

Engineering Document Control

EGP-01-01

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3.0	23 Dec 21	All	Inclusion of Route Access, Network Information and Network Rules and approval by relevant manager. Clarification of roles for business unit endorsement. Expansion of consultation and implementation requirements.
3.1	25 Oct 22	Various	Update to reflect updated organisation structure Added professional engineering requirements

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1 Introduction

1.1 Purpose

The purpose of this Procedure is to provide guidelines for the preparation, registration, accessing and approval of documents managed by Engineering and Operations Standards.

This Procedure also details the steps to be taken for implementing changes to approved, or preparation of new documents.

1.2 Scope

This Procedure applies all documents owned and managed by Engineering and Operations Standards, including;

- Engineering Documents
- Route Standards
- Operations Standards
- Network Rules
- Network Information
- New Equipment & System Approvals

1.3 Procedure Owner

The Head of Engineering Standards is the Procedure Owner and is the initial point of contact for all queries relating to this Procedure.

1.4 Responsibilities

Responsibilities for the preparation, review, endorsement and approval of documents are outlined in Appendix A Standards Documentation Responsibilities.

1.5 Reference Documents

1.5.1 Australian Standards

- AS 7472 - Railway Operations - Management of Change

1.5.2 ARTC Documents

- RSK-PR-001 Risk Management
- SYS-PR-001 Records Management Procedure
- EGP0101F-02 Engineering Document Change Approval (EDCA) Form
- EGP-21-01 New Equipment & System Approvals
- EGH-01-02 Guideline for the preparation of Implementation Plans
- OGP-30-01 Route Access Condition Notices
- OGP-30-02 Network Information Books
- ARTC Safety Management System (SMS).

1.5.3 External Documents

- Preparation of a Rail Safety Management System Guideline – Office of the National Rail Safety Regulator
- Rail Safety National Law National Regulations: Division 4 – Network Rules

1.6 Definitions

The following terms are used within this document:

Term	Description
Codes of Practice	A consolidation of Standards, Procedures, and guidelines.
Engineering Documents	Documents containing engineering information. This may Standards, Specifications, Procedures, Instructions etc. Typically, these documents will have document numbers starting with 'E'
Network Rules	The rules, systems and procedures relating to railway operations established or adopted by a rail infrastructure manager to ensure the safety of the manager's railway operations
Network Information	Infrastructure and operational information with track diagrams aligned with each of the relevant Network Control Centre Boards. Includes Network Information Books (NIB), NIB Diagrams and Line Diagrams.
New Equipment & System Approvals	New equipment and systems to be introduced into the ARTC network are managed in accordance with the new equipment & system approvals procedure. They are also known as type approvals.
Route Standards	The terms and conditions upon which access is granted to the ARTC network are specified in an Access Agreement negotiated between ARTC and the Operator.
Stakeholder	An entity that has an interest in the ARTC Standards documentation and can include, but is not limited to, Standards department; Other ARTC departments; Rolling Stock Operators; Alliance Partners; Track Owners or Lessees; Rail Infrastructure Managers, Other relevant Government Departments and Statutory Bodies.
Version	Issue – an alpha or numeric index indicating the stage of development of a document Revision – A number indicating the change status of a document within an issue

2 Document Format

Documents managed by Engineering and Operations Standards are to be formatted as per the supplied template when the document is requested. Where no format is supplied they shall be as per the corporate ARTC Procedure Template.

2.1 Cover page

All Standards documents are to have a cover page which clearly states the title, version and number of the document.

2.2 Document Status and Amendment Record

All Standards documents and supporting documents are to include:

- Document Status indicating the document version (issue and revision), date of version and the relevant authorities for preparation, review, endorsement and approval
- Document Amendment Record which clearly identifies the current version (issue and revision), date of change and outline of the nature of amendment.

2.3 Version Status

The following alpha-numeric indices are to be used for identifying the various stages of Draft, Preliminary, Final, Amended and Reissued documents.

Draft	Revision A.xx
Preliminary	Revision B.xx
First Issue	Version 1.0
Amendment 1	Version 1.1
Amendment 2	Version 1.2
Reissue	Version 2.0

2.4 Headers and Footers

Headers and footers are to be used on each page to include the title and number of the document, the version of the document, date of last revision, page numbers and “This document is uncontrolled when printed.”

3 Document Control

3.1 Endorsement and Approval

The responsible roles for document endorsement and approval are detailed in Appendix A Standards Documentation Responsibilities.

Document approval shall include ensuring that documents are constructed in a manner such that they can be easily understood.

It is the responsibility of the responsible manager to ensure requirements of Regulators relating to the notification of changes to documents are complied with.

