

Lui, Rachel

From: Hart, Beata
Sent: Friday, April 24, 2015 1:57 PM
To: Miller, Mark; Conrad, Mark; Lui, Rachel
Cc: Raitt, Blair
Subject: ARC CP audit review
Attachments: CP_Fatigue_management_Audit_report-2015-04-17.docx

Hello,

I am contacting you as a member of the audit review committee for the CP Fatigue management national audit. The draft of the audit report is now ready for you input.

Audit procedure specifies a seven working days timeframe for this review, which would bring us to Monday, May 4th. Please let me know if this is not feasible and if additional time is needed. I will ensure to adjust the schedule accordingly and obtain the necessary approval.

Based on the comments received and their complexity, a meeting (conference call) might be required to address your concerns. This will be determined once all comments are received. If, after your review, you would like a meeting nonetheless, please let me know and I will ensure to arrange one.

Below, I included the excerpt from the audit procedure that outlines responsibilities of the review committee, I hope you'll find it helpful.

If you have any questions please do not hesitate to contact me.

Best Regards,
Beata

Audit Procedure

The ARC is responsible for the following:

➤ **Audit Review Committee (ARC)**

- Reviews the audit details and provides comments as appropriate;
- Reviews the audit report and provides feedback regarding the following:
 - supporting evidence (in regards to the findings);
 - additional technical advice (when applicable);
 - format;
 - readability;
 - consistency; and
 - clarity in wording

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP), considering Safety Management System Regulations (SMS), Transport Canada Work Rest Rules for Railway Operating Employees (WRR) and Fatigue Management Plans, Requirements and Assessment Guidelines” was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR’s implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada. This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR’s corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team then proceeded to review the records provided and interviewed selected members of the CP’ management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits were to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes the special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

A closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Alyth facility. Next steps were presented but, due to audit activities still being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by the Railway Association of Canada and provided by CPR (February 2011);
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003);
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003);

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003), and;
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

Eleven findings were reported as a consequence of this audit. Findings 771571 and 771601 were identified as

Details are provided in the Findings section of this report.

Detailed descriptions of those findings are provided in the Findings section of this report.

The Railway is encouraged to demonstrate how they intend to enhance railway safety by providing a corrective action plan to each of findings of deficiency, within 30 days of the issues of this audit report. The Corrective Action Plan should reference the Transport Canada audit findings and detail the Railway's proposed corrective actions to address them. Each corrective action should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. An example Corrective Action Plan template is attached to this report and it may be used.

Introduction

Pursuant to the Railway Safety Act, Transport Canada has conducted a systematic, detailed assessment of railway company policies, processes and procedures to (a) evaluate them against the documentation requirements of the RSMS Regulations; and (b) verify the implementation and effectiveness of said policies, processes and procedures.

Audit Scope

The scope of this audit was to verify the implementation of the Fatigue Management Plans as defined by CP, considering the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

The following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities;
- 2(d) Compliance with applicable regulations, rules, standards and orders;
- 2(e) Risk management process;
- 2(h) Skills, training and supervision, and;
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

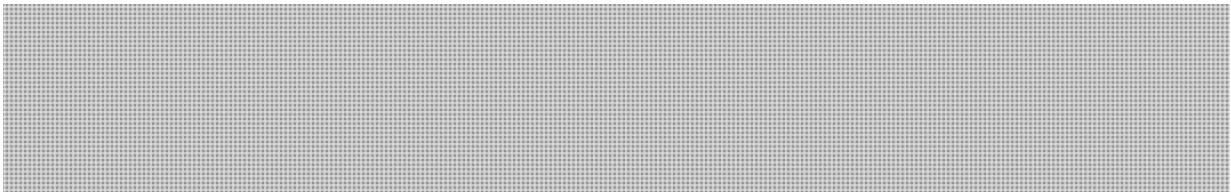
Other Issues

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011, [REDACTED]			
Description of Finding:			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771781	Process:	2(h)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;
2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable:
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

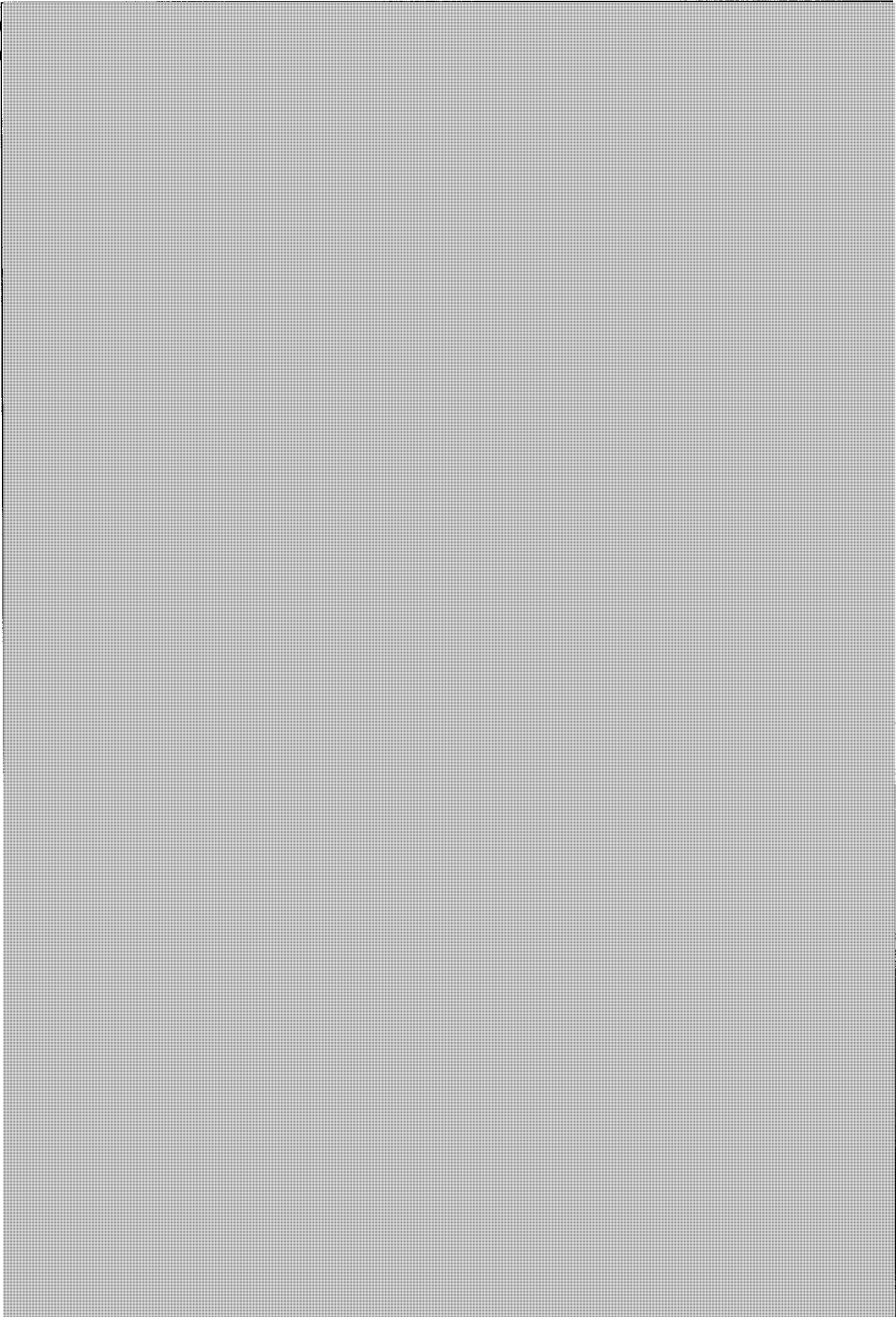
[REDACTED]

