

Ordinary rail safety assessment report KiwiRail Ltd

Rail licence holder : KiwiRail Ltd (KRL)

Rail licence number : ORA 05-01-01

Address : Level 3, 8 - 14, Stanley Street, Auckland 1010

Assessment type : Ordinary rail safety assessment


Assessment scope : Operation of a Rail Safety Management System

Assessment standard : Railways Act 2005


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Signature : 

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• 31 October 2011

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Section 1

Assessment against Railways Act 2005 requirements

1.1 Document history

Issue	Author(s)	Issue date
1. Initial report	Ivan Cowell	25 July 2011
2. Report received	Merv Harvey	25 July 2011
3. Submission to the initial report	Phillip O'Connell of KRL	19 Sept 2011
4. Final report	Merv Harvey	27 Sept 2011
5. Response to report	KiwiRail Ltd	
6. Assessor review	Ivan Cowell	
7. NZTA close-out	Merv Harvey	

1.2 Executive summary

This report relates to an ordinary safety assessment undertaken by an assessment team led by Ivan Cowell to verify compliance with the requirements of the Railways Act 2005 (the Act), the rail licence holder's safety case, and its rail safety management system.

The assessment was carried out by assessors appointed by the NZ Transport Agency (NZTA). Standard rail safety assessment techniques were applied, in conjunction with the NZTA *Rail Safety Licensing and Safety Assessment Guidelines* to ensure the ordinary safety assessment complied with the criteria set down by the NZTA.

Note the ordinary safety assessment of KRL is normally carried out around March/April each year, but the devastating earthquake of 22 February 2011 in Christchurch had the NZTA agree with KRL that the assessment be postponed for 3 months until June/July.

Findings

As noted in section 1.7 of this report, that there is a decrease in the assessment risk profile from a rating of 53 in 2010 to 42 in the current assessment. The rating applied to the new conditions of 24 is less than the 38 for new conditions of the 2010 assessment. Also it is noted that a lower number of actual conditions was raised during this assessment (17 in total for 2011, 19 for 2010).

Since the previous assessment, KRL has submitted to the NZTA 10 applications for safety case variations which have been approved. This communication enabled the NZTA to review proposed changes in a timely manner that continued to give the NZTA confidence in KRL's safety system change management process.

Passenger/TranzMetro business appeared to be functioning well with favourable results achieved against performance targets. Event management and security activities were also seen to be effectively managed.

Two operational incidents were sighted during a walk through Wellington Station which resulted in two of the conditions being raised (11/06 C12 and 11/06 C13). Refer to section 1.3 for a more detailed record of the Passenger/TranzMetro activities.

KiwiRail Mechanical (KRM) functions reviewed included projects, EMU depot Wellington and Middleton depot. In general the project management and operational activities were seen to be generally well established. A strong focus on H&S was observed across the sites visited, with favourable H&S statistics consistently being achieved. Refer to section 1.3 for a more detailed record of the KRM activity.

The Freight operations reviewed during this assessment included Wellington, Picton, Napier, New Plymouth and Palmerston North. Detailed findings on these sites are contained in section 1.3 of this report. The H&S aspects appeared to be very effective with very favourable H&S statistics indicating a downward trend in LTI's and serious incidents.

The Woburn training facility was visited.

The positive aspects observed during this assessment were:

- Overall staff attitudes were mainly positive with a good underlying enthusiasm.
- Introduction of new operating equipment (Loco's and Wagons)
- Good attitude demonstrated towards continual improvement
- The continual effectiveness of Health and Safety
- The animated (blue man) training programme 'line of sight' appeared a very effective training tool.

Aspects to consider going forward are:

- A methodology should be developed and introduced with regard to the managing of changes; this is an overarching methodology not to be confused with 'Engineering Change Control' practices which currently exist.
- With the number of changes and subsequent projects being introduced, consideration should be given to the development and formalisation of a Project Management methodology (e.g. standardised project file format). A couple of instances were noted during the assessment where projects did not appear to have been managed as effectively as they could have been (e.g. Ditch light project, fitting of lights to both ends of 'DC' Class Locomotives used for mainline shunts had not been identified at the scoping part of the project; the IAB Wagon project it was noted the two weekly report from the manufacturer specified under 9.4 of the contract was not being received, and appeared that it was not particularly required by KRL. Hence a variation to the contract should be raised in this regard).
- The Joint Safety Case with KiwiRail Network (KRN) is still in progress. No anticipated completion date would be given. It is important that this matter be given some level of priority.

Conditions and Recommendations:

The assessment included a review of the open conditions and recommendations from previous assessments.

This assessment resulted in 17 new open conditions and 15 new open recommendations. Of these new conditions 7 were rated as medium risk and 10 as low risk. The new conditions and recommendations are detailed in Section 3 of this report.

It is noted that there is an increase in the number of open conditions from the previous assessment (ref sec 1.7 for details). Some further attention is required with regard to achieving close out of assessment conditions.

Overall the assessment went well and KiwiRail Limited are commended for the current efforts in regard to continuous improvement and the commitment towards upgrading the existing fleet i.e. introduction of the Matangi units, DL Locomotives and the IAB wagons.

Finally I would like to thank all Managers and staff that were encountered throughout the assessment, for their time and cooperation. It was very much appreciated.

Please refer to section 6 at the end of this report for a detailed guide to the report structure and the definitions applied to the High, Medium and Low condition ratings.

1.3 General observations

Corporate

Legal and Governance

A general overview of this aspect was conducted. Policy statements are now including next review dates (two year period). It is noted that the following policy statements were issued in April 2009 hence would appear to be due for review.

- Respectful Cultural Policy
- Environmental Policy
- Smoke Free Policy
- Rehabilitation Policy

This issue was noted during visits to operational areas (refer to 11/06 R11).

Discussion was held with regard to the progress on the joint KRL & KiwiRail Network (KRN) Safety Case. This is an ongoing work in progress and no anticipated completion time could be advised at the time of the assessment.

Occupational Health – Corporate oversight of medical assessment currency

The introduction of the 'Predict' system was reviewed. The system was seen to be well implemented within the freight and mechanical operations and has enhanced the management/monitoring of periodic medicals to assist in consistently achieving compliance with NRSS3.

The Passenger division had yet to fully switch over to 'Predict' which is currently just being used to process triggered medical aspects.

It was noted when conducting a review of the administrator's dashboard that there were a number of overdue medicals. On further investigation it was found that some were four months overdue (e.g. Foster-Lynam Mech. Eng was due in Feb 2011).

Passenger

Business unit overview

An overview of the Passenger business unit was given by the Passenger Unit General Manager. The unit is currently going through many changes. These include:

- Restructuring of the business unit (This will include a review and update of position descriptions)
- New Business unit manager appointed since last assessment
- An Operations Safety and Compliance Manager was to be appointed (starting in July 2011)
- Organisation and Development Training Manager and Customer Services Training facilitator positions are being created (anticipated to be short term appointments).
- Introduction of Matangi units
- Training programmes developed and formalised for Matangi drivers and 'On Board' staff

The overall performance of the business unit was also briefly reviewed. The results attained with regard to 'On time service' and safety aspects were seen to be favourable.

Currently the unit is partaking in a benchmarking exercise with a number of other New Zealand and Australian Rail operators. The preliminary results issued to date indicate that TranzMetro is performing very favourably.

The unit is commended for partaking in such an exercise.

Looking forward, the unit has identified a number of areas that require further work, some of the areas identified were:

- Succession planning for staff
- More flexible workforce
- Co-ordinated project management approach.

The NZTA Assessment team were kindly invited to observe the Passenger Industrial Council meeting, this is a relatively new initiative, this being just the third meeting to date.

The meeting appeared to be effectively structured and followed recognised meeting practices i.e. formal agenda and meeting minutes maintained.

The NZTA Assessment team did not stay for the duration of the meeting. The aspects observed covered confirmation of previous meeting minutes and follow up on the matters arising from the previous meeting.

A good level of frank and open discussion between all parties represented was observed. From the discussions heard relating to matters arising from the previous meeting there appeared to be a common theme developing with regard to lack of clarity on some of projects/reviews currently in progress. Specific examples were:

- World Cup Project – Manning resource, further consultation was requested, Security staff responsibilities/terms of reference, further clarification was requested.
- Train Manager review – Appeared a working party had been initially formed but then seemed to cease functioning but this does not appear to have been recognised. It was decided to reconvene this working party.

Another aspect of confusion appeared to be which version of the Drug and Alcohol Policy was current. Some parties were under the impression the 2008 version was still the current policy other parties were under the impression that the 2010 draft had been adopted.

The above comments are offered for consideration to possibly assist with the continual improvement of this function.

TranzMetro Operations

A brief overview of operations was conducted, this covered:

Resources, hours of work

Established monitoring and management reporting (TaExcept) was seen to be effectively implemented. Reports sighted indicated resource hours of work were being effectively maintained within the prescribed criteria.

During the time spent around Wellington Railway Station two operational related issues were sighted which resulted in two conditions being raised and the subsequent incidents reported in IRIS (ref 11/06 C12 & C13).

A trip was made to Porirua station to review the signal box operation. The actual operational processes were effectively managed. A brief review of documentation held at the station revealed that the Hazard Register and Hazard report forms were not the current version (ref 11/06 C17).

Event management

The World Cup project was briefly reviewed; this appeared to be progressing well with initial proposed schedules covering train timetables, rolling stock requirements and staffing resources having been drafted.

From further discussion, the Wellington races and Westpac Stadium events have now appeared to become well established operations.

Security

Training of internal staff; good improvements have been made on this matter, specifically a security component has been included in the new staff induction programme.

A training programme for existing staff is currently being considered along with the possibility of relevant refresher training.

Responsibilities of contracted security staff have been clearly defined and also conveyed to internal staff.

The contract for security services (events) is currently with 'Simply Security'. Sound processes were seen to be effectively implemented in regard to ensuring appropriately rail operation trained security guards are utilised.

Appropriate training records were maintained.

This current contract expires in September 2011. It is anticipated that the security service will be put out to tender at this time.

Overall this function appeared to be effectively managed.

Occurrence notification and management process

This process appeared to be functioning satisfactorily. Occurrence numbers 104449 (compulsory stop area entered) and 104264 (failure to observe temporary speed restrictions) were reviewed. Both occurrences had been closed out. Related records with regard to investigations, corrective actions and follow up actions were appropriately maintained.

Internal Audit

The internal audit activity has now been simplified with the removal of the mechanical aspect which is no longer under the Passenger operational scope.

The internal audits for 2010/2011 period were appropriately scheduled. All scheduled internal audits had been conducted.

The internal audit reporting format has been formalised and seen to be utilised. Internal audit reports sighted (Passenger Business unit Jan 2011 and ACC Partnership Programme Apr 2011)

were well constructed with follow up actions clearly identified. Action points were seen to be generally addressed in a timely manner with appropriate follow up action records maintained.

Matangi Training

Progress on achieving qualified staffing for Matangi units appeared to be progressing well with formalised dynamic (3 day), Static (2 day) and 'Shadowing' (1 day) programmes now implemented.

Charters and Heritage interface

A review of the charter function was conducted. Sound effective processes were observed with regard to processing of charter events (both client requested and internal).

Good records were maintained for each charter event. These included:

- Resource requests (rolling stock and operating staff)
- Event time table (includes coordination with train control)
- Hazard identification
- Operation plan
- Train Manager's Report
- Charter checklist

The use of a formalised checklist assists with a consistency in the managing and processing of charter events.

The current checklist format includes some aspects which were no longer applicable. These were – private carriage certification, private locomotive and Uc certification and fire permit.

It was also noted that the checklist did not have any positive version control detailed.

Consideration should be given to revising the current checklist with regard to deleting those aspects no longer relevant and include references to relevant significant documents such as the Operational Plan (ref 11/06 R16).

Overall the Charter and Heritage function was seen to be effectively managed.

KiwiRail Mechanical

Passenger Engineering

Matangi Project

The project appeared to be progressing very well. The type acceptance phase had now been completed and the 'Routine Acceptance' process had been established and was seen to be effectively implemented overall.

From the review of the routine acceptance process, two aspects were noted which do require some further attention. These have been detailed in conditions 11/06 C2 and C3.

However overall the Matangi project appeared to be well managed.

Locomotives Maintenance and Refurbishment programmes

Locomotive Maintenance Programme

The Locomotive maintenance programme is set up in 'SAP'. Monthly reports are generated which identify the locomotive and type of maintenance due. Overdue maintenance issues result in Non Conformance Reports being issued but it was noted the management/monitoring of these reports was not effectively achieved, refer to 11/06 C4 for specific detail.

Change management was seen to be well managed via the established ECR (Engineering Change Request) process.

Interfaces for entering new rolling stock into SAP and AMICUS appeared to be satisfactorily established.

Refurbishment Programme

The DX intermediate overhaul programme was currently under development. A formal Capex submission had yet to be completed.

The fitting of ditch lights to locomotives programme had been progressing well with kits prepared and issued to relevant depots. FMI 1173 was also currently under development; this related to the fitting of ditch lights to 'DC' Class Locomotives (front and rear) used on mainline shunts.

The initial issues experienced with this programme included the failure to acknowledge that ditch lights should be fitted to front and rear of 'DC' Class Locomotives used on mainline shunts.

It is anticipated that such lessons learnt from this programme will include a much more rigorous initial scoping of such programmes.

EMU Depot and Wheel Lathe Building – Wellington

Management of the depot building

The management of the depot building was briefly reviewed. This included the building warrant of fitness (BWF) although the latest copy of the certificate was not available at the site at the time of the audit. It was advised by management that a new certificate had been issued and had yet to be sent to the depot.

A completely revised Emergency Plan for the site had been drafted and anticipated to be formally published within the near future.

It was noted that the current site plan did not include detail of the hazardous substance storage locations. Also from further discussion there appeared to be some uncertainty about approved handler qualifications and there appeared to be no positive mechanism in place that would ensure site evacuation exercises are conducted and completed (refer to 11/06 C10).

Internal Audit

The last internal audit of this facility was report#4770-11-42. Five NC's were identified. These are currently being addressed with a target date of 16 July 2011 having been set to formally respond to the NC's.

Maintenance Programme – EMU

Currently the maintenance programme is supplied from 'Passenger' division. This aspect is anticipated to be taken over by Mechanical in July 2011.

The programming of the maintenance appears to have been improved with regard to ensuring the relevant EMU units are available at the scheduled time.

