

Rail Safety

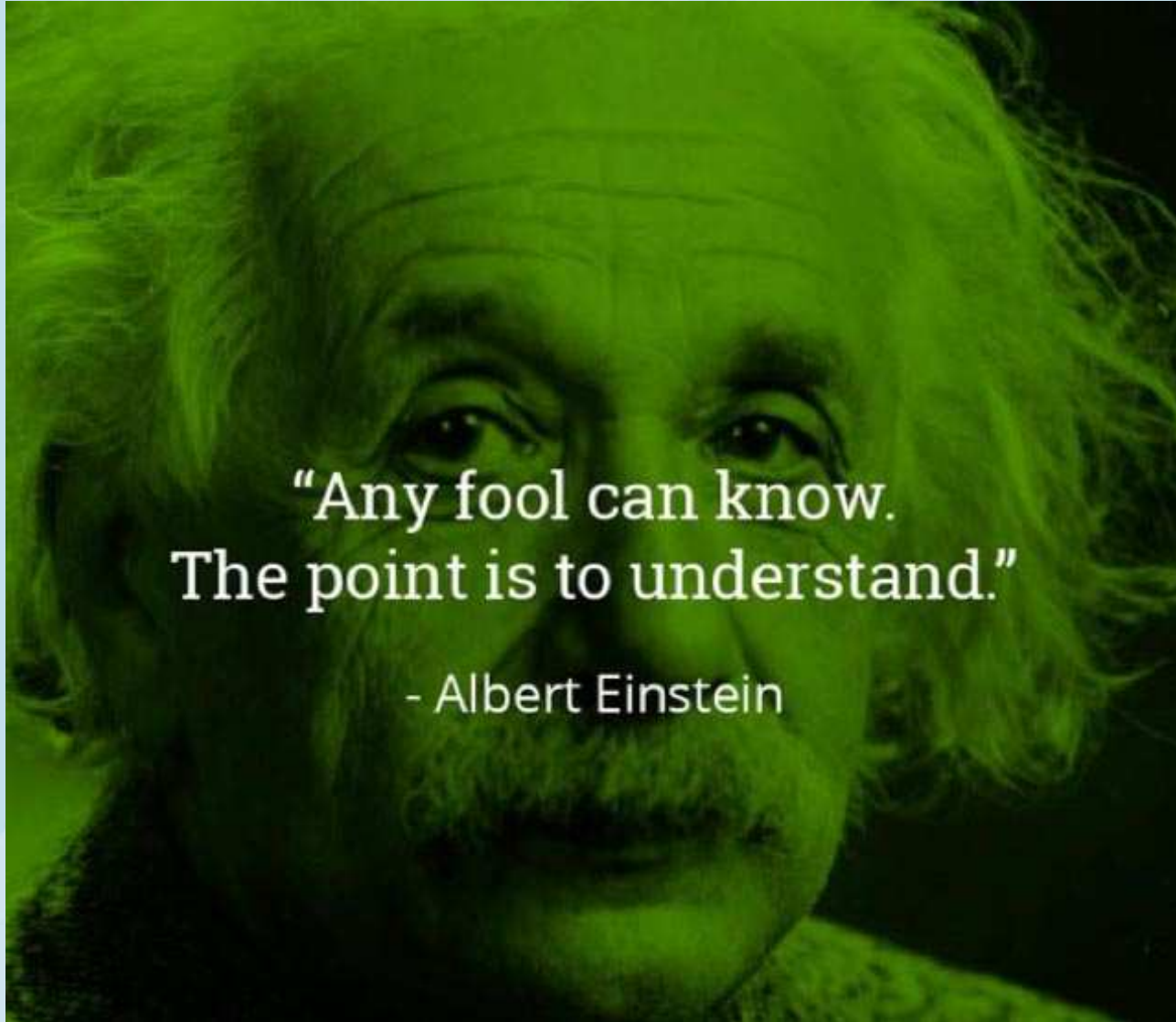
GETTING TRACTION IN AUDITING CONFERENCE

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Rail Safety Officer

Dangerous Goods, and Rail Safety





Rail Safety Oversight

- Work with stakeholders to enhance rail safety
- 2 Rail Safety Officers – conduct onsite audit reviews and verification of some audit observations
- Review all external audits submitted with operating approval renewals
- Review internal audits on-site
- Coach company auditors

History

- Canadian Provincial Perspective
- Contract Inspectors Conducted Site Inspections until 2012
- Future Rail Safety Oversight Strategic Decision – 2007
- Stakeholder Consultation 2008 to 2010 in the development of the following:
 1. Heritage & Industrial Railway Regulations Came Into Force Dec 2010
 2. Safety Management System (SMS) Submission by 01 April 2011
 3. Audits Requirement Came Into Force 30 June 2013
 4. Streetcar Guidelines – Into Force 2015 “after one year consultation”