s.20(1)(b)

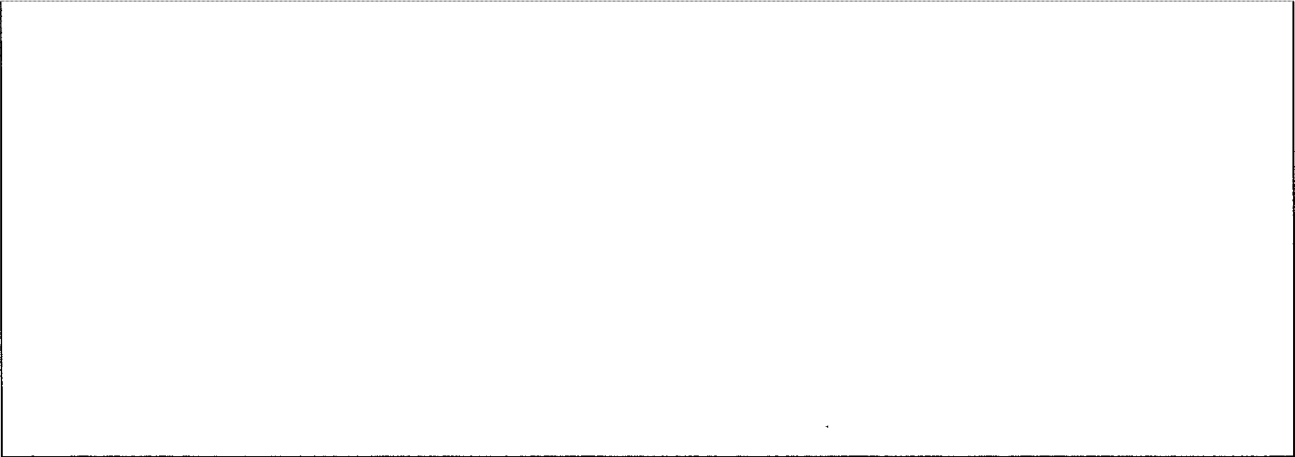
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

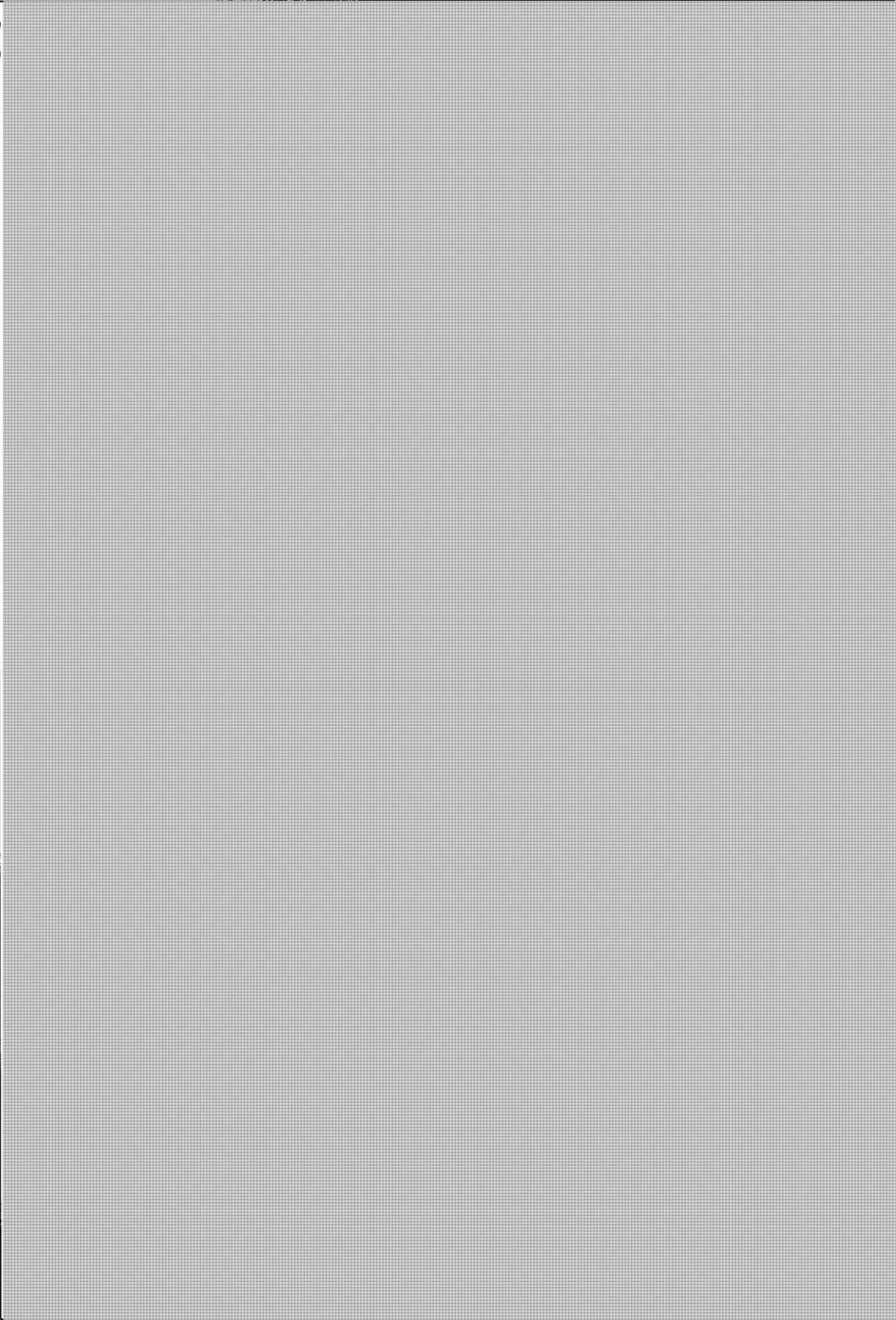
Description of Finding:

[Redacted content]

Supporting Details:

[Redacted content]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them; and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS
Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

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This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR’s corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team then proceeded to review the records provided and interviewed selected members of the CP’ management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

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s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/Rest Rules (WRR) for Railway Operating Employees, as published by the Railway Association of Canada (RAC) and provided by CPR (February 2011);
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003);
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003);
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003), and;
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

Eleven findings were reported as a consequence of this audit. Findings 771571 and 771601 were identified as [REDACTED]

[REDACTED]

Details are provided in the Findings section of this report.

[REDACTED]

Detailed descriptions of those findings are provided in the Findings section of this report.

The Railway is encouraged to demonstrate how they intend to enhance railway safety by providing a corrective action plan to each of findings of deficiency, within 30 days of the issues of this audit report. The Corrective Action Plan should reference the Transport Canada audit findings and detail the Railway's proposed corrective actions to address them. Each corrective action should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. An example Corrective Action Plan template is attached to this report and it may be used.

Introduction

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Audit Scope

The scope of this audit was to verify the implementation of the Fatigue Management Plans as defined by CP, considering the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

The following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities;
- 2(d) Compliance with applicable regulations, rules, standards and orders;
- 2(e) Risk management process;

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

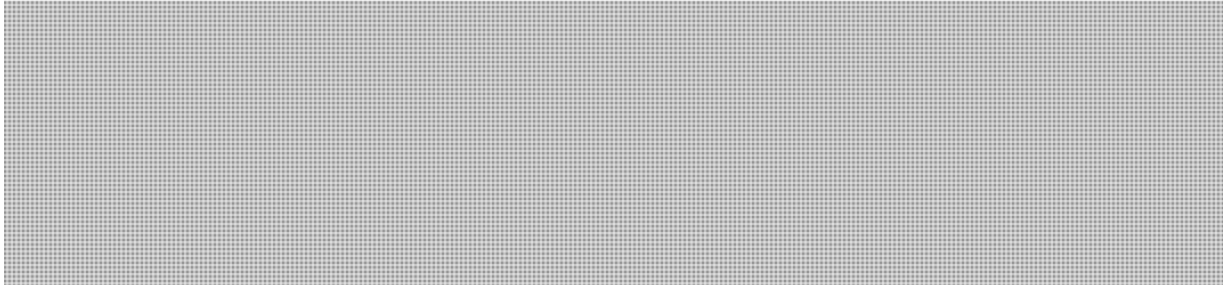
s.21(1)(b)

2(h) Skills, training and supervision, and;

2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

The scope includes all records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, from January 2010 to present.

Other Issues



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Findings

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable: (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and; (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption			
Railway Commitment:			
- Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and; (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)

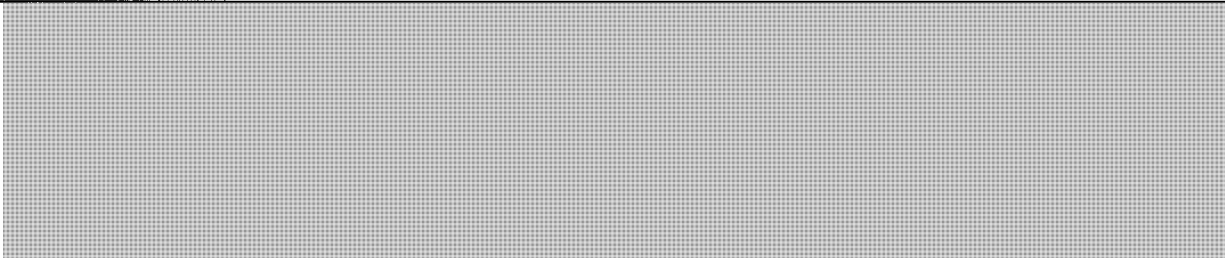
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference (TCRC) Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771781	Process:	2(h)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component; 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable:
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