Maintenance check sheets (e.g. type A and D check sheets) have been formalised and currently utilised. A review of the following check sheet records was conducted:

1. Type 'A' check on vehicle # FP 4103 (Matangi unit) conducted 10 June 2011. The check sheet had not been fully completed and the attached 'Release from Depot' authorisation had not been completed, from further discussion with managerial staff it was indicated that this release record was not required for a 'type A' check.
The record included a comment that 'no Dets' were on the unit. There was no trace of any work order having been raised in SAP to have detonators put in the unit (currently these are safety critical items required under M2000 p.26. 2 canisters required). Further investigation of this situation revealed that the unit had not been immediately released after the 'A' check of the 10 June 2011. The unit was submitted for further work conducted by 'Rotam'. The clearance approval for service was received from Rotam. By coincidence the Matangi unit FP 4103 was in the depot at the time of the audit. A review of the equipment onboard revealed that one canister of detonators was on board; however no related work order in SAP could be found. The unit subsequently left the depot during the time of the audit. It appeared that the unit would have only had one canister of detonators on board.
Concerns relating to this finding:
 - Possibility that the unit was in service without detonators
 - The apparent grey area about releasing a unit after an 'A' check if the 'Release from Depot' form is not required to be completed.
 - Why was no work order raised in SAP to have the detonators put in the unit.
Refer to 11/06 C5.
2. A Type 'D' check of vehicle EM1246 (GANZ) conducted 17/1/11 was reviewed. The record was in general completed appropriately. However it was noted that the Radio and PA system check point had been crossed out. From further discussion on this aspect it was stated that the staff member conducting the 'D' check was certified to conduct the Radio and PA system check. Hence the unit was subsequently released with no Radio and PA system check being conducted.
Refer to 11/06 C6.

Calibration

A brief review of the management of equipment requiring routine inspection/calibration was conducted. Currently there is no formal register of equipment held by the depot to assist in ensuring all relevant equipment is calibrated/inspected within prescribed check periods (refer 11/06 C7). It is acknowledge that from the review of electrical test equipment that current calibration reports were available.

Site Walkthrough

During the walkthrough the EMU workplace it was noted that safety barriers have been erected in the Wellington EMU maintenance depot to protect staff from falling from the Matangi units should the non-platform doors open. This system is effective when the units are not connected; however when multiple units are connected, the doors on the second unit do not align with the safety barriers (refer 11/06 R7).

Also during the walkthrough an employee was observed working on (and under) a bogie set that had not been secured into position, i.e. the wheels had not been chocked (refer to 11/06 C8).

Training and staff hours

The monitoring of staff hours was seen to be well managed and generally maintained within prescribed staff hour expectations.

The management/monitoring of staff training and recertification was seen to be generally well managed. Some specific instances were identified where some further attention however appeared to be required. These are detailed in recommendations 11/06 R4, R5 and R6.

Wheel Lathe facility

This facility was well set up. During the walkthrough the facility it was noted that there was no evidence to show the winch in the Wheel Lathe Depot had been inspected (refer 11/06 R8).

Middleton Depot

With the recent earthquake events in Christchurch the Linwood Depot has been deemed inoperable and currently all Linwood staff have moved to the Middleton depot. There appears to be no significant issues occurring from this change in situation.

The Locomotive maintenance programme appeared to be relatively unaffected.

A brief review of the KRM operating facility was conducted; no issues were identified.

The main focus of the audit to this site was to review the Telarc ISO 9001 audit report results (the ISO 9001 certification of the Middleton workshops) and the open conditions from the previous NZTA Assessment.

The resolutions of the previous NZTA conditions are covered in specific detail in the other section of this report.

The Telarc ISO 9001 audit reports were reviewed. The issues raised (e.g. NC's and AOC's) were seen to be appropriately addressed by the depot.

Overview of Business Unit – Auckland HQ

A general overview of the business unit was given. This included a brief of the 'Turn around Plan' which covered procurement of DL Locomotives and IAB wagons.

The anticipated organisational structure changes were also briefly outlined.

The 'Zero Harm' culture appeared to be well supported by management and staff throughout this section of the organisation. Safety statistics reviewed indicated a reduction in safety issues (e.g. LTI and MTI).

Health and safety improvement initiatives that are currently being considered were:

- H&S for Management Programme
- Introduction of regional based senior investigators
- KiwiRail Way (operator level)

Auckland Metro aspects including fleet performance, health and safety statistics and increase of operations were discussed. Overall all such aspects indicated significant levels of improvement.

The strategies and improvements that were advised appeared sound and demonstrated a good attitude towards continual improvement.

KiwiRail Mechanical – Projects

An overview of the projects operation within the Auckland HQ was presented. This included a brief on some project management improvements which included moving to electronic filing and also developing a standardised project file format.

These anticipated improvements are commended.

A brief review of the following projects (both in progress) was conducted:

'DL' Locomotive project

The overall project file was satisfactorily set up and records requested were readily retrievable. The variation process and control of drawing issues were seen to be satisfactory. The control of changes between generation 1 and generation 2 of the 'DL' locomotives was being satisfactorily managed this also included an additional risk assessment review conducted on the 27 June 2011.

IAB Wagon project

The set up of the electronic project file was satisfactory, records requested were readily retrievable.

The variation process was appropriately set up.

The initial risk assessment for the IAB's had yet to be produced. From discussion it appeared the risk assessment would essentially be the same as that conducted for the IAC wagons with some minor changes.

The project time table was formalised and appropriately reviewed.

It was noted during the brief review of the project contract document that section 9.4 required a fortnightly report in regard to manufacturing progress and a number of other specific topics. It was noted that this report is not being received. From further discussion it appeared the need for such a report was not required. This change in contractual requirements should be formally managed via a variation to contract.

It is acknowledged that daily QC inspection reports (from Q-Test) and production information is being regularly received.

Overall the project function appeared to be satisfactorily managed.

KiwiRail Mechanical – Wagons

An overview of the wagon maintenance programme monitoring and management was reviewed. The maintenance programme is now in SAP.

The management of wagons with overdue maintenance issues was discussed and the subsequent 'bad order' process explained (currently ~300 wagons with overdue maintenance issues).

The overall monitoring of the maintenance programme appeared to be satisfactorily managed.

The procurement process relating to the IAB wagons was discussed. There appeared to have been a good level of consultation with the maintenance staff during the decision process.

The training programme for maintenance staff with regard to the IAB wagons is currently being considered.

The weigh side monitoring system is now operating at Rolleston, Bunnythorpe and Te Puna.

KiwiRail Freight

Overview of Business Unit – Auckland HQ

A brief overview was given on the current changes/improvements that are currently happening within the freight business unit.

Progress is currently being made with respect to achieving a unified freight fleet, this includes the introduction of DL Locomotives (currently 20 in New Zealand with commissioning and route clearance testing currently underway; with a further 20 on order). A programme to introduce a total of 3,300 CFT wagons (56 tonne payload), 535 are anticipated to be in service for the 2011/12 peak, is also in progress.

Furthermore, standardised modular container units and Log Bolsters to fit the CFT wagons are also being considered.

Such standardisation of equipment should achieve many operational related benefits.

Other improvements being made is the 'Relaunch Domestic Capability'. This is expected to reduce some travel times e.g. reduction of 1hr AKL- WLG.

The operational Safety Performance figures covering the last five years were reviewed. These included aspects such as Terminal Collisions and Terminal Derailments. The records were comprehensive and overall results indicated a downward trend was occurring. This result is commended.

The results of a comprehensive analysis of 'SPAD' related incidents were also reviewed. There appeared to have been an increase of such incidents from the 09/10 period, a major contributing factor is related to new rolling stock equipment introduced.

Overall the strategies moving forward for the freight business appeared positive and well planned.

The internal audit programme was seen to be well managed and effectively implemented. The current internal audit schedule was effectively implemented with all scheduled events having

been conducted to date. The monitoring of subsequent audit conditions to assist in ensuring appropriate and timely close out was also seen to be satisfactorily implemented.

Revalidation Training Programme

The latest revalidation training programme was reviewed. The programme focused on Crew Resource Management (CRM) with specific attention to line of sight and identifying of related hazards.

The programme development process is well established with appropriate consultation of management, staff and union being achieved to agree on the content of the revalidation training programme. Related exercise papers were also developed.

The theory papers were also a related aspect of the revalidation process. These are specific to the various positions within the freight business.

Issue of Bulletins and change of rules

The change of rules process was discussed. The change processes are satisfactorily formalised and implemented. Two specialised committees are currently in existence to manage and process amendments to the Operating Code and Operating Rules/Procedures:

- Rail Operating Code Technical Committee (Blue book)
- Joint Technical Committee Rail Operating Rules and Procedures (Red book)

These current practices appeared to be functioning appropriately.

Issue of bulletins

A review of the processes relating to semi permanent (change to code) and Special bulletins was conducted.

The actual related processes were confirmed as being satisfactorily formalised. However from the review of actual current bulletins in effect and related lists (daily list of bulletins) and associated bulletin registers (list of bulletins issued held on HSQE drive) the following instances were noted which indicate some further attention is required with regard to the effective implementation of this activity (Refer to 11/06/R12).

1. From a review of the Bulletins in Effect list issued to operating staff (28/6/11) it was noted that bulletin # 188 (Theory Assessment Extension) did not have the expiry date recorded in the appropriate column contained on the daily bulletin list. On reading the actual bulletin, an expiry date of the 30 June 2011 was detailed. This is noted as an observation against KiwiRail Network as issuers of the document to ensure that it is complete.
2. During the review of the register of bulletins held on HSQE's drive bulletin #418(Log bolsters) recorded an expiry date of 31/7/11. However when reviewing the daily bulletin issue list bulletin #418 was not shown. Further investigation revealed bulletin #418 had been subsequently superseded by bulletin #431 which was recorded on the daily bulletin issue list along with the relevant expiry date of 31/7/11. It is acknowledged that this resulted in a non-critical administrative error and that the bulletin register held on the HSQE drive was updated at the time of the audit to reflect that bulletin 3418 had been superseded by #431.

Freight – Human resource function

A brief overview of the human resource function was given by the HR Manager.

The resourcing in regard to Locomotive Engineers was reviewed in some detail. The methodologies sighted for the subsequent forecasting of LE resource requirement going out to three years ahead, was seen to be based on sound principles.

This methodology of forecasting of such resources should assist in enhancing the commercial sustainability of the company.

Occurrence/Investigation Process – Freight

The overall occurrence/investigation function is processed through the 'IRIS' system with regard to the recording of follow up actions, review and status of the particular occurrence (i.e. occurrence entered into IRIS and tracking reference issued. The recording of follow up actions and monitoring of progress/status of occurrences/investigations was also seen to be satisfactory.

During the review of the 'IRIS' system it was noted that some occurrences logged have an effective date recorded e.g. #111081 and had an effective review date of 19/8/11 recorded. It is noted that the 'IRIS' system does not currently have a monitoring facility with regard to effective review dates.

Currently such effective review dates are entered into a separate spreadsheet which is then subjected to regular review/monitoring. Whilst this current practice appeared to be functioning satisfactorily, there was no positive reference within the occurrence/investigation process (IRIS Operating Manual) to the 'effective review date' spreadsheet. This raises the question "should the IRIS Operating Manual include a reference to the 'effective review date' spread sheet"?

A review of occurrence #111361 was conducted. This related to a 'Load Loss'. The occurrence status was signed off and approved.

On further review of the related information held on the system relating to this occurrence the following aspects were identified which may require some further consideration:

- From review of photographs relating to the load shift it appeared that insufficient stropping may have been used to secure the load. The investigation records did not include any reference to stropping.
- The category issued was 4 (this is the lowest category rating defined within NRSS 5). From discussion it appeared questionable if category 4 was appropriate.

Subsequent discussion was held on this particular occurrence. From these it was indicated that the issue may be reopened and some further investigations conducted (Refer 11/06 R1).

Rail Operational Risk Register

This aspect appeared to be well managed. Ongoing management and review of the register was seen to be effective.

The 'Quantate' system was briefly reviewed. This is a new tool that is currently being trialled with regard to administrating risk management. Currently the Freight Group risk register management has been loaded on to the Quantate system for practical trialling. This is currently at the early phase of trialling.

Picton Terminal - Freight

A review of the operational aspects of the Picton terminal was undertaken.

The site management activities were seen to be well handled; current Building Warrant of Fitness (4/3/11) was displayed.

The site Safety Plan, Spill Response Plan and Environmental Plan were all current (22/2/11) and policies were clearly displayed within the depot.

The general housekeeping of the terminal was of a very good standard. The staff are commended for the efforts made to achieve such an improvement in the housekeeping standard of this facility.

Site safety inspections (2/qtr) were being consistently conducted with appropriate records maintained. Actions identified from such inspections were seen to be appropriately resolved within a timely manner.

The management of staff training and routine reviews (e.g. safety observations and certifications such as by OCM's) were well managed with appropriate records maintained.

Staff management (Rostering) was effectively implemented and managed. It is noted that the terminal is about to be restored to the full staff resource level. This significant improvement is commended.

Staff hours of work were appropriately monitored, no significant issues were identified.

The Joint Operating Plan with KRM was current and readily retrievable. No issues were being experienced with KRM.

At the time of the audit a shunting operation was observed, no issues were identified.

Occurrence management was briefly reviewed; no issues were identified with this function. Appropriate records were maintained with regard to related investigations.

Wellington HQ - Freight

Freight Operations Central Region Business overview

There are a lot of changes occurring in the Wellington terminal area with regard to site layout, these include:

- Mainfreight Development
- Relocating CT site

- Reclaim yard to cope with the extended Aratere
- Aotea Quay site 'Toll' shed extension

The organisational structure remains largely unchanged over the last twelve months.

The current level of resource with regard to LE's is currently one short for the Wellington operation and 6 to 7 short for the Palmerston North operation. It is acknowledged that there are currently 13 LE's in training.

The current shortfall appeared to be manageable at this time.

The quarterly safety and performance statistics were reviewed. There was a trend of continual reduction with regard to derailments, collisions and Spad's. Injury related statistics appeared to be held at a consistent level (no significant increase).

A focus on 'line of sight' aspect has been introduced.

The pending introduction of the IAB wagons appeared to be well managed, this has included staff briefing on the wagons, 'hands on' practical sessions with the IAB wagon. 'Staff 23' records have been maintained in regard to this activity.

