# ALBERTA INDUSTRIAL RAILWAY AUDIT

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Company Name:** | | Choose an item. | | | | | | |
| **Address:** | | Choose an item. | | | | | | |
| **Railway Operating Approval Expiry Date:** | | | |  | | | | |
| **Railway Category:** | | Choose an item. | | | | | | |
| **Auditor Name(s):** | |  | | | | | | |
| **Phone:** | |  | | | |  | |  |
| **Email:** | |  | | | |  | |  |
| **Auditor Certification attached:** | | | Choose an item. | | | | | |
| **Audit Date(s):** | **Start:** Click here to enter a date.  **End:** Click here to enter a date. | | | | | | | |
| **Audit Type:** | Choose an item. | | | | | |  | |
|  |  |  | | |  | |  | |

|  |  | **AUDIT REQUIREMENT** | **YES/NO N/A** | **AUDIT OBSERVATION** |
| --- | --- | --- | --- | --- |
| **A.1** | **D** | Is there a written Policy that contains a requirement to comply with applicable Legislation? | Select. |  |
| **A.2** | **D** | Which of the following railway safety initiatives have been implemented?   1. Regular safety meetings | Select. |  |
| 1. Tail gate meetings | Select. |  |
| 1. Permits | Select. |  |
| 1. Railway contractor orientations | Select. |  |
| 1. Safety advisory bulletins | Select. |  |
| 1. Other | Select. |  |
| **A.3** | **D** | Have railway incident targets been identified? | Select. |  |
| **B.1** | **D** | Has an organizational chart or comparable document been developed that outlines the positions responsible for the railway operations? | Select. |  |
| **C.1 K** | **DI** | Are the following involved in the development and annual review of the safety management system (SMS) including the general operating instructions (GOI)?   1. Managers | Select. |  |
| 1. Railway workers | Select. |  |
| **C.2 K** | **D** | Is the GOI current and applicable to the operation? | Select. |  |
| **C.3 K** | **I** | Is the GOI readily available to affected workers? | Select. |  |
| 1. Are railway workers knowledgeable about the GOI? | Select. |  |
| **C.4 K** | **D** | Are amendments to the GOI communicated to workers? | Select. |  |
| **C.5 K** | **D** | Is there a system in place whereby management ensures ongoing compliance with the company’s GOI? | Select. |  |
| **C.6** | **D** | Is there a system in place to ensure:   1. Railway safety deficiencies are identified, and corrective action implemented? | Select. |  |
| 1. Railway safety issues are communicated to workers? | Select. |  |
| **D.1** | **D** | Have industrial railway risk assessments been conducted? | Select. |  |
| **D.2** | **D** | Are identified risks controlled? | Select. |  |
| **D.3** | **D** | Have the risk assessments been reviewed when changes to the operation are implemented? | Select. |  |
| **F.1** | **D** | Has a formal industrial railway training program been developed / identified for employee use? | Select. |  |
| **F.2 K** | **DI** | Are employees given training that includes railway operations?  (Training should include the company GOI) | Select. |  |
| **F.3** | **D** | Has the frequency for verifying employee competency been met? | Select. |  |
| **F.4** | **D** | Are competency records maintained? | Select. |  |
| **F.5** | **D** | Are instructor qualifications maintained as per legislation?  (Must achieve:   1. overall training mark of 90%, 2. minimum 1-year service as transfer hostler, or  minimum 2-years experience as locomotive engineer 3. 3-months experience at current facility) | Select. |  |
| **G.1** | **D** | Have monthly track inspections been conducted? (Inspections must include turnouts, if applicable) (Verify that Alberta Transportation Inspection forms are used) | Select. |  |
|  | 1. Are reports maintained? | Select. |  |
|  | 1. Are deficiencies noted? | Select. |  |
| **DO** | 1. Are corrective actions identified and followed up on? (conduct on-site observations with competent track inspector to verify conditions match previous month’s track inspection findings) | Select. |  |
| **D** | 1. Are inspection reports reviewed and signed off? | Select. |  |
| **G.2** | **D** | Is there a process in place to ensure track inspectors are qualified to inspect track?  (Must include a process for employees and a pre-qualification process for contractors, where applicable) | Select. |  |
| **G.3** | **D** | Are processes in place to identify internal track defects? (e.g. walking the rail with a mirror looking for head separation, cracking, rust) | Select. |  |
| **G.4** | **D** | Engine Operation - RCM   1. Is a copy of the manufacturer’s RCM maintenance manual retained onsite? | Select. |  |
|  | 1. Is a preventative maintenance program in place? | Select. |  |
|  | 1. Does the preventative maintenance program include testing the parking brake hydro-lock every 500 hours? | Select. |  |
|  | 1. Are maintenance records up to date and maintained in an RCM maintenance logbook? | Select. |  |
| **DO** | 1. Are deficiencies identified and corrective action implemented? (conduct RCM observations with competent RCM inspector (or visually inspect with an RCM operator) to verify conditions match logbook findings) | Select. |  |
| **D** | 1. Has a wheel measurement program been implemented? | Select. |  |
|  | 1. Are pre-use inspections checks conducted?  (must include brake systems, hand brake, headlights, oscillating lamps, running gear, safety control equipment, any apparent hazards) | Select. |  |
| **G.5** | **D** | Engine Operation - Locomotive   1. Has the annual locomotive inspection been conducted / scheduled? | Select. |  |
|  | 1. Are 92-day locomotive inspections conducted? | Select. |  |