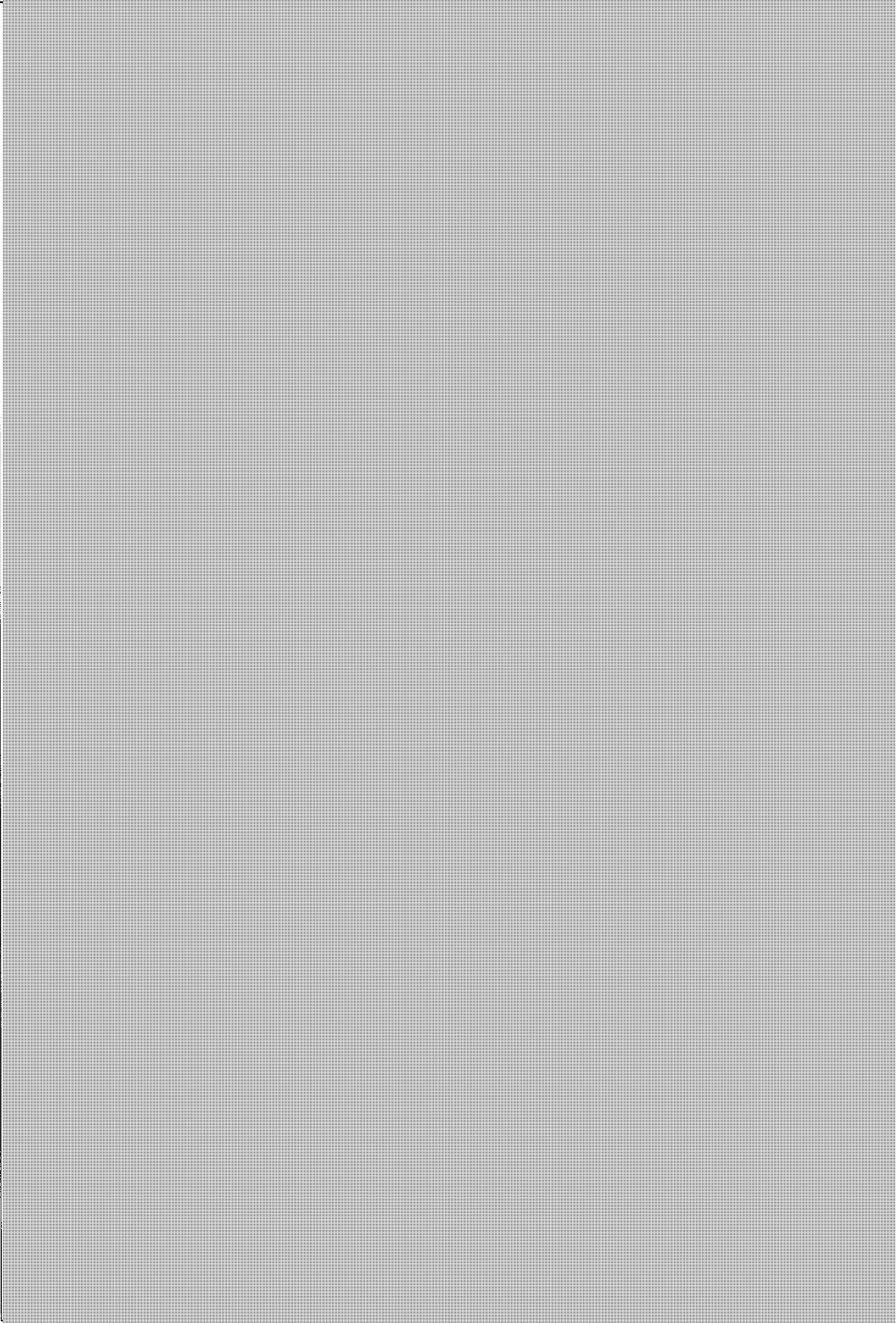
Description of Finding:

[REDACTED]

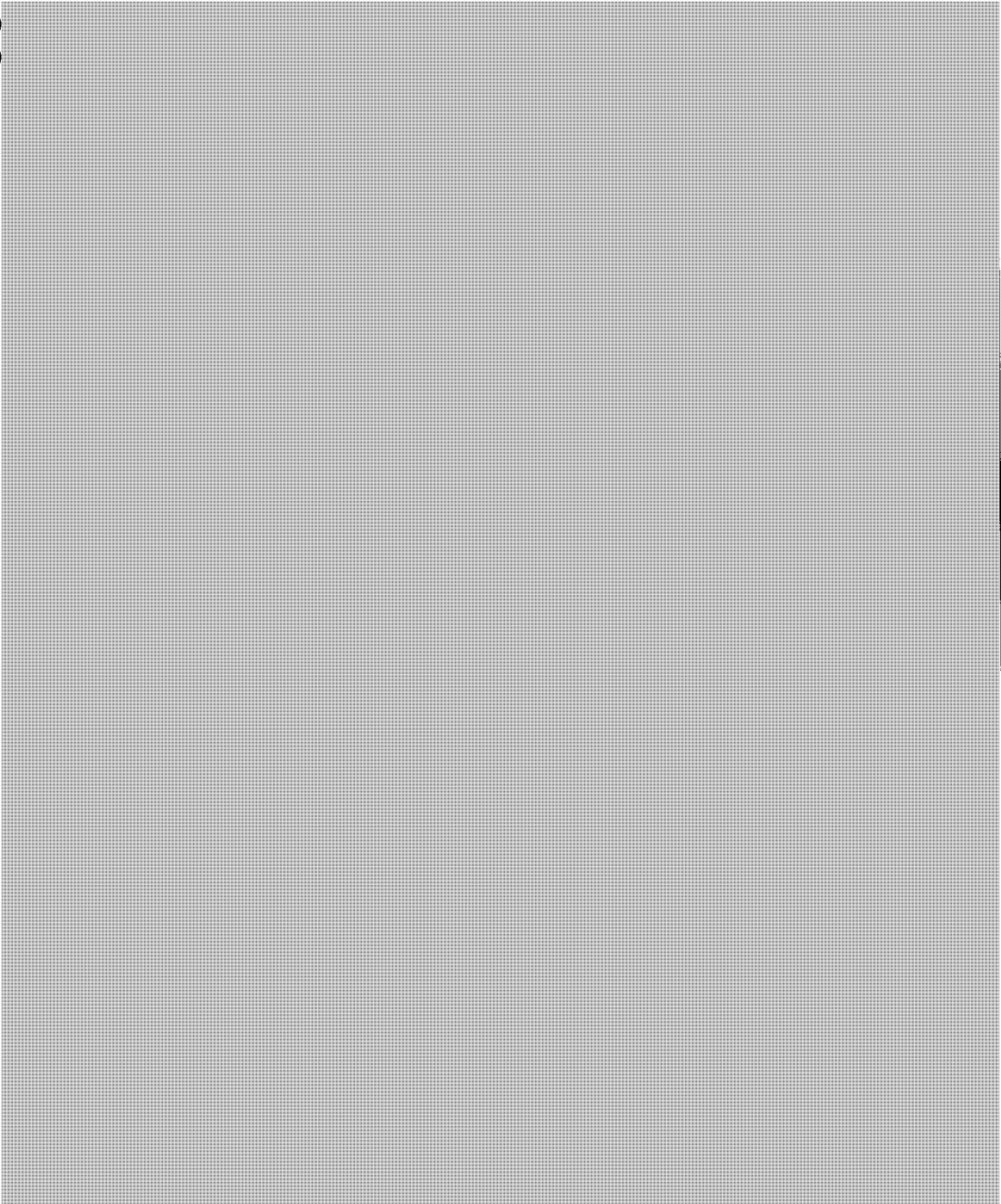
Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