The managing of the change to the Dry Dock was also seen to be well established with a comprehensive risk assessment having been completed to date.

Wellington Terminal - Freight

The building management and H&S aspects were reviewed. There was uncertainty with regard to the current building being used, as to whether it needs to have a building warrant of fitness, which needs to be resolved with KRN.

The on going management of Fire Extinguisher inspections could also not be established (ref 11/06 R10).

However practice evacuations such as fire drills (last drill 30/4/11) and spill responses (last drill 15/2/11) were well managed with appropriate records maintained.

It was noted the current Site Safety Plan diagram displayed does not have any positive version control detailed (ref 11/06 R13).

During the general review of documentation held at the terminal it was noted that the 'Operation Plan Folder located in the Team Leaders office contained out of date documents, refer to 11/06 C15.

H&S meetings were being held regularly as prescribed (i.e. six weekly). Minutes for the 8/6/11 and 27/4/11 meetings were sighted. Appropriate records and follow up on previous actions were observed.

The monitoring of staff resources with regard to hours of work and safety observations was seen to be effectively managed.

Monitoring of routine medicals appeared to be well managed within the Predict system. No overdue were shown within the Wellington Terminal Manager's dashboard.

A walk around the freight yard was conducted. General operational activities (e.g. wagon movements) appeared to be carried out effectively.

During the walk through it was noted that wagon UK 14179 (status empty) appeared to have a faulty brake linkage. Once this was sighted the Team Leader was informed and the wagon was promptly logged as 'bad ordered'. The management and staff involved in this particular instance are commended for the prompt and appropriate actions.

The Assessor requested to observe a Tranzlog download. This was duly attempted with outcome being that a download could not be achieved. Refer to 11/06 C11.

A review of the train loading process was conducted no issues were identified, (tonnage forecasts supplied via Auckland and 'train consist records' were all appropriately maintained).

A review of the JOPs currently in effect was conducted. Specific JOPs sighted were KiwiRail Terminal and Inter Islander. Both were within prescribed review periods (next reviews due 2016). No issues were identified.

Siding Operations visited

The following sidings were visited:

Waingawa

This siding was not in operation at time of the visit. From the review of the site it was ascertained that all relevant signage was displayed. The siding was in 'tidy' order.

Masterton

There is a full time KiwiRail staff member permanently on site. A review of documentation held at the site was conducted. The RORP that was held was not the current version refer to 11/06 C16.

Daily bulletins were readily available.

The training and additional qualifications held by the on site staff member were discussed.

The safety observations aspect appeared to be satisfactorily managed. However from further discussion the fork lift operating qualification held and subsequent managing of requalification did not appear to be positively managed by KiwiRail (Refer 11/06 R3). Currently it appeared the fork lift maintenance service provider (Goughs) assisted with the requalification process.

Pahiatua Siding

This siding was not sighted in operation. The siding was in tidy order with appropriate signage displayed. No issues were identified.

Napier Terminal - Freight

The Napier terminal operation overall appeared to be effectively managed. The following aspects were specifically reviewed:

Health & Safety:

The six weekly H&S meetings were being held. Minutes of the meetings were maintained in the prescribed format. Follow up on open actions was seen to be effectively achieved.

Scheduled evacuation and spill drills were being conducted within the requested periods, appropriate records were maintained.

Site safety plan was current and included a diagram of the site layout.

Spill response kits were checked on a periodic basis; appropriate records of such checks were maintained.

Hazard Summary Plan was current next review date Sept 2011.

Resource Management:

The rostering of staff was found to be effectively managed. This was further confirmed by the hours of work records which showed consistently that work hours were being maintained within current prescribed guidelines.

The monitoring of staff safety observations and revalidations were found to be well managed with no overdue observations currently.

Medical checks were being notified appropriately through the Predict system.

Joint Operating Plans

All JOPs held were within current prescribed review periods. The relationship with Port of Napier was discussed. From the discussion it appeared the relationship with the Port of Napier was improving and there are on going discussions with the Port in respect to the CT operations being taken over by the Port of Napier.

The current relationship with KRM was also discussed. From discussion it was indicated that this relationship was also continually improving.

Safety Observations:

A sample of observations was sighted and inspected, all complete and up to date.

Occurrence Notification and management

From the review of the IRIS system it was found that the Napier Depot had only a small number of issues.

IRIS ref #111643 Shunt collision and # 110388 Container dropped on wagon were reviewed. Both incidents had appropriate investigation reports and corrective actions recorded.

Operations

During the walk through of the operations office a number of outdated documents were sighted in a book case: refer to 11/06 R14 for specific detail.

A number of shunting activities were observed and considered to be conducted in a competent and correct manner.

The 'walking' of the train prior to departure was observed and no issues were identified.

Appropriate paperwork was completed and handed to the LE prior to departure.

The assessor was issued with a cab pass and rode a Locomotive from the Napier to Hastings.

During this trip a shunting operation was also observed. The operation went very smoothly in a safe and controlled manner. Very good communication between the TXO and the LE was maintained throughout the entire operation.

It is noted that the Napier terminal does not currently have the relevant equipment (laptop) to enable random downloads of Tranzlogs to be conducted.

Siding Operations visited

Hatuma

This small siding was not in operation at the time of the visit. A walk through the site identified that one set of points that were not required to be operational had not been spiked (a 155 was to be raised on this matter): Refer 11/07 O1.

The siding was maintained in tidy order.

Takapau

A full time KiwiRail staff member is stationed at this facility. The operations include loading and unloading of containers on and off wagons and general movement of containers around the site and shunting operations.

The unloading of containers and general movement of containers was observed. No issues were identified. No shunting operations were being carried out during the visit to the site.

A current site safety plan (15/6/11) and the latest JOP (with Silver Ferns Farms 1/8/09) were readily available at the site.

Palmerston North Terminal

The general operational activities were reviewed during the walkthrough of the yard. A high level of safety awareness was experienced whilst conducting the yard walkthrough.

Shunting operations observed were conducted in an appropriate manner.

Wagon rakes that had been set up were seen to be appropriate and in line with prescribed requirements.

The general management of train loading, train arrival and departure aspects were seen to be effectively managed.

A brief discussion was held with KRM Managers for Wagon and Locomotives and the KRM HQSE Manager (from Auckland) with regard to the working relationship with Freight operations with respect to managing KRM's planned maintenance activities.

In general there appeared to be a good relationship between the two divisions.

A review of the office processes, Health & Safety, resource management including management of safety observations, recertifications and other renewable qualifications was undertaken.

All aspects appeared to be well managed with supporting records of effective implementation readily available.

The JOPs relevant to this depot were reviewed, all JOPs were current. It was noted that the review periods varied; specific examples Pahiatua Rail Car (iss. May 2011) stated review period was 3 years and Fielding & Districts Steam Railway Society (iss.22/2/11) stated a review period of 10 years. This compares to Port Taranaki JOP (iss.13/5/2011) seen at New Plymouth which stated review period was 5 years. The JOPs also used differing document formatting.

The JOPs also used differing document formatting - refer to 11/06 R15.

The IRIS incidents relating to the Palmerston North terminal were overviewed. In general the incident follow ups and investigations were seen to be satisfactorily managed and appropriate records entered onto the IRIS system IRIS ref #'s 111758 (Collision at Hillcrest Road crossing 28/4/11) and 112533 (Derailment at Palmerston North yard 21/6/11) were specifically reviewed. Both incidents have had investigations completed and signed off at 'Reviewer' phase. The sign off at 'Approver' level had yet to be done.

The overall performance of the terminal in regard to LTI's and train on time departures were seen to be favourable.

New Plymouth Terminal

The New Plymouth terminal operation overall appeared to be effectively managed. The following aspects were specifically reviewed:

Health & Safety:

The six weekly H&S meetings were being held. Minutes of the meetings were maintained in the prescribed format. Follow up on open actions was seen to be effectively achieved.

Scheduled evacuation and spill drills were being conducted within the requested periods and appropriate records were maintained.

Site safety plan was current (iss. 4/5/11).

There was some confusion with regard to the content requirements of the spill kit held on the site. The current Spill Response Plan (iss. 4/5/2011) contained contents detail of 'Spill Kit 1' on page 9 and then on page 12 there was a spill kit contents table for New Plymouth, Stratford and Whareroa Refer to 11/06 C9.

Hazard Summary Plan was current (iss. 4/5/11)

Resource Management:

The rostering of staff was found to be effectively managed this was further confirmed by the hours of work records which showed consistently that work hours were being maintained within current prescribed guidelines.

The monitoring of staff safety observations and revalidations were found to be well managed no overdue observations currently.

Medical checks were current and being notified appropriately through the Predict system.

Joint Operating Plans

All JOPs held were within current prescribed review periods. JOPs for New Plymouth Cool stores, Port Taranaki and Balance Agri Nutrients were reviewed and no issues identified. All these JOPs had a review date in 2016.

The random Tranzlog downloads were currently being undertaken from the Stratford facility.

Occurrence Notification and management

IRIS ref #110123 LX crossing incident; light vehicle hit train resulting in one fatality (light vehicle driver). The incident was appropriately notified to NZTA. The following records were sighted:

- NCM Checklist
- LSM Checklist
- Investigation reports
- Site Plan
- Tranzlog download (no issues identified in the download)
- Reviewer and Approver sign offs.

One of the outcomes of this incident is that bells and flashing lights will be installed at the level crossing (currently compulsory stop signs and level crossing signs).

The terminal appeared to be effectively utilising the IRIS system.

There were no rail movements being undertaken at the New Plymouth terminal at the time of the assessment. A brief drive around the operating yard was conducted. No specific issues were identified.

Overall the New Plymouth site appeared to be effectively managed.

Whareroa

The yard operational aspects were reviewed. The operations witnessed were carried out appropriately.

The train loading records and TXO check records for train #53511 were sighted prior to the train departing. The records were in order.

During the assessment of the yard operations it was noted that the track machine group that includes ETM 268 had been 'parked up' with no appropriate protection as required under rule 909B and rule 914 U also refers.

The Person in Charge of the Track Machine Group from KRN has a responsibility to ensure that track machines are correctly protected when being stabled. Only a stop sign had been placed on the front end of the machine, refer to 11/07 O2.

Siding Operations visited

The sidings at Taumarunui, Manunui, WPI Karioi and Marton were visited. All sidings with the exception of the WPI Karioi were not operating at the time of the visit.

The WPI Karioi siding was in operation. Loco 5120 was parked waiting to pick up a load. No load list had yet been received.

All sidings sighted appeared to be maintained in satisfactory order.

Training

Woburn Training Centre

A brief review of the building management and health and safety aspects was conducted. The BWF was current (expiry Nov 11).

Monthly H&S meetings were held with appropriate records maintained and actions from previous meetings were being adequately followed up.

The current floor plan displayed around the training centre had no version control detail. This was discussed further and it was indicated that subsequent floor plans issued would include version control status.

Policy statements were clearly displayed. It was noted that the Respectful Cultural, Smoke Free and Rehabilitation Policies were dated April 2009. These appear to be outside the expected 2 year review period.

The last fire evacuation exercise was held on 11 March 2011.

The current incident record for this facility is very good with only one relatively minor incident (turned ankle) over the last 24 months.

Training schedules have been formalised and appear to be well implemented. Further improvements anticipated to be introduced are six monthly review of course materials and Pre-learning books and further enhancements to project managing the development of new courses are under consideration.

The aspect of developing new programmes was reviewed. The development of new training programme for 'DL' Locomotives was investigated. The development process followed logical phases:

- Review of 'DL' Locomotive specification
- Code supplement developed (4.17 issued 7/2/11)
- Development of course material and consultation with RMTU
- Trial course
- Course programme introduced

The 'DL' locomotive course is now fully functional.

A brief review of the recent completion of an existing course (Module 205, Diesel Electric locomotive) was conducted. Records reviewed covered list of attendees and course feedback forms. The examination relating to this course was being taken at the time of the assessment.

Overall the Woburn Training Centre Operations appeared to be well managed.

Heritage

Brief discussion was held at Auckland HQ on the on going training resource that would continue to be maintained with regard to heritage - mainline related aspects (discussion held with HR Manager).

The indications from such discussion appeared that there was currently no positive succession planning in place with regard to maintaining a training capability relating to training of heritage operators for mainline operation. It was further intimated that the current training resource capability may not be available in 5 years time.

Currently it was noted that current 'steam' qualified staff qualifications (about 10 staff) are not encompassed within the current 'SMART' system. Hence the monitoring/management of related 'Steam' re-qualifications rely on the relevant Regional Manager or individual staff member to monitor and arrange.

The Assessor was advised that 'Steam' related qualifications would be entered into the new 'SMART' system.

As this information was only ascertained from general conversation no formal concern is raised within the report at this time, however KRL may wish to give these situations some further consideration.

1.4 Compliance with the approved safety case and safety system

With the exception of the conditions noted in this report KiwiRail Limited was found to be in compliance with its approved Safety Case.

In total there are 28 conditions (non-compliances) and 16 recommendations noted in this report which KiwiRail Limited needs to address. These are noted in detail later in this report, but are summarised in the table below.

Some concern is expressed that some conditions dating back to 2007 and 2008 are still open. KRL are requested to give these particular conditions some priority to achieve a close out.