3.2 Approved Documents

Approved documents are available electronically to all ARTC staff and external parties via the ARTC extranet and customer pages. Internal only documents are available to ARTC staff via Connect. Controlled hard copies are not issued and printed copies are uncontrolled.

The master copy will be held and maintained by the Standards & Procedures Administrator except for NIB's, which are held and maintained by the Configuration Management Administrator.

3.3 Registration

All approved engineering documents are to be registered on the Master Engineering Document Register.

All approved new equipment & system approvals are to be registered on the New Equipment & System Approval Register.

3.4 Notification

3.4.1 Engineering Documents

Notification of every new or changed document or supporting document should be sent by the Standards & Procedures Administrator by global email to relevant stakeholders on the relevant distribution list. This will include the document number, name, a brief description of the change and the location of the approved document. A soft copy of the email notification will be saved by the Standards & Procedures Administrator. The responsibility lies with individual stakeholders to periodically check the appropriate source pages for the most recent published versions of documents.

The distribution lists are maintained by the Standards & Procedures Administrator. This forms the basis of Standards Groups in Outlook which are used for the email notifications. Standards Groups are sorted into engineering discipline.

3.4.2 Route Standards

Route Access Condition Notices are distributed as per OGP-30-01

3.4.3 Network Rules

Network Rule changes are published externally and communicated through the issue of a SAFE Notice (NSW) and Train Notice (SA/Vic/WA) at least 28 day prior to the change.

3.4.4 Network Information

Network Information is notified and published as per OGP-30-02

3.5 Drafts

When ready for stakeholder review, unapproved engineering/network rule documents and supporting documents will be made available to stakeholders through the appropriate means of consultation as per 4.4.

Stakeholder review for draft updated Network Information is as per OGP-30-02.

Documents in draft may note their revision number in letter format as the document progresses to indicated changes in draft versions.

3.6 Reporting

The Head of Engineering Standards is to provide a monthly summary report to advise the Operational Safety & Environment Review Committee (OSERC) each month of documents approved in accordance with Appendix A during the previous month.

The Head of Operations Standards, is also to provide a monthly summary report of Priority Rule Changes in review.

4 Engineering Document Change Process

4.1 Change Classification

A change is classified as Class I if the change creates significant changes to current requirements to the extent that adjustment will be required by the end user. A change will typically be classified as Class I if it creates any more than negligible change for any of the following:

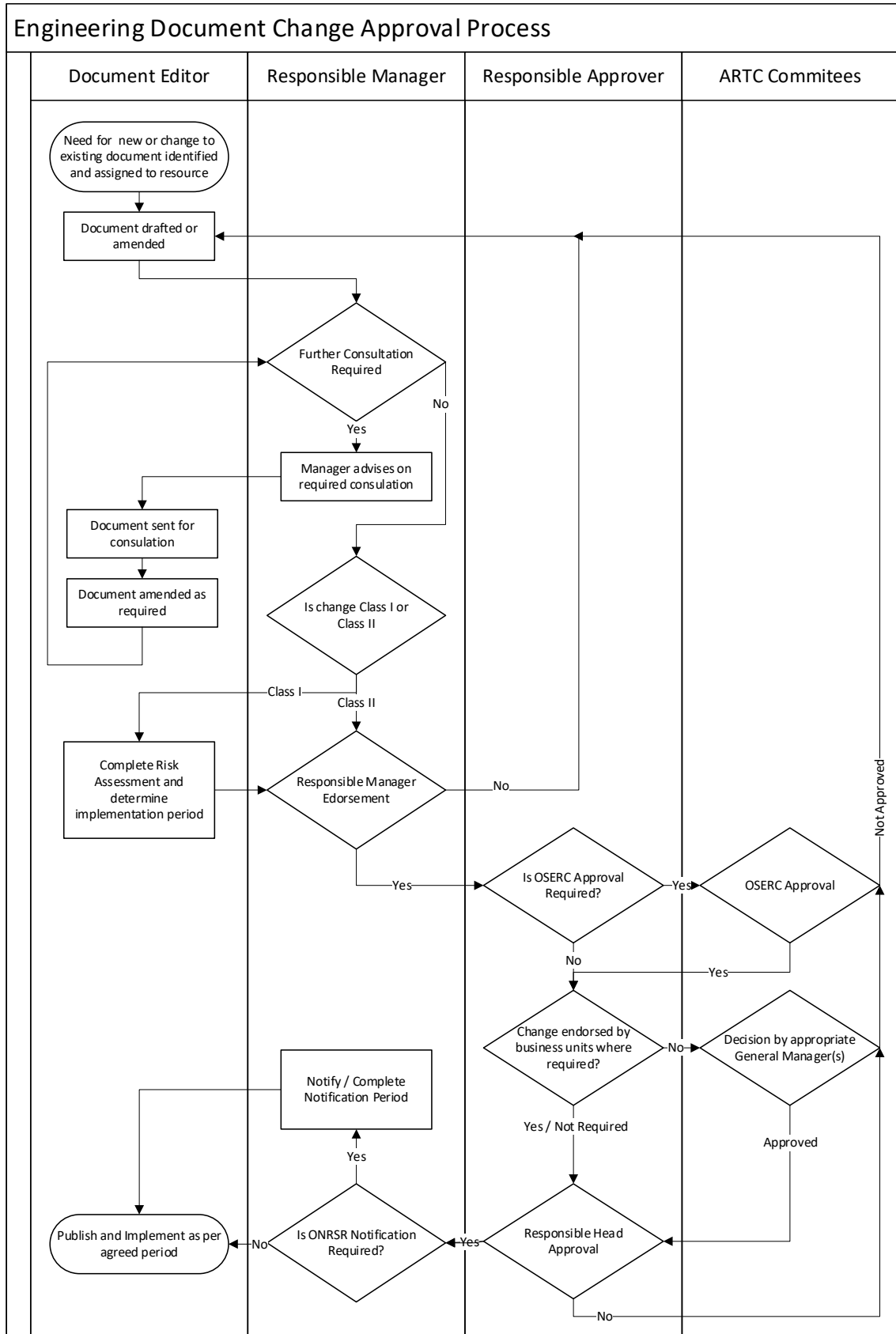
- Performance;
- Risk profile;
- Stakeholder costs;
- Reliability and maintainability;
- Service life;
- Interface characteristics;
- Operations
- Electromagnetic characteristics;
- Delivered operation or maintenance manuals;
- Skills, resources, training or human engineering design.