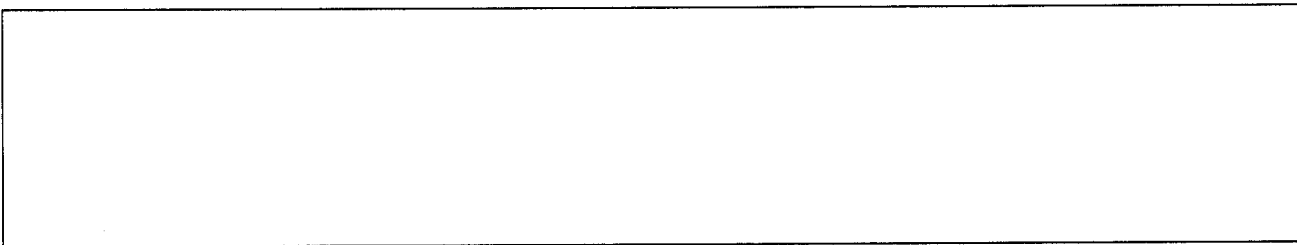


s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



Finding ID:	771831	Process:	2(i)
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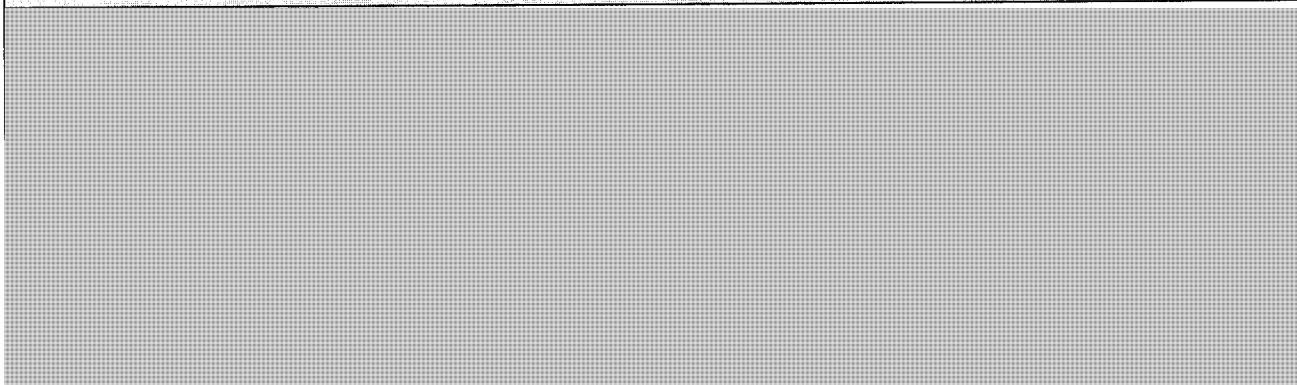
Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company.

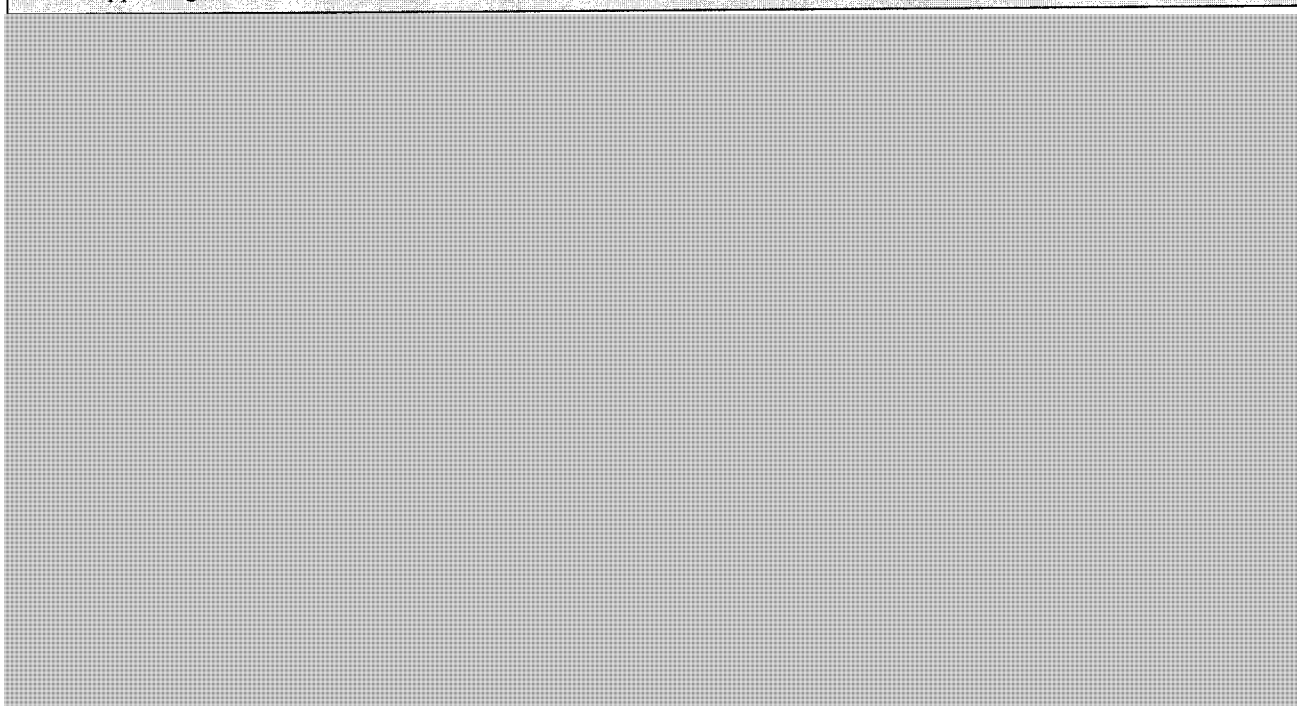
Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]