Reference/subject	Group	Status	Rating
Previous open conditions and recommendations			
Management Responsibility			
10/03 R2 Emergency Procedures	KRM	Closed	-
Personnel			
08/12 C12 Completion of Training Needs Analysis	AMM	Closed	Medium
10/03 C8 Safe Work at Heights	KRM	Open	Medium
10/03 C10 Health Monitoring Procedures	Corp	Closed	Medium
Mechanical Safety			
07/03 C5 Handbrake Specifications	KRM	Open	Medium
07/04 C6 Locomotive Radio Testing	KRM	Open	Medium
08/03 C3 Wagon Maintenance Strategic Plan	KRM	Open	Medium
08/12 C4 Approval of Mechanical Engineering Documents	KRM	Open	Low
10/03 C1 Repetitive Fault Loco 54D - Radio Cords	KRM	Open	Low
10/03 C2 Calibration System	KRM	Closed	Medium
10/03 C3 Westinghouse 26C Brake Valve Test Rack	KRM	Open	Medium
10/03 C4 Westinghouse Valve Test Racks Test Procedures	KRM	Open	Medium
10/02 C1 Refuelling at AMM	AMM	Open	Medium
Accidents, incidents and other occurrences			
10/03 R10 On-board Emergency/Safety equipment	Pass.	Open	-
10/02 C3 Hazard Register at AMM	AMM	Open	Low
10/02 C4 Site Inspections at AMM	AMM	Open	Low
10/03 C17 Safety Management	KRM	Closed	Low
Document Control			
10/03 C18 Document Management/Control	Freight	Closed	Medium
Status of conditions and recommendations from current assessment			
Management Responsibility			
11/06 R1 Management of Occurrences	Corp	Open	-
Personnel			
11/06 C1 SMART recording of safety observations	KRM	Open	Low
11/06 R2 Review of Medical over dues	Freight	Open	-
11/06 R3 Management of renewable forklift qualification	Freight	Open	-
11/06 R4 Training - CPR	KRM	Open	-
11/06 R5 Training - Fire Extinguisher	KRM	Open	-
11/06 R6 Training - Overdue Training	KRM	Open	-
Mechanical Safety			
11/06 C2 Matangi Acceptance Test Records - Equipment	KRM	Open	Medium
11/06 C3 Completion of Matangi Acceptance Records	KRM	Open	Low
11/06 C4 Monitoring of Non Conformance Reports	KRM	Open	Low
11/06 C5 'A' Check Process	KRM	Open	Medium
11/06 C6 'D' Check Process	KRM	Open	Medium
11/06 C7 Management of equipment calibration	KRM	Open	Medium
11/06 C8 Chocking wheel sets and bogies	KRM	Open	Medium
11/06 R7 Safety barriers in the Wellington EMU depot	KRM	Open	-
11/06 R8 Inspection of the Wheel Lathe	KRM	Open	-

Infrastructure			
11/06 C9 Management of Spill Kits	Freight	Open	Low
11/06 C10 Building and Site Management	KRM	Open	Low
11/06 R10 Management of Fire Extinguisher Inspections	Freight	Open	-
Railway Operations			
11/06 C11 Tranzlog downloads	Freight	Open	Low
11/06 C12 Rules Breach TranzMetro	Pass	Open	Low
11/06 C13 Assisting the Public	Pass	Open	Medium
11/06 C14 Yard Safety	Freight	Open	Low
Document Control			
11/06 C15 Document Control	Freight	Open	Low
11/06 C16 Document Control	Freight	Open	Medium
11/06 C17 Document Control	Pass	Open	Low
11/06 R11 Document Control	Corp	Open	-
11/06 R12 Issue of Bulletins	Corp	Open	-
11/06 R13 Document Control – Site Safety Plan	Freight	Open	-
11/06 R14 Document Control	Freight	Open	-
11/06 R15 JOP formatting and review	Freight	Open	-
11/06 R16 Charter Checklist	Pass	Open	-

1.5 Safety case variations

KRL continues to keep the NZTA informed of changes and where appropriate has been submitting requests for safety case variation approvals.

In the 15 months prior to the 20th June 2011 ordinary safety assessment, there had been ten variation requests submitted to the NZTA. These were as follows:

Reason for application	NZTA sign-off date
Notification of Management Change – KiwiRail GM Passenger	11/06/2010
Type Acceptance approval of “DL Class” locomotives made in China	11/06/2010
Operational Approval (Mechanical) Six Car SA/CD trains	17/09/2010
Restricted Operational Acceptance – FP and FT Class (Matangi) Electric Multiple Units (EMU)	22/12/2010
Bollywood Filming – Wellington Railway Station 8 and 9 February 2011	07/02/2011
Extension of TranzMetro Commercial Passenger Operations to Waikanae.	17/02/2011
Preliminary Type Approval for Tranz Scenic “AG” class AGV and AGL Generator Vans.	09/03/2011
Limited Operational Acceptance – FP and FT Class (Matangi) Electric Multiple Units (EMU)	24/03/2011
Operational Acceptance – DL Class Locomotives	30/03/2011
Matangi consists up to 6 cars Hutt Line and 4 cars NIMT to Waikanae	17/05/2011

1.6 Next assessment

Quarterly Meetings and Progress Review

To ensure timely corrective action is being taken with respect to issues noted in this report, it is recommended that progress towards closure of each condition and recommendation noted in this report and any open TAIC recommendations, be reviewed at the KRL/NZTA Quarterly Meetings. At these meetings, KRL should provide a written report describing actions taken to date on each condition and recommendation, actions proposed, and resources allocated.

A response is required by no later than the **31 October 2011** as to action taken, or action proposed, to close out all conditions and recommendations.

The next Ordinary Safety Assessment is anticipated to be conducted in **March/April 2012**.

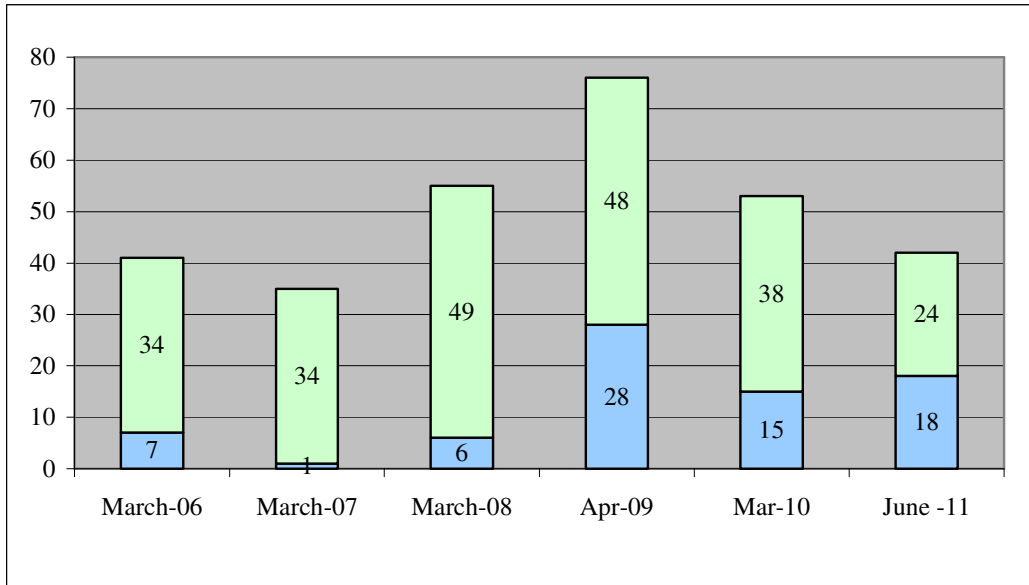
1.7 Safety system rating

Non-compliance safety system rating

Each non-compliance condition is considered by the assessor and graded High (H), Medium (M), or Low (L). This grading is noted in the boxes detailing each condition throughout the report. The determination of the condition ratings is explained in section 6 at the end of the report. Each is given a weighted value rating score of H (5), M (2), or L (1).

The ratings scores are then added together to give a total value for the collated non-compliances found during the assessment.

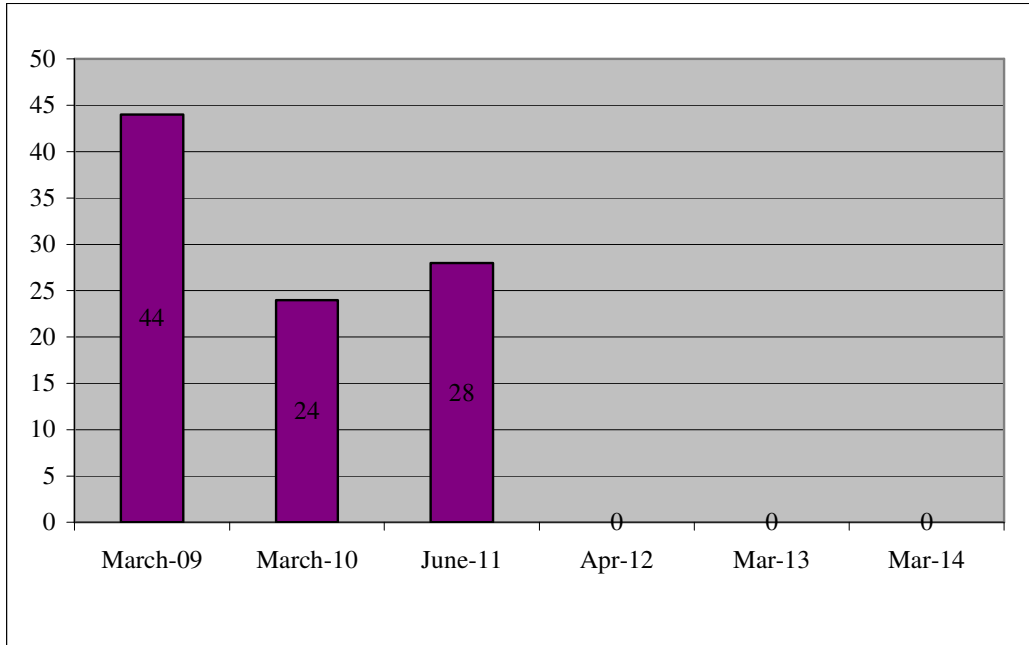
Safety recommendations and observations relating to other operators do not count towards the safety system rating.




Safety system rating for conditions from the current assessment.
 Safety system rating for conditions remaining open from previous assessments.

Total conditions open at completion of this assessment

This graph simply shows the total number of open conditions for the assessment. It includes previously open conditions as well as conditions raised during this assessment. It does not have any rating attached to the conditions.



 Total number of conditions open for this assessment.

Results

Since 2009 there has been a drop in the safety system rating score from 76 to 53 in 2010 and down to 42 in 2011.

However, it is noted that there is an increase in the number of open conditions from the previous assessment. Some further attention is required with regard to achieving close out of assessment conditions.

1.8 Assessment programme

Assessment Team

JG = John Freeman

IC = Ivan Cowell

MH = Merv Harvey

GH = Graeme Hudson

MaH = Maree Henderson

RG = Rob Gould

Assessors	Topic	Operator personnel
20 June 2011		
IC, MH	Passenger Business unit overview: Tranz Scenic Operations TranzMetro Wellington Operations	Deborah Hume
IC, MH	TranzMetro Operations general assessment	Paul Roulton Scott Brooks John Watson Hilary Kendall
IC, MH, BG, JF, RG	Opening Meeting	Phil O'Connell David Gordon Robyn Horan
IC, MH	Observe Passenger Industrial Council Meeting	Deborah Hume
21 June 2011		
IC, GH	Charters, heritage interface	Marc Ferguson
IC, GH	TranzMetro security Processes, training, staff awareness, contractor management, Police liaison	Mark Petit
IC, GH	Internal audit and review of last NZTA assessment Programme audits conducted, findings, non - compliances and recommendations, follow up and safety improvements achieved.	John Watson
IC, GH	TranzMetro Field Operations: Visit Porirua station and assesses Signalman processes,	Train Crews Signalman Porirua
22 June 2011		
IC, JF	KRM Passenger Engineering Matangi project update - progress on Learnings from management of this project and how this is being incorporated into safety system updates for future projects.	Barry Fryer Michael McKeown
IC, JF	Locomotives - Management of existing fleet. - Maintenance and refurbishment. - Compliance with ditch light requirement of NRSS 6	Randall Prestidge
IC, JF, MaH	KRM EMU Depot and Wheel Lathe Building. Routine maintenance and overhaul of EMU fleet, Depot staff hours of work, training, certification, safety observations.	Rob Gordon Kevan Thompson Trevor Rees Dave Curtice
23 June 2011		
IC, MH	Picton Terminal: General assessment of Terminal operations covering: Building and site management, resources for shunting and mainline operations, random Tranzlog downloads, safety observations (formal and casual). Joint operating plans.	Kerry Rogers Chris McMahon (RMTU)
IC, MH	Travel through to Christchurch	

24 June 2011		
IC, MH	Review Mechanical ISO 9001 audit reports and progress on close-out of non-conformances raised and recommendations made. On-site visit to Middleton depot assess compliance of Mechanical depot with respect to rail operating related requirements and interface with Terminal Operations including JOP.	Trevor Rees Carl Bamford Kevan Thompson
27 June 2011		
IC, MH	KiwiRail Freight business unit overview: - Update on BU organisation. HSQE review. - CVA. - progress on NRSS/4 - Security Handbook, and review of NRSS/2. - Safety case variations and follow up post implementation. - Internal occurrence investigation reports and close-out. - Internal audit programme and achievement	Iain Hill Phil O'Connell
IC, MH	Occupational Health NRSS/3 implementation. Medical Standards, recruitment, transfer to safety critical work and periodic assessment procedures. Corporate oversight and current state of V&H assessment of rail personnel RMO fitness for task Support to Heritage Operators	Paul Anderson
28 June 2011		
IC, MH	Issue of bulletins. Process to make changes to the codes and rules. How risk is being managed behind this process.	Gary Hutchins
IC, MH	Freight Human Resource functions: Staff resources, rostering, hours of work. Internal training: training needs analysis, training plans, course planning, delivery.	Chris Hancock
IC, MH	Internal occurrence investigation reports and close-out.	Brent Gillett
29 June 2011		
IC, MH	KiwiRail Mechanical business unit overview: Update on BU organisation. Significant issues and projects. ISO 9001 coverage. Occurrence (accident and incident) management. Response to investigation findings and recommendations.	Lloyd Major
IC, MH	Company overview from GM Legal and Governance perspective: Rail safety legal framework KiwiRail organisation Rail Safety Responsibilities Demarcation and responsibilities for ports and sidings track and access provider/rail operator rail licences.	Karen Paterson
IC, MH	Rail Operational Risk Register.	Liam Sands
30 June 2011		
IC, JF	KRM Projects. Update on new locos and other projects.	Scott Murray Dan King (locos) Troy Marsden (IAB wgn)