|  | 1. Are 45-day locomotive safety inspections conducted? | Select. |  |
|  | 1. Is a preventative maintenance program in place? (Must include clean, oil, test, and stencil (COTS) program, brake rigging and shoes, side bearings) | Select. |  |
| **DO** | 1. Are deficiencies identified and corrective action implemented?   (conduct locomotive observations with competent locomotive inspector (or visually inspect with a locomotive operator) to verify conditions match inspection findings) | Select. |  |
| **D** | 1. Has a wheel measurement program been implemented? | Select. |  |
|  | 1. Have procedures been developed to test the reset locomotive safety control system? | Select. |  |
|  | 1. Are pre-use inspections checks conducted?  (Must include brake systems, hand brake, headlights, audible warning devices, running gear, flagging equipment, any apparent hazards)? | Select. |  |
| **G.6** | **D** | Is there a written inspection process that requires visual inspection of rolling stock? | Select. |  |
| **G.7** | **D** | For sites where dangerous goods (DG) with any classification are transferred, is there a written transfer of dangerous goods (DG) process in place? | Select. |  |
| Does the transfer of DG process require:   1. A DG compliant blue flag or sign in place during transfer? | Select. |  |
| 1. A locked derail, positioned to derail a railway car into a safe location? | Select. |  |
| 1. The derail lock to be controlled by the facility? | Select. |  |
| 1. A compliant derail sign in place? | Select. |  |
| 1. Wheels on the railcar to be blocked/chocked in both directions during loading/unloading procedures, as follows?  |  |  | | --- | --- | | 1 Car | For a 1 or 2 car coupled string | | 2 Cars | For a 3 to 9 car coupled string | | +1 Car | For every block of 10 cars (or less) in excess of the first 9 cars coupled to a string, including the 1st and last cars of the string | | Select. |  |
| 1. Handbrakes to be applied as per company policy and in compliance with regulation, as follows?  |  |  |  |  |  | | --- | --- | --- | --- | --- | | # of Cars | 1-2 | 3-19 | 20-29 | 30-39 | | Handbrakes | 1 | 2 | 3 | 4 | | Select. |  |
| 1. A compliant fire extinguisher to be available? | Select. |  |
| 1. The site to be free of debris and excess vegetation (i.e. within 25 feet of a loading rack)? | Select. |  |
| **G.8** | **D** | Is there a system in place for monitoring unintentional release of DG during loading/unloading? | Select. |  |
| **G.9** | **D** | Is there a process to ground rolling stock during transfer?  (Required for Dangerous Goods sites with Primary or Subsidiary Classification of 2.1, 3, 4 or 5) | Select. |  |
| **G.10** | **DO** | Where grounding is difficult to implement due to local conditions, have additional safety measures been taken? (Additional measures include installation of insulated rail joints in the piping system, additional ground rods, or additional bonds between the piping system and the rolling stock) | Select. |  |
| **G.11** | **D** | Are ground (earth resistance) tests conducted every 2 years, at a minimum, and records maintained? (Required for Dangerous Goods sites with Primary or Subsidiary Classification of 2.1, 3, 4 or 5) | Select. |  |
| 1. Are ground wires and clamps inspected periodically? | Select. |  |
| **G.12** | **DO** | Non-Automated Crossings (within an industrial yard)   1. Are inspections conducted to verify the condition of cross bucks, cross buck posts, stop signs, stop signposts, crossing planks and flange ways? | Select. |  |
| 1. Has signage been installed to indicate multiple tracks, where applicable? | Select. |  |
| 1. Have sightline issues been identified, where applicable? | Select. |  |
| **H.1**  **I** | **DI** | Is there a written incident investigation process which requires:   1. Immediate telephone reporting of all incidents involving track and rolling stock to the Coordination and Information Centre (CIC)? | Select. |  |
|  | 1. Written reporting of all railway incidents involving track and rolling stock to the Railway Administrator? | Select. |  |
|  | 1. Investigation of all rail incidents for cause? (only applicable where the company is at fault) | Select. |  |
| **H.2** | **DI** | Are corrective actions taken to prevent recurrence? (Verify actions taken are effective at preventing recurrence) | Select. |  |
| **H.3** | **DI** | Are incident investigation results communicated to employees? | Select. |  |
| **H.4** | **DI** | Are the following involved in incident investigations?   1. Supervisors? | Select. |  |
| 1. Railway workers? | Select. |  |
| **H.5** | **DI** | Have the persons investigating incidents been trained in incident investigation and cause analysis techniques? | Select. |  |
| **I.1** | **DI** | Does the emergency response plan at the site include response to potential railway related emergencies? | Select. |  |
| **I.2** | **DI** | Are employees given emergency response training appropriate to their individual responsibilities? | Select. |  |
| **I.3** | **DI** | Is emergency response information, including emergency phone numbers, current and readily available? | Select. |  |
| **J.1** | **D** | Are records pertaining to legislated industrial railway processes kept for a minimum 3-year period to allow for an ongoing evaluation of the processes? | Select. |  |
| **L.1** | **D** | Have medical fitness for duty assessments been conducted for positions critical to safe industrial railway operations? (Conducted every 5 years until age 40 and then every 3 years, if applicable) | Select. |  |