

Alberta Railway Audit Program

Self Audit Program Guideline for Alberta Railways

Self-Audit Program Introduction

To ensure ongoing safe railway operations and compliance with the railway regulations, all railways are required to conduct self-audits on an annual basis and the submission of an external audit with their application for an operating approval renewal every three years. Note: This applies to category 1 and 2 railways only; category 3 railways may submit an internal self-audit in place of the external audit.

Overview

The purpose of a self audit program is to provide a railway with a systematic way to measure compliance to the Alberta railway legislation.

It was recognized that the size and complexity of railways in Alberta varied considerably, therefore, to facilitate the audit program 3 categories have been developed. The first step a company should take is to determine what category is applicable to their operation. The three categories are:



Category 1

- Self switches railway cars with an locomotive or rail car mover
- Industrial, Public and Heritage railways
- Self audit every year then requires an external audit in the 3rd year and submission with operating approval renewal application

Category 2

- Does not self switch cars by an locomotive or rail car mover
- Any site that transload Dangerous Goods regardless of car count
- Self-audit every year then requires an external audit in the 3rd year and submission with operating approval renewal application
- Transload 100 or more cars per year

Category 3

- Does not self-switch cars with an engine
- Trans loads 99 cars or less per year
- Does not transload Dangerous Goods
- Self audits every year, submits 3rd year self audit with operating approval renewal application

In each category there are similar modules such as training and track inspections. However, dependent of the type of operation, other specific modules have been created to audit specific aspects that are unique to a particular railway operation. i.e. locomotives, automated crossing, dangerous goods sites etc.

Submission Timelines / Criteria

New Railways

- New railways must submit a self-audit and have received acceptance from the Railway Administrator of the audit within 6 months from the start of operations prior to receiving a permanent authority to operate.

First Internal Self Audit

- All railways with a current railway operating approval issued by Alberta Transportation **must submit a self audit by June 30, 2013**
- The audit will not be accepted without an auditor training certificate

Note: Only the first internal audit will require submission to Alberta Transportation via audit modules as email attachments. Subsequent internal audits will not require submission with the exception of; on the request of a Rail Safety Officer the audit must be made available within a reasonable time.

Subsequent Self Audits

- All railways are required to conduct annual self audits of their railway operation using the Alberta Transportation Audit templates. The annual audit should be conducted on or before the anniversary date noted on the operating approval.
 - EXAMPLE: On the operating approval there is a renewal date shown in month, day and year. The internal audit should be conducted on or before the date and month in the current year. As an example the company's operating approval renewal date is August 15, 2015 and the current year is 2013; annual company audits are due on or before August 15 of the current year.
- Internal audits are to be retained on file with the company and only external audits are to be submitted to Alberta Transportation. Category 3 railways are required to submit internal audits with the operating approval certificate renewals.
- The audit will not be valid without the auditor training certificate

IMPORTANT

- The auditor must review the last audit findings and planned corrective actions. Should the review find the corrective actions were not implemented; it is then considered to be a finding and must be documented on the current audit.

Peer / External Audits

Railways must submit an external audit as part of their operating approval renewal application. The external audit can be conducted by either a third party or by a peer

Peer Audit

When a company has more than one railway location in the province, the company can utilize a trained railway safety management system auditor from:

- Another location other than their own location or;
- A designated person within the company that conducts other types of audits on behalf of the company and from a location other than being audited.

External Audit

When the audit is conducted by a third party the company must ensure:

- The auditor is a competent person as per the Industrial Railway Regulations definition of competency. This must include sufficient experience inspecting dangerous goods sites, track, locomotive, rail car mover and automated crossings as applicable to the location being audited. NOTE: A subject matter expert maybe brought in to assist the auditor when there is a lack of competency in an audit protocol.
- Have a training certificate issued by a training organization approved by Alberta Transportation for category 1 railways.