IC, JF	KRM Wagons. Management of fleet. Maintenance and refurbishment. Link to wagon procurement. Review of previous NZTA assessment.	John O'Neill Theunis Botha
1 July 2011		
IC, GH	Woburn training centre general assessment of functions. Course planning, course delivery, staff records. Linkage between training prescriptions, RORP and rail safety case. Management of facility, health & safety, building WOF, safety equipment, evacuations etc	Robin Simmonds
4 July 2011		
IC, GH	Freight Operations Central Region overview	John Sargent Jeff Tremain
IC, GH	General Assessment of Wellington Terminal operations	Allan Wight Jeff Tremain
5 July 2011		
IC, GH	General Assessment of Terminal and sidings operations – Wellington, Waingawa and Masterton	Jeff Tremain Allan Wight
6 July 2011		
IC, GH	General Assessment of Terminals and sidings operations Napier/Hastings	Jeff Tremain Kim Santer
7 July 2011		
IC, GH	General Assessment of Sidings , Hatuma, Takapau . General Assessment Palmerston North Terminal.	Jeff Tremain Kim Santer Bryan Fryer Kevan Thompson Tony Langridge Brent Tom Lyons (RMTU)
8 July 2011		
IC, GH	General Assessment Palmerston North Terminal and sidings cont...	Jeff Tremain Bryan Fryer
11 July 2011		
IC, MH	General Assessment of Terminal and siding operations New Plymouth, Stratford and Whareroa	Jeff Tremain Phil O'Connell Murray Cotter
12 July 2011		
IC, MH	General Assessment of siding operations at Taumaranui and Manunui	Phil O'Connell
13 July 2011		
IC, MH	General Assessment of siding operations at WPI Karioi and Marton,	Phil O'Connell

1.9 Consultation, planning and specific issues

Consultation

A pre-assessment planning meeting was held between the NZTA, Veolia, KiwiRail Ltd, KiwiRail Network and Telarc. Rail and Maritime Transport Union (RMTU) officials accepted an invitation to attend the meeting but did not attend on the day. Requests were made for the following issues to be reviewed during this assessment:

NZTA issues

- The effectiveness of the reporting system both internally and externally (reporting to NZTA)
- The follow up on individual occurrences (i.e., the results of each investigation, the corrective action taken and the follow up)
- How these occurrences are reviewed against the hazard register & vice versa
- Trend analysis
- How is this information along with corrective actions reported to KiwiRail's Senior Management
- Progress on combined licence
- Impact this is having on maintaining separate licences - i.e. as behind the systems are slowly being merged - such as IRIS etc. Focussed at the GM levels in the first instance
- Attendance at KIC/OIC/PIC
- Change management - Hillside, Hutt workshops and Mechanical Design are at various stages of introducing project management process for different projects on the go. How are these being aligned to existing SMS requirements & processes? Especially at introduction there are nuances that don't align with previous documented practice
- Progress on 'major' JOPs etc - eg TGR where it is more complex than a standard industrial siding agreement and KRL is the lessee itself. Often delayed by KRN or KRL as being in the too hard basket
- Progress for KRL passenger since a new GM has taken the reigns
- Terminal Operations, focusing on yard derailments, maintenance and inspection. This is to include any sidings that have a direct connection to the yards e.g. Halls siding in Palmerston North.
- Locomotive engineer training and particularly random downloads

Safety Assessor Items

- Awareness level of operations' staff in regards to the requirements of the Railways Act 2005 and the company's Health & Safety programme, ie; have staff been trained in hazard identification and the management and incident reporting of hazards?
- Maintenance regime for Matangi units
- Emergency Response Plans and related practice activities

RMTU Issues

No RMTU representatives attended the planning meeting.

KiwiRail Ltd issues

- KRL wish to continue with the normal cycle of assessments.
- This will position the 2011 Ops field assessment into the Central Region (Northern done 2010, South done 2009) in addition to the Wellington based high risk activities of Metro and Mechanical Design.
- Assess how we are coming along with implementing the new medical standards at a corporate level.

These issues were reviewed throughout the assessment.

Observers to the assessment

The following Rail and Maritime Transport Union (RMTU) representatives attended this assessment as active observers. The assessors thank them for their participation.

Tom Lyons – Palmerston North Terminal - Freight
Ray Loper – Wellington Terminal – Freight
Chris McMahon – Picton Terminal - Freight

Section 2

Open conditions and recommendations identified from previous safety assessments

This section includes open conditions and recommendations raised and transferred from assessments of other licensees.

2.1 Management responsibility

Reference: 10/03 R2	
Matangi Project - Emergency Procedures	
Group / Division:	Matangi Project
Observations:	It was stated that a new emergency braking system is to be introduced on the Matangi units when they are introduced. This will give the driver the authority to make discretionary judgements on the actions necessary to address a potential or real emergency once the emergency brake alarm is tripped.
Action recommended:	The processes necessary for the train drivers to take emergency action following a brake tripping alarm must be documented and the drivers trained in the correct emergency procedures. In addition the processes for notification to the emergency authorities and other interested parties and the systems for investigation and follow up to any such events must be established.
Status	Open
Response:	<p>1. Draft procedures have been prepared for LE training.</p> <p>2. The notification process to Train Control of emergencies remains unchanged.</p> <p><i>Evidence:</i> Review at CVA with John Watson</p> <p>NZTA reviewed. Further work is required to close:</p> <p>1. Provide guidance to LE's on when to override the emergency stop alarm, and</p> <p>2. Provide guidance to Train Crews on action required when activated (establish cause and advise LE)</p>
Assessor CVA review 8 December 2010	Response noted.
Status	Open - review at 2011 assessment.
Assessment Jun/Jul 2011	During this assessment it was confirmed that Emergency Brake procedures have now been formalised and published. These have been included in the Matangi EMU Train Crew Manual.
Status	Closed.

2.2 Personnel

Reference: 08/12 C12	
Completion of Training Needs Analysis	
Non-compliance grading: M	
Group / Division:	Mechanical - AMM
Observations:	At the time of the assessment, the Training Needs Analysis for the AMM Staff was not up to date.
Action required:	The Training Needs Analysis for the AMM Staff must be completed and remain current.
Assessment March - April 2009	It was agreed in consultation with KRL that further action is required to close out this condition. KRL will provide further evidence of corrective action.
Condition Status	Open
Response:	<i>Review at 2010 Assessment.</i>

Assessment March 2010	Evidence was provided to show that progress was being made. However, the Training Needs Analysis is yet to be completed, thus the condition will remain open. To be followed up during the November 2010 CVA.
Condition Status	Open
Response:	No Response received.
Assessment Jun/Jul 2011	The Training Needs Analysis has now been addressed with the formalisation and implementation of training matrices that cover AMM staff. Staff competency levels are also well recorded within the matrices which further assists in the on going indentifying of training needs.
Condition Status	Closed

Reference: 10/03 C8		Non-compliance grading: M
Safe Work at Heights		
Group / Division:	Mechanical – Tokomaru Derailment Site	
Observations:	KRL staff at the Tokomaru derailment site of Train 210 (11 th March 2010) were observed on the following day securing lifting chains to the top of LSC containers with no form of fall prevention. While the work was relatively straightforward, given the nature of the activity and the site, even if it was not over a height of 3 metres, could possibly have resulted in a serious harm injury.	
Action required:	<p>KRL must identify - whether the hazards associated with derailment recovery operations of this type are included in its risk/hazard register, and if they are, why such works were being undertaken at variance with good safe work practice (and/or possibly regulatory requirements), and if not identified, why not.</p> <p>KRL should also investigate how, and why, such works came to be undertaken without proper precautions in place, and more importantly, what steps must be taken to prevent such practices reoccurring.</p> <p>Additionally, if it has not already done so, KRL should ensure that the above incident is recorded in its own accidents and incidents database, and reported to others as required.</p>	
Condition Status	Open	
Response:	No response received.	
Assessment Jun/Jul 2011	This matter was discussed during the assessment. It could not be ascertained during such discussion, what follow up had been conducted to date. Some priority is requested to be given to this issue and a formal response submitted as soon as possible.	
Condition Status	Open	
Response:		

Reference: 10/03 C10		Non-compliance grading: M
Health Monitoring Procedures		
Group / Division:	Corporate – Occupational Health and Safety	
Observations:	<p>The company has been carrying out hearing testing at locations and sites throughout the company but there does not seem to be defined intervals for the testing or a process to follow up on any employees who miss the designated tests because of absence or illness.</p> <p>An example was that the staff at the CT terminal at Te Rapa had not had hearing tests as yet.</p>	
Action required:	Develop a process to ensure that all staff members receive their designated health monitoring at appropriate intervals and any staff that miss the testing are followed up and testing completed.	
Condition Status	Open	
Response:	<i>Corporate Response – The KiwiRail health monitoring programme Health Checks – Active Hearts commenced April 2010 and is</i>	

	<p><i>scheduled to repeat itself 2-yearly, the schedule is by business unit in the following order (Mechanical April 2010; Passenger July 2010; Freight September 2010; Network January 2011; Corporate March 2011; Interislander July 2011 then start again April 2012) plus with NRSS3 Rail Medical Standards being introduced between July 2010 and December 2012 all rail workers will be required to have a periodic medical which includes hearing / vision testing.</i></p> <p><i>Closure requested. The process has been developed. NZTA monitor over the next 24 months until NRSS/3 is fully implemented (Dec 2012)</i></p>
Assessor CVA review 8 December 2010	Response noted and accepted.
Condition Status	Closed – review at 2011 assessment.
Assessors Comment Jun/Jul 2011	The actions detailed under the response were seen to be appropriately implemented. The ‘Predict’ system now operational. Closure confirmed.

2.3 Mechanical safety

Reference: 07/03 C5		Non-compliance grading: M
Handbrake Specifications		
Group / Division:	Mechanical	
Observations:	The technical specification for the adjustment of handbrakes is not known by operations staff, i.e., when air brakes are applied should the brake spear drop completely to the stop?	
Action required:	KRL must review the specifications for handbrake adjustment and provide visibility of the specification to operations staff to enable bad ordering of defective handbrakes.	
Response:	<p><i>1. A design study has been completed by KRL Engineering to determine how to provide positive indications of handbrake effectiveness to rail personnel.</i></p> <p><i>2. The study has initially focussed on UK class wagons which make up 33% of the wagon fleet.</i></p> <p><i>3. The study has proposed a small design change that would provide positive pressure for the operator under both air on (HBA applied over air) and air off (HBA applied when brakes bled off) situations.</i></p> <p><i>4. After making this change the result will be monitored for effectiveness while further study is conducted to determine how to improve ZH, JP and U class log wagon fleets.</i></p> <p><i>Verification: Verify with KRL Engineering (Theunis Botha) at CVA</i></p>	
CVA October 2007	Significant progress has been made on this project (particularly with the UK class wagon) However, as the project is yet to be completed on the ZH, JP and U class log wagon fleets, the condition has been down graded from a risk level M to L, but remains open.	
Status	Open	
Assessment March 2008	Further progress had been implemented. However, the documentation supporting these changes is yet to be completed.	
Assessment March – April 2009	It was agreed in consultation with KiwiRail that further action is required to close out this condition – recommendation. KRL will provide further evidence of corrective action.	
Condition Status	Open	
Response:	<i>Review at 2010 Assessment.</i>	
Assessment March 2010	<p>Progress being made with a specialist team established to develop a new methodology for the “setting of handbrakes”.</p> <p>The JPS and JPC fleets have been modified, but no work as yet on the log wagon fleet.</p> <p>This group is “less of a risk” as the wagons tend to remain in unit trains.</p> <p>It was agreed in consultation with KRL that further action is required to close out this condition. KRL to provide further evidence of corrective action.</p>	
Condition Status	Open	

<i>Response:</i>	No further response received.
Assessment Jun/Jul 2011	A draft specification document has now been published for comment and will be passed to Freight for review and comment. This progress is appreciated. The condition will remain open until such time the specification has been agreed to and is published as a formal document.
Condition Status	Open
<i>Response</i>	

Reference: 07/04 C6		Non-compliance grading: M	
Locomotive Radio Testing			
Group / Division:	Mechanical		
Observations:	KRN conduct Locomotive Radio Tests for KRL on an annual basis. Although it is KRL's responsibility to make the Locomotives available for test, KRN has a responsibility to either ensure that the testing is completed on time, or that KRL are advised if testing is overdue. During the assessment in Christchurch, it was noted that some testing of Locomotive radios was overdue - in one case up to <u>2000 days overdue</u> .		
Action required:	A process needs to be developed to: 1. improve the planning of Radio Testing 2. advise KRL of overdue tests		
<i>Response:</i>	<i>KRN's current management of Loco radios does ensure that KRL is advised of all overdue tests. The responsibility for ensuring that radios are provided for testing lies with KRL. Any non-compliance should therefore be a condition on KRL to make radios available for testing.</i>		
CVA November 2007	KRN have provided evidence via the LOCO radio database to show that the information is provided to KRL. This is now out of KRN's control, thus the condition transferred to KRL on 14 November 2007.		
Condition Status	Open		
Toll Rail Response	Nil		
Condition Status	Open		
Action required	KRL to ensure locomotives are made available for radio tests as required.		
Assessment March – April 2009	This condition was furnished to KRL shortly prior to the assessment, thus KRL did not have sufficient time to address the problem prior to this current assessment. An update will be furnished to the NZTA prior to the CVA.		
Condition Status	Open		
<i>Response:</i>	<i>Nil</i>		
Assessment March 2010	No evidence provided by KRL during 2010 Assessment to close this condition		
Condition Status	Open		
<i>Response:</i>	<i>New Tait Radio's are currently being fitted to the total loco fleet. SAP is being implemented and will include radio checks. Radio checks are currently being monitored using a spreadsheet as an interim solution until SAP is fully commissioned.</i> <i>Evidence provided:</i> <i>Email query and radio checks spreadsheet.</i> <i>Hold Open for verification at next assessment</i>		
Assessor CVA review 8 December 2010	Response noted.		
Condition Status	Open – review at 2011 assessment.		
Assessment Jun/Jul 2011	The current progress on this issue could not be ascertained at the time of this assessment. KRL are requested to submit a response in regard to the current status of this issue.		
Condition Status	Open		
<i>Response</i>			