Otherwise, the change is classified as a Class II change. Class II changes to documents are classified as:

- Editorial changes or corrections to spelling, formatting or position titles.
- Consequential changes resulting from updates to related documents;
- Changes involving negligible impact on ARTC or stakeholder costs, risk profiles, or resource requirements.
- Changes that would be considered Class I but have already been accepted by an alternate process (e.g. audit actions, business decision papers, updates to Network Information in line with SAFE Notices etc.)

4.2 Flowchart

The following flowchart summarises the engineering document change process. Refer to Step by Step procedure 4.3 for a more detailed step by step description of the process.



4.3 Step by Step procedure

The following steps shall be followed for all proposed changes:

1. When there is a need for new or change of existing document the document editor will contact the Standards & Procedures Administrator to request access to the document master copies
2. The Standards & Procedures Administrator may confirm with the responsible manager that the document should be checked out. Once this confirmation is received the Standards & Procedures Administrator will provide the appropriate documents to progress the change, this will include
 - Provisional document number and template (for new document)
 - Master copies of documents (for existing documents)
 - Issue register (for existing documents)
 - EDCA Number
 - Type Approval Number (for new type equipment approvals)

The Standards & Procedures Administrator will record that an existing document is booked out for amendment. A unique number is allocated to each EDCA and recorded on the EDCA Register.

Note: For network information the Configuration Management Administrator holds the master copies and may also be the responsible editor. Network Information is updated in line with the requirements of OGP-30-02

3. The document editor will make updates to the document as required using track changes and advise the responsible manager when complete.
4. The responsible manager will evaluate the scope of the change and advise if consultation is required and to what extent.

Note: Changes to network rules require both internal and external consultation

5. The document editor will review the consultation feedback and respond accordingly, making any appropriate changes to the document. Depending on the amount and nature of changes the document may require additional consultation after being updated, this is at the discretion of the responsible manager.
6. The Responsible Manager will evaluate if the change Class I or Class II
 - Class I changes progress as per 4.3.1
 - Class II changes progress as per 4.3.2

4.3.1 Class I Changes

Following completion of Steps 1 to 6

7. The document editor undertakes a risk assessment, including all impacted parties and relevant discipline subject matter experts, on the proposed changes as per RSK-WI-001. In addition to the risks posed by the change the assessment must evaluate the risk that the change is not observed by the end user, this shall inform the appropriate implementation period and communications. Once completed this information is returned to the Standards & Procedures Administrator,
8. The Standards & Procedures Administrator will package the document for endorsement and approval, this will include
 - o The proposed document(s)
 - o EDCA Form
 - o Risk Assessments
 - o Records of consultation
 - o Any other supporting information
9. The responsible manager shall review the changes for endorsement and advise the Standards & Procedures Administrator if the change is notifiable to ONRSR.
 - a. The responsible manager shall determine if the change requires a review by a registered professional engineer. Where the responsible manager is competent in the area of practice they may undertake the review themselves. The professional engineer does not have to independent to the document update.

Note: If the change is rejected the process reverts to Step 2.

10. The proposed changes are then sent to the appropriate business unit endorsers for endorsement. Endorsement is only required by representatives from the affect business units.