Regulations/Guideline

- New Heritage - Derivative of Federal Regulations i.e.–
Track – Locomotive Insp – Training – Medicals etc
- New Industrial - Derivative of Federal Regulations i.e.–
Track – Locomotive Insp – Training – Medicals etc
- Public – Comply with Federal Regulations that were
adopted by the *Railway (Alberta) Act*
- New Streetcar – Derivative of the Heritage Regulations

Railway (Alberta) Act

Requires all railways & streetcar operations (Not CN & CP) under provincial jurisdiction to:

1. Obtain an operating approval
2. Provide proof of third party insurance (\$25 million)
3. Comply with Circulars (3)
 - Transfer of DG
 - Security management program
 - Long term storage of last contained DG
4. Submit copies of their SMS/GOI
5. Train staff
6. Conduct annual railway SMS audits – condition of approval, internal audits kept on file, external must be submitted with renewal application ever three years

Who Are The Auditors

- There are over 360 railways and 2 streetcar operations under provincial Jurisdiction
- These consist of Mom and Pop to Large corporations such as Keyera – Imperial Oil
- Each railway & streetcar ops is required to conduct annual SMS audits - 1st two years self audits and an external audit every 3rd year
- All company & external auditors must undergo auditor training by SAIT or the CHTR
- All external audit submission must contain auditors training certificate
- There are several recognized third party auditors

Alberta Program In Other Jurisdictions

- In the absence of a railway regulations in other jurisdiction some companies use the Alberta model – *Due Diligence*
- This includes railway operations in the US

Audit Protocols

- All audit protocols are downloadable from the Rail Safety Website

<http://www.transportation.alberta.ca/5106.htm>

- Due for review by stakeholders in 2018
- Currently there are 18 protocols – two more will be added 2018 – Bridge Management Program and Low Usage Locomotive

Audit Report Card

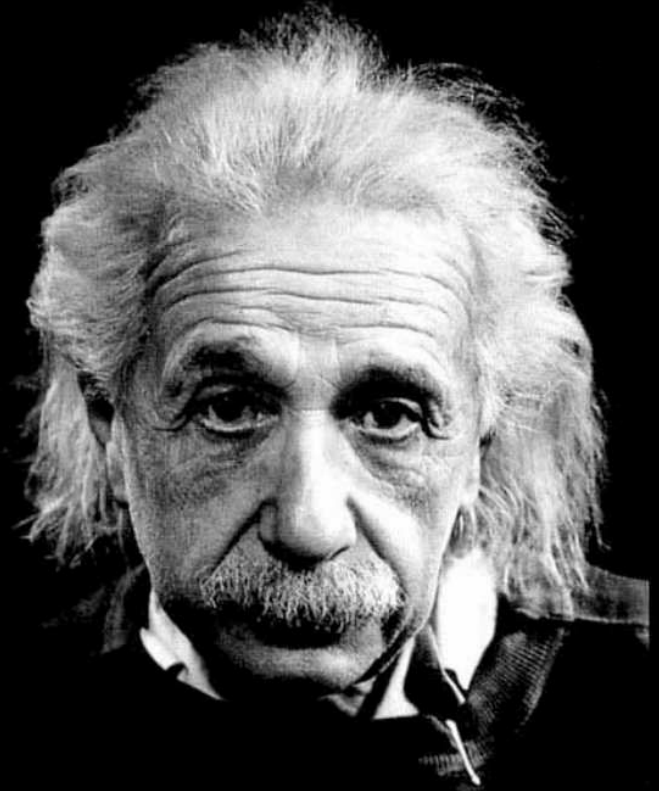
- Overall industry is engaged & conduct annual audits
- Railways not compliant with conducting annual audits – Warning letters – Administrative penalties
- Auditor observations improving
- Provides good learning for railway personnel, after conducting internal audits they had a better understanding of the regulatory requirements & internal rail instructions
- Some coaching required – writing observations

Future

- Current protocol format is MS Word
- Current format will remain on Rail Safety Web
- iPad Audit being developed/tested by a third party
- iPad protocols same as MS Word however:
 - Photo capture
 - Lat and Long capture
 - Reference to regulation or plain language explanation for most protocol questions
 - Stakeholders have been involved with development/testing
 - Plug and Play menu
 - Auto populate findings
 - Transmissible via MS Word or PDF
 - Can run on Most tablets

“Everything should be made
as simple as possible,
but not simpler.”

Albert Einstein



Rail Safety Website

<http://www.transportation.alberta.ca/521.htm>

Questions?