Reference: 08/03 C3 Wagon Maintenance Strategic Plan		Non-compliance grading: M
Group / Division:	Mechanical	
Observations:	<p>Wagon wheel bearing failures are an area of concern due to derailment risk. The contract manager is having meetings with UGR and PSG on a bi-weekly basis. Discussions during these meetings mainly focus on finding the cause of issues relating to bogies, wheel sets, air leaks, bad orders ECRs & ECNs. There are a number of reasons for bearing failures discussed and these are, but not limited to:</p> <ol style="list-style-type: none"> 1. The bearing backing plate becoming detached 2. Grease escaping and causing the bearing to seize 3. Poor quality of bearing products <p>The acoustic bearing detection project was investigating the potential for acquiring acoustic measuring equipment. These devices would be located at sites within New Zealand, where a train could travel at a constant speed (somewhere between 20 & 60kph) and maintain a positive pull pressure between wagons. The device would identify the acoustic pattern of any bearing and allow for the identification of any potential bearing failure. KRL is placing its confidence in this acoustic system. At the time of this assessment the acquisition of the test equipment had not progressed and there appears to be no alternative (plan B) should this acoustic system fail to meet expectations.</p>	
Action required:	A documented strategic plan must be established to manage wagon maintenance, including wheel bearing condition, to ensure that the failure rates are improved and risks minimised and any deviation from this requirement is recorded and action taken.	
Assessment March – April 2009	It was agreed in consultation with KRL that further action is required to close out this condition KRL will provide further evidence of corrective action.	
Condition Status	Open	
Response:	<i>Restructuring has been completed to address this condition.</i>	
	<i>Evidence: Review at 2010 Assessment</i>	
Assessment March 2010	At time of assessment CE still awaiting direction from Board/Government re medium to long-term investment strategies. Until these are confirmed the finalisation of a strategic plan for wagons (both replacement and maintenance) remains in a provisional state.	
Condition Status	Open	
Response:		

Reference: 08/12 C4 Approval of Mechanical Engineering Documents		Non-compliance grading: L
Group / Division:	Mechanical	
Observations:	<p><i>The following documents were reviewed on site and found not to be correctly approved:</i></p> <ul style="list-style-type: none"> • M9338/01 issues 2 & 3 • M9338/02 issues 4 & 5 • M9337/02 issues 1-3 & 5 • M9331 issues 2 & 3 • M9346 (approved but no effective date) • M9200/25 approved 14/12/01, however was due for review by 14/12/06. <p>Note: a style change to the documentation format may have contributed to the errors.</p>	
Action required:	All mechanical codes/documents must be authorised, reviewed	

	and released in accordance with the protocols defined.
Assessment March – April 2009	It was agreed in consultation with KRL that further action is required to close out this condition. KRL will provide further evidence of corrective action.
Condition Status	Open
Response:	<i>Hold Open.</i> <i>During the assessment there were a number of documents that required review. This issue has also been raised during the AMM audit, item 8.</i> <i>The local document control process needs to be managed by the Quality Manager and reviews completed to ensure the documents meet current standards.</i>
Assessment March 2010	Each of the above documents were reviewed on the Quality Master database. It was noted that M9338/01, M9338/02, M9337/02 and M9200/25 were unchanged from the December 2008 assessment. M9331 and M9346 have been reviewed. A further review is required to close out this condition. However, it is to be noted that these documents are reportedly managed by PSG and the condition should be redirected to the PSG group. To be followed up during the November 2010 CVA.
Condition Status	Open
Response:	No response received
Assessment Jun/Jul 2011	From the discussion on this issue it was agreed that some further attention is required, in particular the document referenced in the initial observation “M9200/25” has yet to be reviewed. It is acknowledged that an electronic document control mechanism is currently being considered (MBS).
Condition Status	Open
Response:	

Reference: 10/03 C1		Non-compliance grading: L
Repetitive Fault Loco 54D - Radio Cords		
Group / Division:	Mechanical	
Observations:	Locomotive DFT7307 was inspected at Whangarei and the Loco 54D book reviewed. Twelve entries occurred between and including December 4 th 2009 and February 23 rd 2010. Of the twelve entries, five (≈ 40%) were for one fault – radio cords.	
Action required:	Five defects for the same nominal fault over a three month period would appear disproportionately high, though it must be added no similar pattern was evident in either of the two other DF class locomotives subsequently looked at. It is recommended KRMS review the data it has on DF class locomotives and determine whether the fault is 7307 specific, and if so, what steps it might take to improve its service performance, or if the defect is more widespread, what steps it can take (or has available to it) to improve this facet of its mechanical operations.	
Condition Status	Open	
Response:	No Response received.	
Assessment Jun/Jul 2011	Discussion was held on this issue. It was agreed that KRL are to submit a formal response on this matter.	
Condition Status	Open	
Response:		

Reference: 10/03 C2 Calibration System		Non Compliance Grading: M
Group / Division:	Mechanical - Hutt Workshops	
Observations:	<p>During the review of the calibration activity the following aspects were identified which collectively raises concern over the current effectiveness of the calibration system:</p> <ul style="list-style-type: none"> • 'In house' calibration records did not contain any record of reference equipment used. • Calibration record for multimeter asset #1002894 could not be located. • Calibration database records found inaccurate for a number of items of equipment. Some history records detailed the correct latest calibration date, however the system indicated the equipment calibration as expired. Specific examples asset numbers 1002894 and 1002073. 	
Action Required:	<p>A review of the calibration system be undertaken to ensure the following aspects are achieved:</p> <ul style="list-style-type: none"> • 'In house' calibration records include detail of reference equipment used. • Calibration records are readily retrievable on request. • Calibration database to maintain accurate records. 	
Condition status	Open	
Response:	<p><i>Metrology has started recording the reference to the Master used for calibration.</i></p> <p><i>The calibration dates are available on the database records and are in the files in Metrology.</i></p> <p><i>The Lotus Notes D/B is functioning correctly again and we are up to date in terms of entering the dates on which the items got tested or calibrated.</i></p> <p><i>Discrepancies in the date on the item and the system should be reduced.</i></p> <p><i>A further review has indicated the records are correct between the actual item and the database.</i></p> <p><i>Evidence:</i></p> <p><i>Verify with Trevor Rees.</i></p> <p><i>Action: Hold open for verification at next assessment.</i></p>	
Assessor CVA review 8 December 2010	Response noted.	
Condition Status	Open - review at 2011 assessment.	
Assessment Jun/Jul 2011	From the discussion on this issue, which took into account the KRM ISO 9001 audit findings (Reports 130-10-33, 131-10-013, 133-10-010) which also raised Non Conformances with regard to calibration, it was considered appropriate to close this condition as the calibration issues will be addressed under the ISO 9001 certification.	
Condition Status	Closed	

Reference: 10/03 C3 Westinghouse 26C Brake Valve Test Rack		Non Compliance Grading: M
Group / Division:	Mechanical - Hutt Workshops	
Observations:	The procedure for testing of the Hutt Workshops 26C Brake Valve Test Rack was taken from a Westinghouse procedure for a different test rack. No evidence could be produced of a sign off of the Hutt Test Rack test procedure being equivalent to the Westinghouse Test Rack test procedure.	
Action Required:	Provide a sign off for the Hutt Workshops test rack procedure including a statement that it is equivalent to the Westinghouse Test Rack Test procedure	
Condition status	Open	
Response:	<i>A test procedure for Test Rack 3665 has been written and is in the process of signoff acceptance at KiwiRail Engineering. (01/12/2010)</i>	

	<i>Evidence provided:</i> <i>Extract of Test Procedure.</i>
	<i>Action: Hold open for verification at next assessment.</i>
Assessor CVA review 8 December 2010	Response noted. Good progress has been made.
Condition Status	Open – review at 2011 assessment.
Assessment Jun/Jul 2011	Testing procedures for racks 3665, 3385 and 266L have been formalised and published. It was noted that the procedures did not include any positive reference to related test record sheets e.g. Test Rack procedure 3665 did not include any reference to test record sheet TRS-0001. Also supportive evidence that the test procedures have now actually been implemented is also required to be submitted.
Condition Status	Open
Response:	

Reference: 10/03 C4		Non Compliance Grading: M
Westinghouse Valve Test Racks Test Procedures		
Group / Division:	Mechanical - Hutt Workshops	
Observations:	Though the gauges were calibrated, there was no test procedure for testing/calibrating the test racks in the Westinghouse area apart from the 26C Brake Valve test rack.	
Action required:	Liase with the manufacturer and formulate procedures for testing and calibration of test racks in the Westinghouse Group.	
Condition status	Open	
Response:	No response received.	
Assessment Jun/Jul 2011	Test Rack procedures 3665 and 3385 include equipment gauge calibration procedures. However the following aspects require to be satisfied: <ol style="list-style-type: none"> 1. Procedures required to include positive references to relevant test record sheets. 2. Test record sheets required to include a reference to the 'master gauge' used in the calibration of the equipment test gauge. 	
Condition Status	Open	
Response:		

Reference: 10/02 C1		Non-compliance grading: M
Refuelling at AMM		
Group / Division:	Mechanical - Auckland Metro Maintenance	
Observations:	During the refuelling of Locomotive DC4254 it was noted that a considerable amount of diesel was leaking from the fuelling point onto the floor.	
Action required:	<ol style="list-style-type: none"> 1. That steps be taken to repair the leak to prevent diesel from leaking onto the floor. 2. That staff be reminded of the need to take immediate action to repair such faults. 	
Assessment March 2010	A new fuelling system is to be installed by the end of April 2010. This condition will remain open until the system has been fully commissioned.	
Condition Status	Open	
Response:	No response received.	
Assessment Jun/Jul 2011	The refuelling process is still under review. Currently work in progress. A response from KRL is requested to be submitted as soon as possible in regard to this issue.	
Condition Status	Open	
Response:		

2.4 Infrastructure

No current open conditions or recommendations.

2.5 Occurrence management

Reference: 10/03 R10 On-board Emergency/Safety equipment	
Group / Division:	Passenger
Observations:	<p>A review of emergency equipment carried on the Wairarapa Line passenger services was conducted. The following aspects were noted:</p> <ul style="list-style-type: none"> The gas mask equipment was kept in a plastic container closed up with nylon locking ties. It could not be established if the equipment is actually checked (i.e. filter expiry dates). There was no indication on the container of last check or next check due. Review of one of the first aid kits revealed the kit contained some items that were outside prescribed expiry dates (2006 expiry). No spare torch batteries were available
Action recommended:	<p>Some further review would appear to be required with regard to such emergency/safety equipment to:</p> <ol style="list-style-type: none"> Ensure first aid equipment is maintained appropriately (i.e. items maintained within prescribed expiry dates). Ensure gas mask equipment is checked on a managed periodic basis and the check status is positively identified (e.g. attach a label with next check due date to the gas mask container).
Status	Open
Response:	<p><i>First Aid Kits:</i> - Long distance Trains carry a train specific kit, the contents are identified by a list in the kit. - Metro Trains - each Train manager carries a small hand kit which includes contents. Inspections: When station and carriage checks are completed first aid kits and gas masks are checked.</p> <p><i>Gas Masks:</i> Are issued to the train.</p> <p><i>Personal Issue Items:</i> Train Managers are personally responsible for maintenance of emergency gear and first aid kits issued to them.</p> <p><i>Evidence: Verify at CVA with John Watson</i></p> <p><i>NZTA reviewed. Further work is required to close:</i> 1. Add gas mask filters (2) to check form Mis 7b & qualify check sheet requirement i.e "For Trains that operate through Kaimai, Rimutaka and Otira tunnels". 2. Add gas mask canisters (2) to operating Instructions for Onboard Staff SW Cars and control this uncontrolled document as a Rail Operating Code Supplement.</p>
Assessor CVA review 8 December 2010	Response noted.
Condition Status	Open - review at 2011 assessment.
Assessment Jun/Jul 2011	<p>Item 1 raised under the response was confirmed as having been completed.</p> <p>Emergency procedures were currently being formalised (as a Rail Operating Code Supplement). It is intended that these will address Item 2 of the response.</p>

	It is anticipated these procedures will be issued by the end of July 2011. KRL are requested to formally respond on this issue as soon as possible. The management of first aid kits still requires to be effectively implemented. The first aid kits checked on the Wellington/Masterton train still contained items outside prescribed expiry dates.
Condition Status	Open
<i>Response:</i>	

Reference: 10/02 C3		Non-compliance grading: L
Hazard Register at AMM		
Group / Division:	Mechanical - Auckland Metro Maintenance	
Observations:	It was noted that a significant number of issues included in the Hazard Register had not been addressed.	
Action Required:	The Hazard Register needs to be maintained so that issues identified are addressed in a timely manner. Recommended that the due date be recorded as part of the action. The person to whom the action is assigned should be contacted ahead of that date to ensure that appropriate follow up action is in place.	
Assessment March 2010	Insufficient time had passed since the VTAK February 2010 assessment in order for this to have been addressed.	
Condition Status	Open	
<i>Response:</i>	No Response	
Assessment Jun/Jul 2011	From discussion on this issue the AMM Hazard Register is currently being worked on and reviewed. KRL requested to submit a response on this issue as soon as possible.	
Condition Status	Open	
<i>Response</i>		

Reference: 10/02 C4		Non-compliance grading: L
Site Inspections at AMM		
Group / Division:	Mechanical - Auckland Metro Maintenance	
Observations:	While Health & Safety Site Inspections have been carried out at Westfield, and the non-conformances found have been recorded as having been entered into the Database, no applicable entries could be found in the Database.	
Action Required:	Check to ensure that identified non-conformances have been entered into the Database.	
Assessment March 2010	Insufficient time had passed since the VTAK February 2010 assessment in order for this to have been addressed.	
Condition Status	Open	
<i>Response:</i>	No Response	
Assessment Jun/Jul 2011	The progress on this issue could not be ascertained during the course of this assessment. AMM are requested to submit a response on this issue as soon as possible.	
Condition Status	Open	
<i>Response:</i>		

Reference: 10/03 C17		Non-compliance grading: M
Safety Management		
Group / Division:	Mechanical - Hutt Workshops	
Observations:	Works were being undertaken on the cab of locomotive Dc 4467 to provide cab mounts. The cab had been removed and was "on the ground". Welding was observed without any protective screens.	
Action required:	Protective screens to be positioned when all forms of welding in-progress.	
Condition Status	Open	

<i>Response:</i>	Immediate action taken to re-position nearby screens.
Condition Status	Closed A further review is recommended however in May when KiwiRail Hutt Shops has its AS/NZS ISO 9001 surveillance audit. KRL to confirm continued compliance.

2.6 Railway operations

No current open conditions or recommendations.

2.7 Interface with other operators

No current open conditions or recommendations.