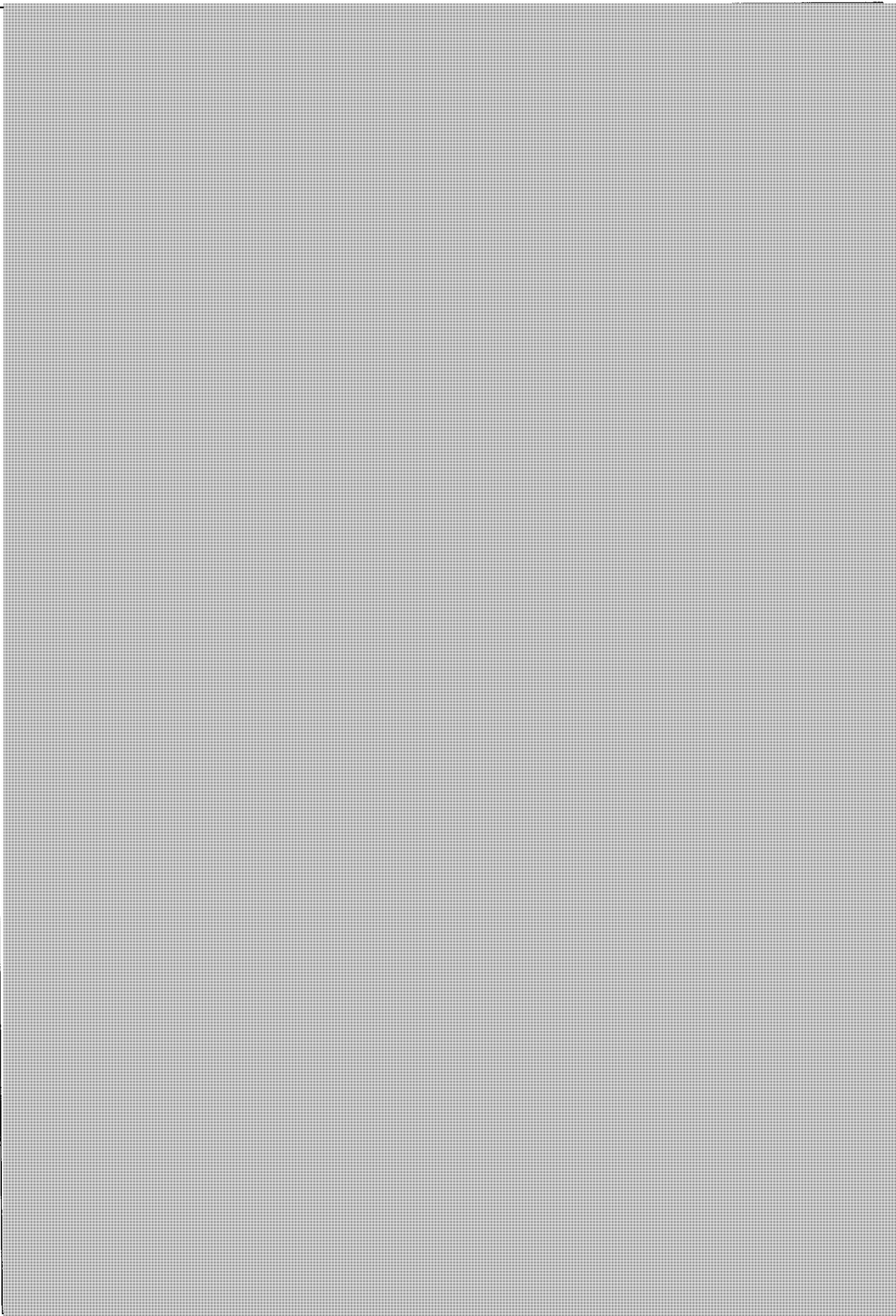
Description of Finding:



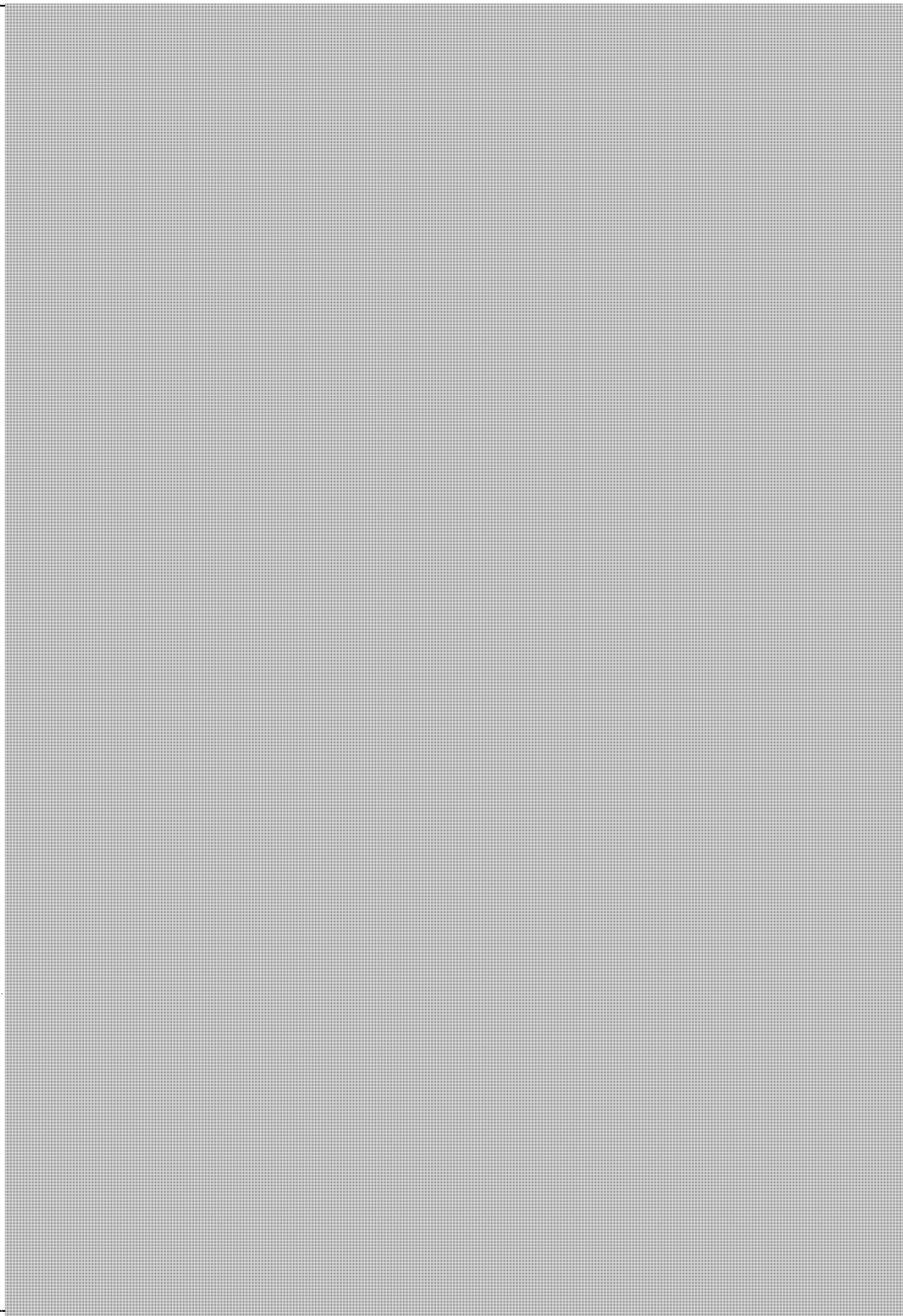
Supporting Details:



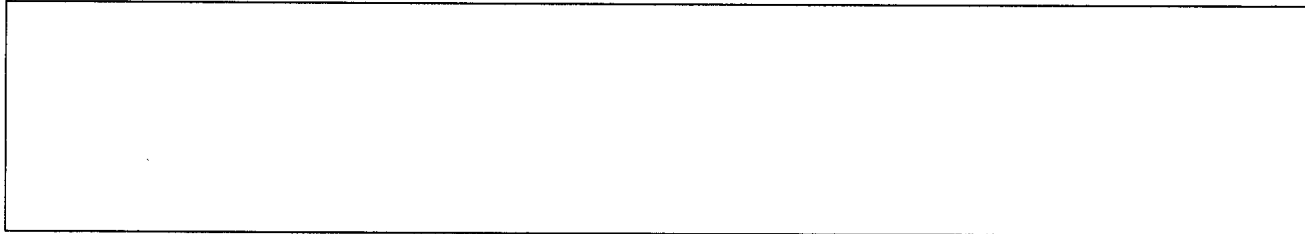
s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

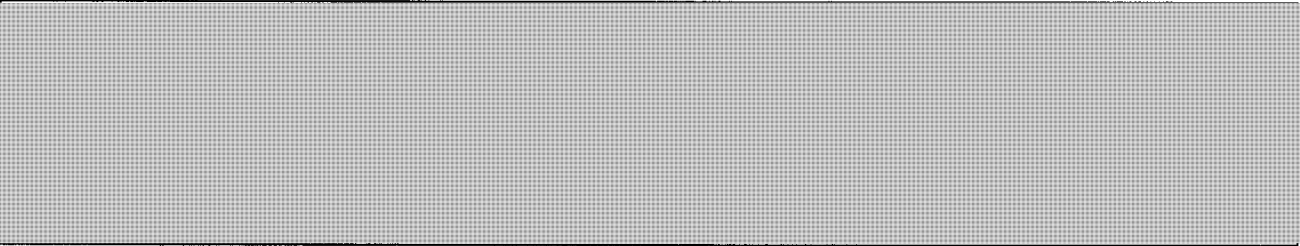


s.20(1)(b)
 s.20(1)(c)
 s.20(1)(d)
 s.21(1)(b)



Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them; and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.</p>			
Railway Commitment:			
<p>General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)</p>			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

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[Redacted]

[Redacted]

Details are provided in the Findings section of this report.

[Redacted]

Detailed descriptions of those findings are provided in the Findings section of this report.

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to the above mentioned requirements, the following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities;
- 2(d) Compliance with applicable regulations, rules, standards and orders;
- 2(e) Risk management process;
- 2(h) Skills, training and supervision, and;
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team then proceeded to review the records provided and interviewed selected members of the CP' management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

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- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003), and;
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Scope

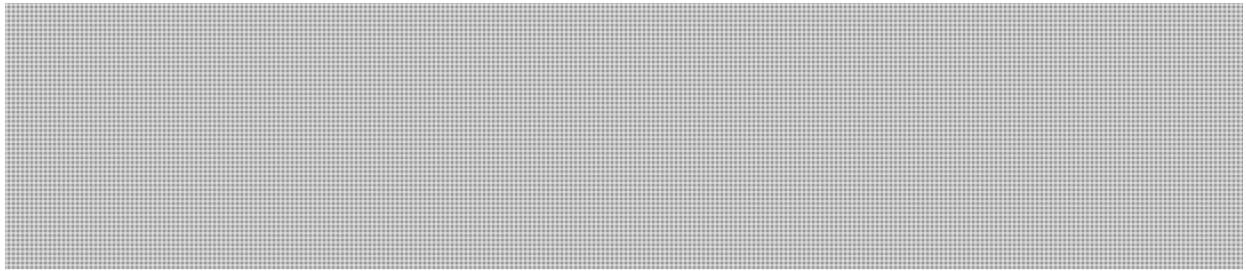
The scope of this audit was to verify the implementation of the Fatigue Management Plans as defined by CP, considering the requirements of “Work/rest rules for railway operating employees” and “Fatigue Management Plans, Requirements and Assessment Guidelines”.

The following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities;
- 2(d) Compliance with applicable regulations, rules, standards and orders;
- 2(e) Risk management process;
- 2(h) Skills, training and supervision, and;
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable:</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

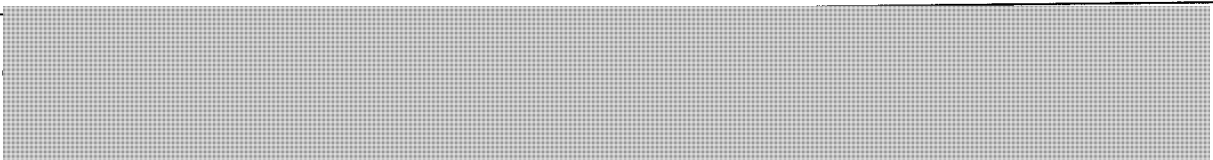
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771781	Process:	2(h)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;
2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable:
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