Notes: These approvers vary based on document discipline and are covered in Appendix A.
If the change is rejected it shall be returned to the responsible manager to determine how to proceed.

11. The responsible approver reviews the change to determine:
 - b. If the change has been acceptably managed, consulted and risk assessed
 - c. If the change requires OSERC approval
 - d. If the change has been accepted by the appropriate business unit endorsers, where required

Notes: OSERC approval is required for changes scored as a high risk and for all changes to rules.

Changes not endorsed by the business unit may either be rejected or escalated to a higher level for decision. This may be direct or via a committee.

If the change is rejected the process reverts to Step 2.

12. Responsible approver returns the signed EDCA, approved document and supporting documents to the Standards & Procedures Administrator.

13. Notifiable changes must await submission and expiration of the prescribed notification period before proceeding.
14. Standards & Procedures Administrator enters the new document status in the appropriate Document Registers in accordance with the publishing checklists, arranges for publication in the appropriate location and sends email notification. All documents associated with the change, including the EDCA form are to be filed in Standards records.

Note: In some cases, a new document may be published before it goes live.

15. The document editor ensures that all agreement implementation period, communications and other process are followed as per the agreed implementation requirements.

4.3.2 Class II Changes

Following completion of Steps 1 to 6

7. The Standards & Procedures Administrator will package the document for endorsement and approval, this will include
 - The proposed document(s)
 - EDCA Form
 - Records of consultation
 - Any other supporting information
8. The responsible manager shall review the changes for endorsement and advise the Standards & Procedures Administrator if the change is notifiable to ONRSR.
 - a. The responsible manager shall determine if the change requires a review by a registered professional engineer. Where the responsible manager is competent in the area of practice they may undertake the review themselves. The professional engineer does not have to independent to the document update.
9. The responsible approver reviews the change to determine if the change has been acceptably managed, consulted and correctly classified as Class II.
10. Responsible approver returns the signed EDCA, approved document and supporting documents to the Standards & Procedures Administrator.
11. Notifiable changes must await submission and expiration of the prescribed notification period before proceeding.
12. Standards & Procedures Administrator enters the new document status in the appropriate Document Registers in accordance with the publishing checklists, arranges for publication in the appropriate location and sends email notification. All documents associated with the change, including the EDCA form are to be filed in Standards records.
13. The document editor ensures that all agreement implementation period, communications and other process are followed as per the agreed implementation requirements

4.4 Consultation

Consultation may be undertaken differently based on several factors, including

- Type of document
- Scope of a change
- Number of affected stakeholders
- Number of SME's who can reasonably contribute

The responsible manager shall nominate the level of consultation required for a given document. This may include one or more of the methods below

- Open consultation via the SharePoint page
- Consultation via direct provision of documents and feedback sheets
- Workshops
- Working group and steering committee meetings
- Email consultation

Where documents are made available to stakeholders on the consultation SharePoint page, a link will be provided to the appropriate Consultation Facilitators. The Consultation Facilitators will ensure the appropriate stakeholders provide their feedback via the SharePoint page.

Records of consultation shall be provided with the document submission by the document editor.

4.5 Implementation

For Class I changes the implementation risk must be considered as part the risk assessment. The assessment must cover

- The risk posed if end users are unaware of the change
- If an implementation period is required and how long it should be
- What communications are necessary to ensure the change is received
- If new training, briefings, awareness or equipment is required as part of the change

A formal implemented plan may be adopted where deemed appropriate by the responsible manager.

Appendix A: Standards Documentation Responsibilities

Note: Business unit endorsement only required for Class I changes

Document Type		Responsible Manager	Business Unit Endorsement ^[Note]	Responsible Approver
Engineering Documents	Track & Civil	Manager Track and Civil Standards	Manager Engineering	Head of Engineering Standards
	Signalling	Manager Signalling Standards	Manager Asset Planning and Investment	
	Configuration	Configuration Manager	Program Engineer Manager	Head of Operations Standards
	Rollingstock	Operations Standards Manager	Manager National Plant	
	Other	Manager Track and Civil Standards	<i>Document Dependent</i>	Head of Engineering Standards
	Type Approvals	Manager Track and Civil Standards or Manager Signalling Standards	Type Approval Panel	
Route Standards		Operations Standards Manager	Corridor Manager	Head of Operations Standards
Network Information		Configuration Manager	Corridor Manager Operations Manager	
Operational Procedures (Network wide only)		Operations Standards Manager	General Manager Operations Services General Manager Customer Service and Operations	Head of Operations Standards
Network Rules		National Rules Manager	N/A	OSERC Head of Operations Standards

Note: Business Unit Endorsement is only required for Class I changes.

Where role title changes this approval should come from a position that reports to General Manager or equivalent.