Audit Submission Requirements

The following audit documents must be submitted to Alberta Transportation with the railway operating certificate renewal application:

- Auditors training certificate issued by a training organization approved by Alberta Transportation
- A copy of the previous audit findings and corrective actions
- Statement of authenticity – current audit
- Applicable audit protocols for the railway category
- Locomotive COTS certificate for each locomotive when applicable
- Locomotive inspection records (one each) for the 45 day safety inspection, 92 and annual maintenance checks
- Track inspection for three alternating months i.e. Jan, Mar and May
- Training records for three randomly pulled records
- Railway general operating instruction (GOI) compliance checks for three alternating months i.e. Jan, Mar and May
- Medical certificates of fitness for all staff in safety critical positions
- A current copy of the Safety Management System plan

Note:

- **The audit will not be accepted without the noted documents**
- The Alberta Transportation Audit module templates must be used.
- Must be submitted to the Railway Administrator sixty days prior to the expiration of the railway operating approval.
- The external audit submission applies to category 1 and 2 railways only; category 3 railways may submit an internal self-audit in place of the external audit

Audit Report Documentation

All audits must be submitted using the Alberta Transportation audit modules. To facilitate acceptance, the external audit reports must be submitted electronically in a PDF format or MS Word to railsafety@gov.ab.ca with **your company name, site location in addition to the text “Railway Audit” in the subject line of the email. i.e. ABC Corp Ft. Saskatchewan Railway Audit**

Amendments by the Operator

Amendments on the audit modules may be made by the railway provided the amendment is relevant to the railway operation. Non railway instructions / procedures and excluding occupational health and safety requirements are not to be included with the audit. In addition, amendments must be in keeping with the intent of the railway self audit. If, in the opinion of the Railway Administrator, the amendments are not acceptable, the railway must make changes to ensure acceptability.

Audit Report Confidentiality

The personal information that you provide in the self audit forms is collected under the authority of Section 33(c) of the *Freedom of Information and Protection of Privacy Act (RSA 2000)*. The information will be used for the purpose of administering the Rail Safety Program. If you have any questions about the collection of this information, please contact the Rail Safety Officer, Dangerous Goods, Vehicle and Rail Safety Branch, Alberta Transportation at 780-427-7572 or toll free at 310-0000 and at the prompt dial 780-427-7572.

Audit Components

In order to ensure consistency and applicability three categories have been developed to suit different railway operations. Under each category is a list of required and other modules that maybe required for that category. The applicable modules must be selected for the particular operational elements and utilized when conducting internal and external railway audits.

Note: The audit modules are available for downloading from the noted website under the tab “Railway Audit Protocols” <http://www.transportation.alberta.ca/521.htm>

Category 1– Means a railway that:

- Self switches railway cars with a locomotive / rail car mover
- Industrial, Public and Heritage railways
- Self-audit every year then requires an external audit in the 3rd year and submission with operating approval renewal application

Required Modules

1. General
2. Training
3. Track
4. General Operation Instruction (GOI)
5. Corrective Actions
6. Statement of Authenticity
7. Engine either locomotive and or rail car mover
8. Medical
9. Passenger Handling – Required for Public and Heritage railways only

Other Modules – when applicable

Based operational elements that are present in the railway operation, the following maybe required to complete a full railway audit:

10. Automated Crossings
11. Non automated crossings
12. Dangerous Goods Transloading

Category 2 – Means a railway that:

- Does not self-switch cars by an locomotive or rail car mover
- Any site that transload Dangerous Goods regardless of car count
- Self-audit every year then requires an external audit in the 3rd year and submission with operating approval renewal application
- Transload 100 or more cars per year

Required Modules

1. General
2. Training
3. Track
4. General Operation Instruction (GOI)
5. Corrective Actions
6. Statement of Authenticity

Other Modules – when applicable

7. Automated Crossings
8. Non automated crossings
9. Dangerous Goods Transloading

Category 3 – Means a railway that:

- Does not self-switch cars with an engine
- Trans loads 99 cars or less per year
- Does not transload Dangerous Goods
- Self-audits every year, submits 3rd year self-audit with operating approval renewal

Required Modules

1. General
2. Training
3. Track
4. General Operation Instruction (GOI)
5. Corrective Actions
6. Statement of Authenticity

Other Modules – when applicable

7. Automated Crossings
8. Non automated crossings

Should you have any questions, please call Knut Ohm, Rail Safety Officer.

In Alberta 310-0000 then 780-427-7572 or email knut.ohm@gov.ab.ca