider.
  - Submitters will be provided with a response and any reasons for nonacceptance.
- 

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## Appendix One: Heritage Technical Committee (HTC), Continued

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### Records

Full minutes of all meetings shall:

- be retained by FRONZ 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.
- All correspondence relating to submissions, consultation and promulgated changes will be maintained as required by Access Provider document control procedures.

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### Venues

Provided by Access Provider or set by mutual agreement.

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## Appendix Two: Heritage Operations Committee (HOC)

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### Purpose

1. The Heritage Operations Committee (HOC) provides Heritage Operators with technical leadership, direction and professional technical guidance for matters relating to the management of train operations on the NRS.
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 the Access Provider will support it by providing:
  - appropriate membership from within Access Provider;
  - fund secretarial support; and
  - access to Access Provider technical expertise.
3. The Access Provider and Network Controller reserves the right to not accept the HOC's decisions or recommendations.
4. The HOC provide advice and guidance to the Access Provider on heritage operations.

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## Appendix Two: Heritage Operations Committee (HOC), Continued

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### Scope

1. Provide rail operating advice to Heritage Operators operating on the National Rail System.
2. Develop, review and endorse for the Access Providers approval operating procedures that provide best rail practice and ensure compliance with NRSS/7 Rail Operations Interoperability, including:
  - 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. Initiate special risk assessments as occurrence trends, when outputs from audit reports recommend change or when significant changes in operating patterns become a concern.
4. Parties to be consulted on issues affecting their organisations include:
  - RMTU (for employee relevant issues affecting their members)
  - FRONZ members who operate on the main line
  - Category A members (as defined in NRSS/2) Other rail operators for any liaison required with the Joint Technical Committee for Rail Operating Rules and Procedures.

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## Appendix Two: Heritage Operations Committee (HOC), Continued

**Membership** Membership will be for 12 months made up of representatives as follows:

Position	Preferred Background	Appointed By
Chair	Experienced heritage operator on the NRS appointed by FRONZ executive.	FRONZ
Secretary	Meaning a person with knowledge of the NZ rail regulatory landscape, risk management, document control, and document control protocols.	FRONZ
Member	Network operations, codes and standards.	Access Provider.
Member	Person performing the FRONZ Trainer role.	FRONZ
Member x 2	From a group that is a signatory to the Heritage Access Agreement.	FRONZ
Member x 1	KiwiRail understudy.	Access Provider
Succession planning seats x 3	To provide capacity building and succession planning; possible participation in HOC subset / working: <ol style="list-style-type: none"> <li>1. Participating at discretion of the Chair.</li> <li>2. Non-voting.</li> <li>3. Holds or has held mainline heritage train operating qualification (Train Inspection or Guards LTO).</li> </ol> Attend meetings at no cost to FRONZ.	Nominated by Heritage access agreement signatories and endorsed by FRONZ.

**Quorum - meeting**

- Four voting members.
- HOC committee members may substitute others to represent them prior to the meeting with written permission of the chair.
- Substitutes need to have similar skills and experience as the committee member in the Chair's opinion.

**Process of confirming membership**

Annual confirmation / endorsement of all members by appointing endorsing group.

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## Appendix Two: Heritage Operations Committee (HOC), Continued

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**Decision making** Consensus (100%) of committee members.  
If unable to gain 100% the minutes will fully reflect the non-agreement and the reason why.

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**Meeting frequency** Meetings will be quarterly:

- Three online.
- One face to face.

Aim to have a combined HOC - HTC meeting on a 24 month cycle to share knowledge and experience.

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**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.

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**Review of processes**

- Review by HOC after considering submissions from parties involved in the consultative process including Rail Regulator.
- Where consensus is unable to be reached final decision rests with Access Provider.
- Submitters will be provided with a response and any reasons for non-acceptance.

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**Authorisation of documents** Chief Operating Officer, Access Provider, following endorsement by the HOC.

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**Promulgation of documents** In accordance with Access Provider document control procedures.

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## Appendix Two: Heritage Operations Committee (HOC), Continued

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### Records

Full minutes of all meetings shall:

- be retained by FRONZ 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.

All correspondence relating to submissions, consultation and promulgated changes will be maintained as required by Access Provider document control procedures.

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### Venues / online meeting technology

Provided by Access Provider or set by mutual agreement.

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## Appendix Three – Mandate from government letter

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2 June 2005  
letter

See [section 1.4 History](#).

02-JUN-05 04:49PM FROM-HON DR MICHAEL CULLEN

+64-4-4858442

T-628 P. 02/03 F-722



### Office of Hon Dr Michael Cullen

**Deputy Prime Minister**

Minister of Finance

Minister of Revenue

Attorney-General

Leader of the House of Representatives

- 2 JUN 2005

Cameron Moore  
Chair  
ONTRACK  
PO Box 593  
Wellington

Dear Cam,

#### Heritage Operations on the Rail Network

I refer you to the recent advice from Toll NZ dated 15 March 2005, that they will cease permitting the operation of Heritage and 3<sup>rd</sup> party charter trains under their rail operating licence and that they have subsequently decided not to accept any bookings beyond 30<sup>th</sup> Sept 2005.

Ministers have decided that the continued operation of Heritage trains (as defined in ONTRACK's various track access agreements) is important to the community and greater rail industry in New Zealand. Given Toll NZ's advice, we believe that the appropriate mechanism to achieve this is for Heritage trains to operate under the ONTRACK Rail Service Licence from 1<sup>st</sup> October 2005. ONTRACK should work closely with the Ministry of Transport and Land Transport NZ to ensure that bookings for operations are disrupted for as little time as possible.

While the Crown is happy with this arrangement, it still believes that operators should be encouraged to obtain their own licences covering all or part of their operations on the rail network from Land Transport NZ as soon as possible.

I would expect that ONTRACK would assist in this process by working with relevant parties, including unions, to provide appropriate standards, facilitating training and assisting with documentation.

As this is a change to the Letter of Expectations between Ministers' and the Board of New Zealand Railways Corporation, you will need to provide us with any impacts that this change may have on the operations of ONTRACK.

Yours sincerely

Hon Dr Michael Cullen  
Minister of Finance

Hon Paul Swain  
Minister for State Owned Enterprises

## Appendix Four - Organisation endorsements

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### Table of organizations

The Access Provider holds evidence of approval on file from the following organisations that endorse this Standard as the minimum requirements for Heritage Vehicle Operators and Heritage Vehicle Providers operating on the NRS.

Organisation	Date	Sent by
FRONZ	2 April 2022	Grant Craig, President FRONZ.
KiwiRail (as Access Provider)	19 July 2022	David Gordon, Acting Chief Executive
Waka Kotahi / NZTA	2 May 2022	Rachel Forrester, Manager Rail Licensing, Safer Rail Team.

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