2.8 Document control and systems review

Reference: 10/03 C18		Non-compliance grading: M	
Document Management/Control			
Group / Division:		Freight Operations	
Observations:	<p>Numerous Site Safety Plans, Spill Response documents, Joint Operating Plans, Hazard Registers and other subsidiary type documents observed in use at various locations and Terminals did not comply fully with a number of the stipulations identified as mandatory in NRSS/8.</p> <p>This included, but is not limited to in some cases: no approval signatures (requirement of Clause 2.1) no evidence of document status (subsidiary requirement of Clause 2.1) no page numbers and no total number of pages on each page (requirement of Clause 2.3) no effective date of issue, or the footer date of issue being at variance with the cover (or the text date) date of issue (requirement of Clause 2.3), and changes not marked (requirement of Clause 2.5)</p>		
Action required:	<p>Ensure that all documents are formatted and authorised in a standard manner to conform with the requirements of NRSS/8. An action plan (or similar mechanism) needs to be prepared to ensure documentation is brought into line with the requirements.</p>		
Condition Status	Open		
<i>Response:</i>	<p><i>The issues identify at this site have been addressed. Additionally, a national review of all documents has commenced to bring them into alignment across the business, this is a major piece of work, although not safety critical will be completed as an ongoing project monitored by National Manager HSQE over the next 12 months as each series of documents is reviewed. These reviews have been added as a SPIKE scorecard requirement.</i></p> <p><i>Evidence: Copy of Spike scorecard standing projects list.</i></p>		
Assessor CVA review 8 December 2010	Response noted. Good progress has been made.		
Condition Status	Open – review at 2011 assessment.		
Assessment Jun/Jul 2011	<p>The progress in regard to bringing document formats and authorisation of documents into a standardised process and in conformance with NRSS8 has been effective.</p> <p>Site Safety Plans and JOPs sighted through out this assessment were seen to be of a standardised format with version control, review date and document authorisation clearly detailed.</p> <p>It is considered that this level of sustained progress is sufficient to</p>		

	close this issue.
Condition Status	Closed

2.9 Risk Management

No current open conditions or recommendations.

2.10 Internal audit

No current open conditions or recommendations.

Section 3

Conditions and recommendations identified in current safety assessment

3.1 Management responsibility

Reference: 11/06 R1 Management of Occurrences	
Group/Division	Freight – Palmerston North
Observation	<p>A review of occurrence #111361 was conducted. This related to a 'Load Loss' and collision with a station platform. The occurrence status was signed off and approved.</p> <p>On further review of the related information held on the system relating to this occurrence the following aspects were identified which may require some further consideration:</p> <ul style="list-style-type: none"> From review of photographs relating to the load shift it appeared that insufficient stropping may have been used to secure the load. The investigation records did not include any reference to stropping. The severity rating category issued was 4 (this is the lowest category rating defined within NRSS 5). From discussion it appeared questionable if category 4 was appropriate given the nature of the safety risk of this occurrence.
Action recommended	<p>Freight HSE Field Manager to reopen the investigation and review for completeness including correct selection of severity rating.</p> <p>Note: To assist improvement in categorisation of occurrences, thereby clarifying the level of investigation required, the following has been recommended in the KRN assessment report:</p> <p>It is recommended a paper be prepared and presented to the NRSS Executive to better clarify, and differentiate, the boundaries of the severity codes as currently tabulated in NRSS/5 (Table 1).</p>
Status	Open
<i>Response</i>	
<i>Assessor comment (date)</i>	
<i>Status</i>	

3.2 Personnel

Reference: 11/06 C1		Non-compliance grading: Low
SMART recording of safety observations		
Group/Division	Mechanical - EMU Depot Wellington	
Observation	<p>At the Wellington EMU Depot, evidence was provided to show that requests had formally been made for the training staff to have training and access to the SMART database; however, this has not occurred.</p> <p>The result has been that alternative training records for the recording of safety observations have been developed for the EMU Maintenance Staff, and the SMART data base records for these staff is now out of date.</p>	
Action required	Safety observations and other training records must be	

	maintained in the SMART database as required by the safety system. Note: Training Managers need to be given the appropriate access rights and training to use the SMART Data base.
Condition status	Open
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence
Assessor comment (date)	
Condition status	

Reference: 11/06 R2 Review of Medical over dues	
Group/Division	Corporate - Occupational Health – Auckland HQ
Observation	During the review of the predict system, a number of overdue medicals were sighted in the administrator’s dashboard. Further investigation revealed some over dues were from Feb 2011 (e.g. Foster-Lynam).
Action recommended	Consideration should be given to monitoring the overdue medical aspects to ensure the overdue period does not extend out to a significant period.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R3 Management of renewable forklift qualification	
Group/Division	Freight - Masterton Siding
Observation	No formal mechanism could be shown to be in place to monitor the requalification of the KiwiRail Staff member at the Masterton siding with regard to fork lift operating.
Action recommended	It is recommended a formal mechanism is established to monitor the fork lift operating requalification of the KiwiRail staff member at the Masterton siding.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R4 Training – CPR	
Group / Division	Mechanical - EMU Depot Wellington
Observation	The training matrix on the wall has CPR as expiry dates (01/06/13) however when the certificates were reviewed there was no expiry date. The certificates are also titled Basic Life Support.
Action recommended	Matrix should reflect the correct name as per the certificate and updated expiry dates.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R5 Training – Fire Extinguisher	
Group / Division	Mechanical - EMU Depot Wellington
Observation	Training matrix has all personnel who completed Fire extinguisher training as expired on 11/11/10. No fire wardens nominated at the site or on the evacuation plan.
Action recommended	Fire extinguisher training for nominated personnel to be completed. Fire wardens to be nominated, adequately trained and communicated to all in the depot.
Status	Open
Response	
Assessor comment (date)	
Status	

Reference: 11/06 R6 Training – Overdue Training	
Group / Division	Mechanical - EMU Depot Wellington
Observation	There was no documented evidence to show what actions are in place to ensure that upcoming and overdue training are addressed and how this will occur.
Action recommended	Training plans and any actions determined at safety meetings should be documented so that records are maintained.
Status	Open
Response	
Assessor comment (date)	
Status	

3.3 Mechanical safety

Reference: 11/06 C2		Non-compliance grading: Medium
Matangi Acceptance Test Records – Equipment		
Group/Division	Mechanical - Passenger Engineering – Matangi Project	
Observation	From discussion of Routine Acceptance testing it was noted that the brake pressure testing is conducted once the units arrive in New Zealand. The testing equipment used for this does require to be subjected to routine calibration. It is noted that the subsequent brake test results do not include any reference to the testing equipment. Hence traceability back to calibrated test equipment cannot currently be positively achieved.	
Action required	Acceptance test records require traceability to calibrated test equipment for those characteristics that have a specified performance criterion that requires specialised equipment to determine compliance.	
Condition status	Open	
Response	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 C3		Non-compliance grading: Low
Completion of Matangi Acceptance Records		
Group/Division	Mechanical - Passenger Engineering – Matangi Project	
Observation	During the review of acceptance testing records (Matangi vehicle # 4190) it was noted that sections 30 (Pre- Despatch), 31(Exception) and 32 (Safety checklist) of the ‘Routine Acceptance checklist were not completed.	
Action required	Attention is required to ensure Routine Acceptance checklists are completed appropriately.	
Condition status	Open	
Response	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 C4		Non-compliance grading: Low
Monitoring of Non Conformance Reports		
Group/Division	Mechanical - Locomotives	
Observation	During the review of the Locomotive maintenance programme it was noted that overdue maintenance occurrences result in Non Conformance Reports being issued. Currently there is no positive management/monitoring of these reports once issued. Hence the monitoring of successful close out of the Non Conformance reports is not currently achieved. It is acknowledged that there appears to have been no significant issues arising from Non Conformance Reports not being addressed, therefore this issue has been given a ‘low’ Non-compliance grading at this time.	
Action required	A positive management/monitoring mechanism requires to be established with regard to ensuring Non Conformance Reports are addressed and closed out in a timely manner.	
Condition status	Open	
Response	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 C5		Non-compliance grading: Medium
‘A’ Check Process		
Group/Division	Mechanical - EMU Depot Wellington	
Observation	During the review of the Type A check record for vehicle # FP 4103 conducted on the 10 June 2011 the following aspects were noted: <ol style="list-style-type: none"> 1. Type A check sheet was not fully completed. 3. The use of the ‘Release from Depot’ form was unclear, although there was a form attached to the record. Subsequent discussion indicated that this release record was not to be used for Type A checks. What positive record of vehicle release after a successful 	

	<p>type A check is expected to be maintained?</p> <ol style="list-style-type: none"> 4. No work order was raised to have detonators put in the unit. 5. The unit appeared to have been put back into service without detonators. 6. During the time of the assessment (22 June 2011) the unit FP4103 was in the depot. It was ascertained that there was one canister of detonators on the unit (M2000 requires two canisters). The unit left the depot during the time of the assessment and FP4103 may only have the one canister of detonators currently on board.
Action required	The type 'A' check process requires to be reviewed to ensure the points raised in the above observation are positively addressed.
Condition status	Open
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence
Assessor comment (date)	
Condition status	

Reference: 11/06 C6		Non-compliance grading: Medium	
'D' Check Process			
Group/Division	Mechanical - EMU Depot Wellington		
Observation	The 'D' Check sheet contains a check of the Radio and PA system. In practice this check is not usually being conducted due to the staff member conducting the 'D' check not being certified to conduct the Radio and PA System check.		
Action required	A review of the 'D' Check process is required to ensure all specified checks are actually conducted by appropriately certified staff.		
Condition status	Open		
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 		
Assessor comment (date)			
Condition status			

Reference: 11/06 C7		Non-compliance grading: Medium	
Management of equipment requiring routine calibration.			
Group/Division	Mechanical - EMU Depot Wellington		
Observation	The management of inspection/test equipment is not currently positively managed. Currently there is no equipment register or calibration/inspection frequencies formalised. Hence the positive management of such equipment is not achieved. It is acknowledged that current calibration certificates for some inspection/test equipment were available.		
Action required	A positive formal equipment management process is required to be developed and implemented to ensure relevant inspection/test equipment is maintained within prescribed inspection/calibration periods.		

Condition status	Open
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence
Assessor comment (date)	
Condition status	

Reference: 11/06 C8		Non-compliance grading: Medium
Chocking wheel sets and bogies		
Group/Division	Mechanical - EMU Depot Wellington	
Observation	During the assessment at the EMU Depot, an employee was observed working on (and under) a bogie set that had not been secured into position, i.e. the wheels had not been chocked.	
Action required	Protection must be taken to ensure that rolling stock will not move unintentionally, i.e. wheel sets and bogies must be chocked.	
Condition status	Open	
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 R7	
Safety barriers in the Wellington EMU depot	
Group/Division	Mechanical - EMU Depot Wellington
Observation	Safety barriers have been erected in the Wellington EMU maintenance depot to protect staff from falling from the Matangi units should the non-platform doors open. This system is effective when the units are not connected; however when multiple units are connected, the doors on the second unit do not align with the safety barriers.
Action recommended	It is strongly recommended that the safety barriers in the Wellington EMU Depot (the new section) be extended to align with the Matangi unit doors when multiple units are connected.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R8	
Inspection of the Wheel Lathe	
Group/Division	Mechanical - Wheel Lathe - Wellington
Observation	At the time of the assessment, there was no evidence to show that the winch in the Wellington Wheel Lathe Depot had been inspected.
Action recommended	It is strongly recommended that a process be established and implemented for the regular inspection and certification of the winch in the wheel lath depot.

Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

3.4 Infrastructure

Reference: 11/06 C9		Non-compliance grading: Low
Management of Spill Kits		
Group/Division	Freight - New Plymouth Terminal	
Observation	The current Spill Response Plan (iss. 4/5/2011) contained contents detail of 'Spill Kit 1' on page 9 and then on page 12 there was a spill kit contents table for New Plymouth, Stratford and Whareroa. The actual detail of contents was different between the two lists specified. There was uncertainty in regard to what should be contained within the spill kit held at the New Plymouth Depot.	
Action required	The Spill Response Plan for the New Plymouth, Stratford and Whareroa facilities requires further clarification with regard to clearly specifying the content requirements of the spill kits held by these facilities.	
Condition status	Open	
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 C10		Non-compliance grading: Low
Building and Site Management		
Group/Division	Mechanical - EMU Depot Wellington	
Observation	During the review of the overall building and site management aspects the following were noted which require some further consideration/clarification: <ol style="list-style-type: none"> 1. Site plan be revised to include detail of hazardous substance storage locations. 2. Approved Handler qualifications require to be clarified with regard to who is currently qualified and expiry dates of such qualifications. 3. Positive management of evacuation exercises 	
Action required	The site management activities as specifically detailed in the above observation require to be addressed and formally incorporated within appropriate management/monitoring mechanisms.	
Condition status	Open	
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 R10 Management of Fire Extinguisher Inspections	
Group/Division	Freight - Wellington Terminal
Observation	During the walk through the building it was acknowledged that Fire Extinguishers checked were within current inspection period. However it was not clear if there was a positive on-going mechanism established that would ensure such inspections of Fire Extinguishers would continue to be conducted.
Action recommended	Clarify that there is an appropriate management mechanism established that will ensure Fire Extinguishers are subjected to required regular inspections.
Status	Open
Response	
Assessor comment (date)	
Status	

3.5 Accidents, incidents and other occurrences

No conditions or recommendations under this category.

3.6 Railway operations

Reference: 11/06 C11 Tranzlog downloads		Non-compliance grading: Low
Group/Division	Freight - Wellington Terminal	
Observation	It was noted that downloads from the Tranzlog systems (installed in Locomotives) are not currently able to be achieved at the Wellington Terminal. Appears to be a system error. Hence the requirement with regard to the review of random downloads from Tranzlog is not able to be achieved at this time.	
Action required	Tranzlog download system at the Wellington Freight depot requires to be restored to full functionality to enable Tranzlog downloads to be achieved and subsequently reviewed.	
Condition status	Open	
Response	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 C12 Rules Breach Tranz Metro		Non-compliance grading: Low
Group/Division	Passenger – Tranz Metro operations Wellington Station.	
Observation	On Tuesday 21 June 2011 during the course of the assessment the assessment team took the opportunity to check the first aid kits on the Wairarapa passenger service train no.1604 at Wellington Station, looking at progress on a recommendation from a previous assessment (refer to 10/03 R10). The locomotive for this service was observed approaching the carriage consist on platform 8, the TXO/pilot was sitting in the cab. The LE stopped the locomotive short of the carriages prior to coupling as per the rules. Then set back on to the carriages, the TXO/pilot remained in the cab of the locomotive during this	

	<p>movement when he should have been on the ground to check the buffers were aligned and all was safe and then calling the driver back. As it was this attempt at coupling failed and the TXO/pilot left the cab of the locomotive to complete the coupling on the second attempt. John Watson of TranzMetro Management was informed and is following up. IRIS # 112520</p>
Action required	Tranz Metro need to ensure that operational staff are aware of their safety responsibilities when coupling locomotives to carriages
Condition status	Open
<i>Response</i>	<ol style="list-style-type: none"> 1. <i>Root cause</i> 2. <i>Corrective action</i> 3. <i>Preventative action</i> 4. <i>Evidence</i>
Assessor comment (date)	
Condition status	

Reference: 11/06 C13		Non-compliance grading : Medium	
Assisting the Public			
Group/Division	Passenger – Tranz Metro Operations Wellington Station		
Observation	<p>Date 21 June 2011 Place Wellington Railway station Time ~ 15.00. While approaching the platform to catch the 15.05 Upper Hutt train two Tranz Metro staff were observed wheeling an elderly gentleman on a swivel office chair to the Upper Hutt train. A brief conversation was overheard between the two Tranz Metro staff and the on-board train staff stating the gentleman had fallen over within the confines of the station and was wanting to get off at Ava. The points of concern are:-</p> <ol style="list-style-type: none"> 1. Transporting of member of the public on a swivel office chair to the train platform. 2. If member of public could not get to the train unassisted, then should the member of public have been discouraged from travelling? <p>IRIS #112537</p>		
Action required	A review of handling injured members of the public with regard to appropriate methods of transporting injured members of the public needs to be undertaken with relevant Tranz Metro staff.		
Condition status	Open		
<i>Response</i>	<ol style="list-style-type: none"> 1. <i>Root cause</i> 2. <i>Corrective action</i> 3. <i>Preventative action</i> 4. <i>Evidence</i> 		
Assessor comment (date)			
Condition status			

Reference: 11/06 C14		Non-compliance grading : Low	
Yard Safety			
Group/Division	Freight – Lake Grassmere		
Observation	<p>Note: Transferred from an observation on the KRN assessment. While traversing through Lake Grassmere a number of transition</p>		

	heads were noted lying, randomly, about the Yard. One was noted between the main and loop, one between the 2 nd and 3 rd roads and several adjacent to the outer siding. Some had been placed neatly, and out-of-the-way, near poles or other structures.
Action required	Ensure that trip hazards are not left in positions where shunters or locomotive drivers could be placed at risk.
Status	Open
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence
Assessor comment (date)	
Status	

3.7 Interface with other operators

No conditions or recommendations under this category.

3.8 Document control and systems review

Reference: 11/06 C15		Non-compliance grading: Low
Document Control		
Group/Division	Freight - Wellington Terminal	
Observation	The Operation Plan document held in the Team Leaders office contained a number of outdated documents e.g. Hazard Summary Plan issue 9 June 2009 (yearly review is required), Environmental Manual Plan was dated 27/5/09, Site Safety Plan was dated 26 May 2010.	
Action required	The operational Plan document held in the Team Leaders office requires to be reviewed to ensure documents contained are the latest version. Also consideration needs to be given to how this document will be controlled to ensure this type of situation does not occur in the future.	
Condition status	Open	
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence 	
Assessor comment (date)		
Condition status		

Reference: 11/06 C16		Non-compliance grading: Medium
Document Control		
Group/Division	Freight - Masterton	
Observation	At Masterton, on examination of the copy of the rail operating rules & procedures (RORP) booklet it was found to have out of date sections.	
Action required	Ensure RORP booklet is reviewed and updated as necessary.	
Condition status	Open	
<i>Response</i>	<ol style="list-style-type: none"> 1. Root cause 	

	<p>2. <i>Corrective action</i></p> <p>3. <i>Preventative action</i></p> <p>4. <i>Evidence</i></p>
Assessor comment (date)	
Condition status	

Reference: 11/06 C17		Non-compliance grading: Low
Document Control		
Group/Division	Passenger - TranzMetro operations	
Observation	During the review of documentation held at the Porirua station it was noted that an outdated Hazard register (Sept 2007) and Hazard Report form HM2 (March 2002) were held.	
Action required	Latest version of Hazard Register and Hazard Report forms require to be held at Porirua station.	
Condition status	Open	
<i>Response</i>	<p>1. <i>Root cause</i></p> <p>2. <i>Corrective action</i></p> <p>3. <i>Preventative action</i></p> <p>4. <i>Evidence</i></p>	
Assessor comment (date)		
Condition status		

Reference: 11/06 R11	
Document Control	
Group/Division	Corporate
Observation	<p>During the assessment of KRL facilities it was noted that the following policy statements detailed an issue date of April 2009.</p> <ul style="list-style-type: none"> • Respectful Culture • Smoke Free • Rehabilitation <p>The current practice appears to be that such policy statements are reviewed within two years.</p>
Action recommended	The practice of reviewing Policy Statements within a two year period requires to be effectively implemented.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R12	
Issue of Bulletins	
Group/Division	Freight - HSQE Auckland HQ - Issue of Bulletins
Observation	<p>The actual related processes with regard to issuing of bulletins were confirmed as being satisfactorily formalised. However from the review of actual current bulletins in effect and related lists (daily list of bulletins) and associated bulletin registers (list of bulletins issued held on HSQE drive) the following instances were noted which indicate some further attention is required with regard to the effective implementation of this activity. From the review of the daily bulletin list issued to terminals (28/6/11) it was noted that bulletin # 188 (Theory Assessment extension) did not have the expiry date recorded in the appropriate column contained on the daily bulletin list. On</p>

	<p>reading of the actual bulletin an expiry date of the 30 June 2011 was detailed.</p> <p>During the review of the register of bulletins held on the HSQE's drive bulletin #418 (Log bolsters) recorded an expiry date of 31/7/11. However when reviewing the daily bulletin issue list bulletin #418 was not shown. Further investigation revealed bulletin #418 had been subsequently superseded by bulletin #431 which was recorded on the daily bulletin issue list along with the relevant expiry date of 31/7/11. It is acknowledged that the bulletin register held on the HSQE drive was updated at the time of the audit to reflect that bulletin #418 had been superseded by #431.</p>
Action recommended	<p>Some further attention appears to be required to ensure the management of bulletin lists and associated registers is effectively achieved:</p> <ul style="list-style-type: none"> • Ensure daily bulletin lists are appropriately completed (expiry dates recorded). • Bulletin register/list held on HQSE drive is maintained up to date.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R13	
Document Control – Site Safety Plan	
Group/Division	Freight - Wellington Terminal
Observation	The current Site Safety Plan diagram displayed does not appear to be encompassed under a document control system i.e. no version control detailed. It was also noted there was no reference to the Site Safety Plan diagram within the Site Safety Plan Manual.
Action recommended	Site Safety Plan diagram requires to be encompassed under the document control system. Also it would appear appropriate to reference the Site Safety Plan diagram in the Site Safety Plan Manual.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R14	
Document Control	
Group/Division	Freight - Napier Terminal
Observation	During the walk through the operations room a number of outdated documents were sighted in a bookcase, these included: Napier Area Section Manual (issued in 1999) and Environmental Care Handbook H&S Guide C101. These documents were not positively identified as being superseded.
Action recommended	Remove these outdated documents from the operational area or positively identify the documents as superseded.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

Reference: 11/06 R15	
JOP formatting and review	
Group/Division	Freight - Palmerston North Terminal
Observation	The JOPs relevant to this depot were reviewed, all JOPs were

	current. It was noted that the review periods varied; specific examples Pahiatua Rail Car (iss. May 2011) stated review period was 3 years and Fielding & Districts Steam Railway Society (iss.22/2/11) stated a review period of 10 years. This compares to Port Taranaki JOP (iss.13/5/2011) seen at New Plymouth which stated review period was 5 years. The JOPs also used differing document formatting. From reviews of other JOPs sighted in various facilities it appeared that there is a standard JOP document format available.
Action recommended	Consideration could be given to ensuring the formal JOP document template is utilised, also if practical standardise the review period frequencies.
Status	Open
<i>Response</i>	

Reference: 11/06 R16 Charter Checklist	
Group/Division	Passenger - Charter and Heritage
Observation	The current checklist format includes some aspects which were no longer applicable, these were – private carriage certification, private locomotive and Uc certification and fire permit. These are now all completed by the rail operator and KiwiRail Network. It was also noted that the checklist did not have any positive version control detailed.
Action recommended	It is recommended the checklist should be updated to reference relevant current significant aspects of the charter event arrangement (e.g. operational plan). The checklist should also include positive version control.
Status	Open
<i>Response</i>	
Assessor comment (date)	
Status	

3.9 Risk management

No conditions or recommendations under this category.

3.10 Internal audit

No conditions or recommendations under this category.

Section 4

Observations relating to other licensees and/or interested parties

The observations in this section of the report relate to other licensees and/or interested parties. It is the responsibility of the NZTA to determine the action to be taken (i.e should the observation be passed on the other operator/interested party and what follow up action is to be taken.

The observations below should be directed to KiwiRail Network.

Reference: 11/06 O1	
Spiking of points – Hatuma Siding	
Group/Division	KRN
Observation	During the walkthrough of the Hatuma siding it was noted that a set of points that are not required to be operational at the siding had not been ‘spiked’. It is acknowledged a ‘155’ was going to be raised in regard to this matter.
Action required	All non operational points at the Hatuma siding requires to be appropriately locked out of action (i.e. ‘spiked’).
Condition status	
Response	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence
Assessor comment (date)	
Condition status	

Reference: 11/06 O2	
Track Machine protection	
Group/Division	KRN
Observation	Track Machine ETM 268 was sighted parked up at the Whareroa yard with out appropriate protection as prescribed under rule 909B (rule 914U also refers). Only a stop sign had been placed on the front end of the machine. The Person in Charge of the Track Machine Group from KRN has a responsibility to ensure that track machines are correctly protected when being stabled. This incident was promptly raised in the IRIS system.
Action required	Track Equipment that is parked up requires to be appropriately protected as required under Rule 909B (rule 914 u also refers,
Condition status	Open
Response	<ol style="list-style-type: none"> 1. Root cause 2. Corrective action 3. Preventative action 4. Evidence
Assessor comment (date)	
Condition status	

Reference: 11/06 O3 Building Warrant of Fitness	
Group/Division	KRN – Property - Wellington Terminal Buildings
Observation	<p>During the overall review of the building management aspects it was noted that the latest Building Warrant of Fitness (BWF) was August 2010. From further discussion it was indicated that the building did not require a BWF. However positive evidence to substantiate this claim could not be located during the assessment.</p> <p>Note: This item was originally listed in the KRL report as recommendation 11/06 R9, but more correctly sits with KRN to resolve and advise.</p>
Action recommended	The requirement with regard to whether the building currently used by the Terminal Manager, Team Leader and Operational Staff requires to be clarified.
Status	Open
Response	
Assessor comment (date)	
Status	

Section 5

Operator response

The findings in this report have been discussed at the exit meeting with KiwiRail Limited representatives.

I consulted on my draft report with KiwiRail Ltd and representatives of the rail personnel, and have incorporated necessary changes into the report.

A response to the findings is expected from KiwiRail Ltd on or before **31 October 2011**.

The operator is to enter their response into the applicable sections in the Condition and Safety Recommendation boxes in this report, and provide documented evidence to the assessor (and the NZTA if appropriate) to support those responses. This must be done in compliance with the following section 6 information regarding addressing the report findings.

It is the responsibility of the licence holder to distribute this report to interested parties within its organisation.

Section 6

Guide to this report

Assessment findings

The assessment findings detailed in this report can fall into one of three broad categories: Conditions, Safety Recommendations and Observations.

Conditions

Conditions are findings of non-compliance which may arise in one of two ways. Firstly, the safety system procedures may meet the requirements of the Act but are not being implemented and complied with in practice. Secondly, the organisation's procedures may not conform to the Act's requirements – even though those documented procedures may be being followed.

Conditions, indicated by a [C] code, are given either a High, Medium or Low rating and are included in the Safety System Rating calculation (refer section 1.7).

The rating of Conditions is based on the following definitions:

- **HIGH:** a significant risk of death or serious injury and/or damage to property or equipment currently exists.
- **MEDIUM** an identified safety critical risk that if not addressed could result in serious injury, death and or significant damage to property or equipment.
- **LOW** an identified safety risk that is unlikely to result death, serious injury or significant damage to property or equipment.

However if a condition is not addressed in a timely manner, or re-occurs at a subsequent assessment, the assessor may see fit to raise the rating at the next assessment drawing attention to the need for continual compliance with the Act and the licence holder's safety case.

Recommendations

Recommendations are actions that the organisation is strongly urged to implement in the interests of good safety management practice but are not considered non-compliances and are not included in the safety rating calculation. Recommendations are indicated by an [R] code.

Observations

Observations are either Conditions or Recommendations that are applicable to another rail participant but need to be identified for follow up. It is not necessarily expected that the organisation being assessed address these observations, as they will be reviewed, managed and passed on by the NZTA to the parties concerned. Observations are indicated by an [O] code.

Report referencing format

All Conditions, Recommendations and Observation are given a prefix unique to the assessment period by year and month (e.g. August 2010 = 10/08). These items are sequentially numbered in the form "10/08 C4" (Condition No. 4 identified in the assessment of August 2010). This identification system must be used when referring to Conditions, Safety Recommendations and Observations in all correspondence relating to this report.

Addressing report findings

Conditions (non-compliances) must be responded to by the rail licence holder with either evidence of completed corrective action taken, or with an acceptable corrective action plan, to modify behaviour to match the complying process, or to improve the system to meet the requirements of the Act. Recommendations must be responded to as either accepted or rejected with reasons given. If accepted, the proposed plan of action needs to be included in the response.

It is essential conditions are managed and addressed to prevent recurrence. Therefore a four phase process must be implemented as follows:

1. Identify the root cause
 - Identify what went wrong that resulted in the condition being raised.
2. Establish a corrective action
 - What has been done to correct the non-compliance
3. Establish a preventative action
 - What system/procedure has been put in place to prevent recurrence of this non-compliance
4. Provide evidence
 - Provide evidence to the assessor that the condition has been adequately addressed.
 - Assessors will follow up with organisations to ensure that this is done correctly.

It is important to realise that a root cause is not 'X' was away/unavailable. The root cause is an underlying system issue that needs to be addressed in order to cope or manage such absences for example.

Each stage of the process must be evident in the documented response. If these stages of condition closure are not addressed effectively, neither the assessor nor the NZTA will accept the condition for closure.

Report Ends