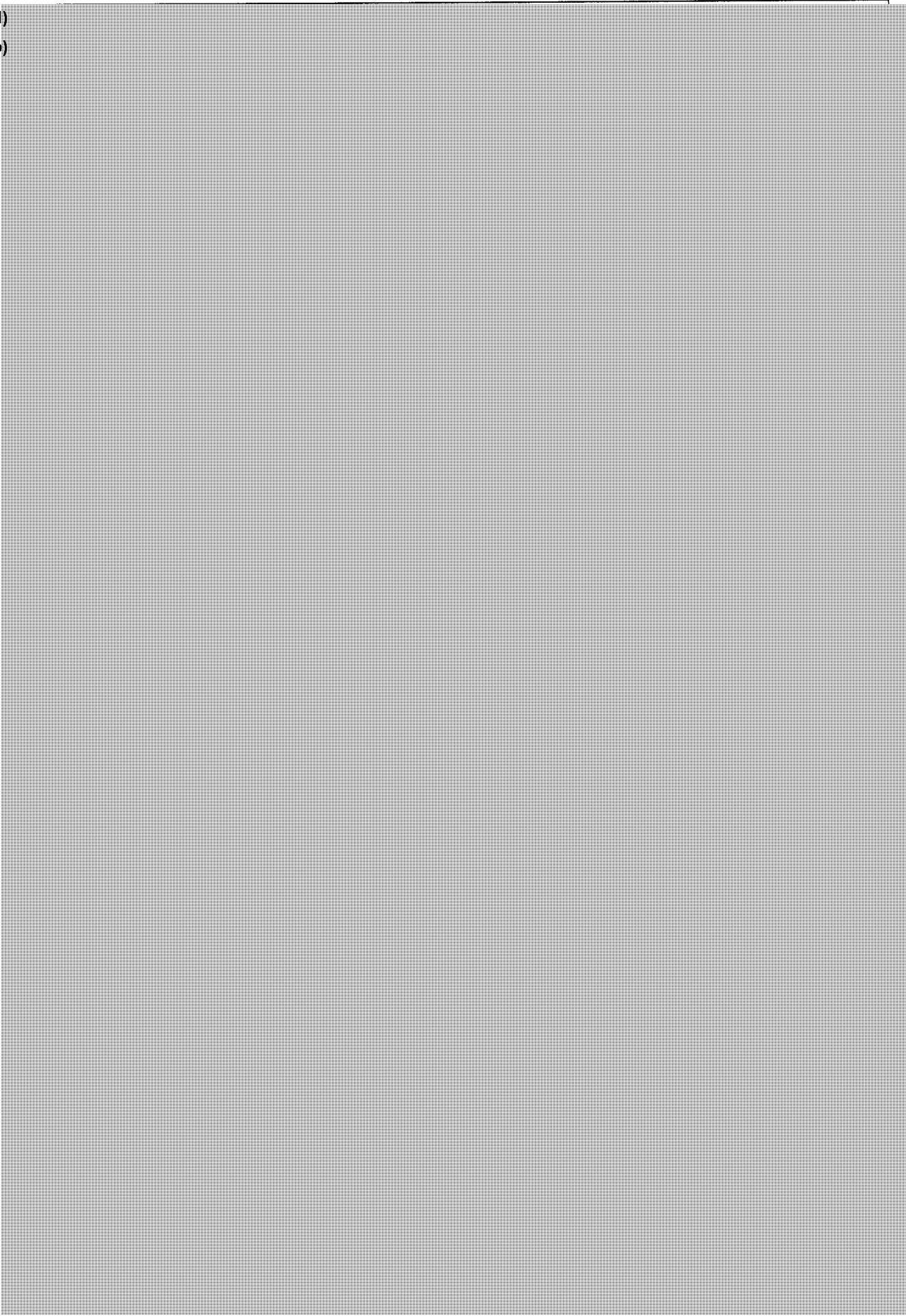
[REDACTED]

s.20(1)(b)

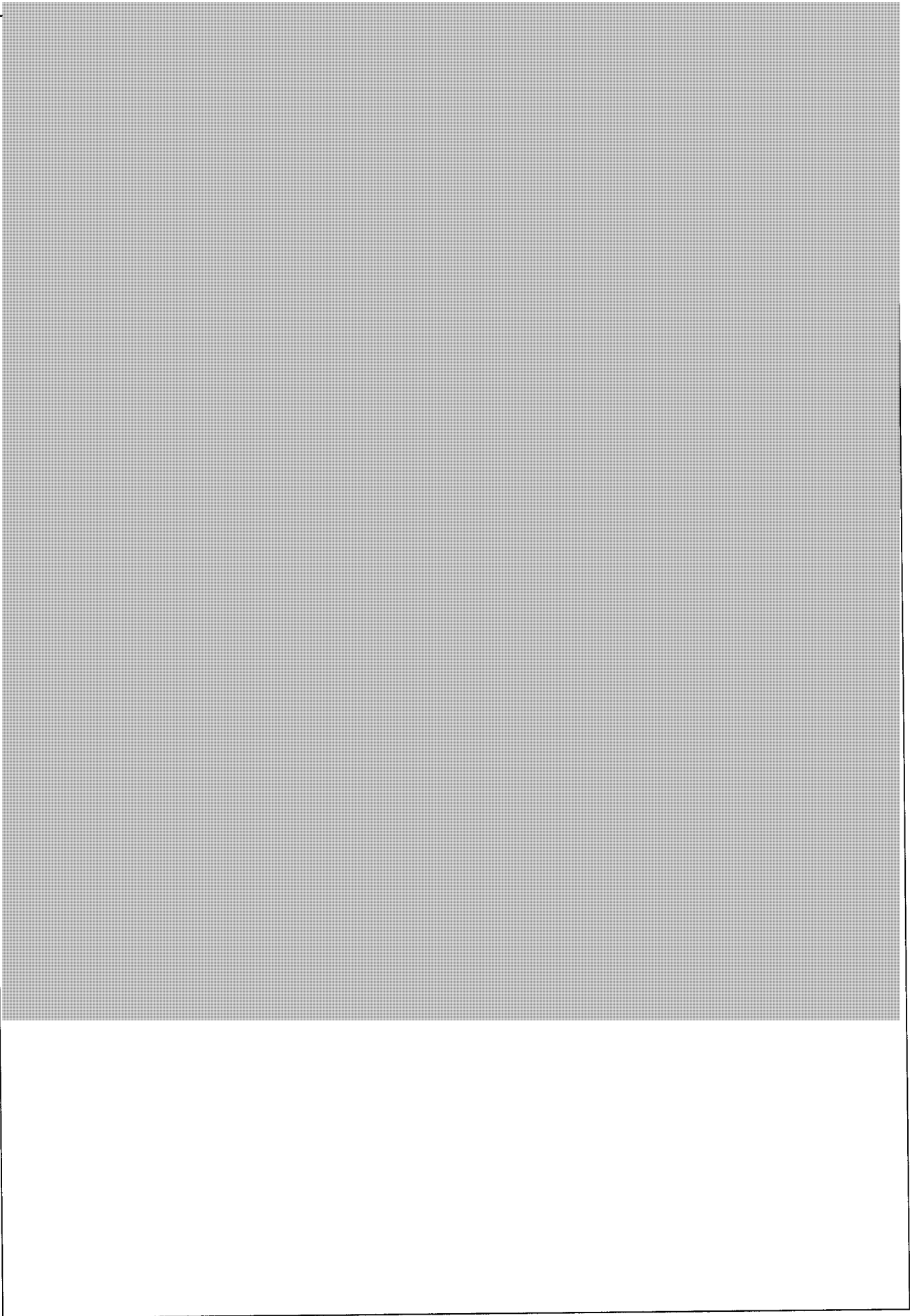
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771831	Process:	2(i)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

Description of Finding:

[Redacted content]

Supporting Details:

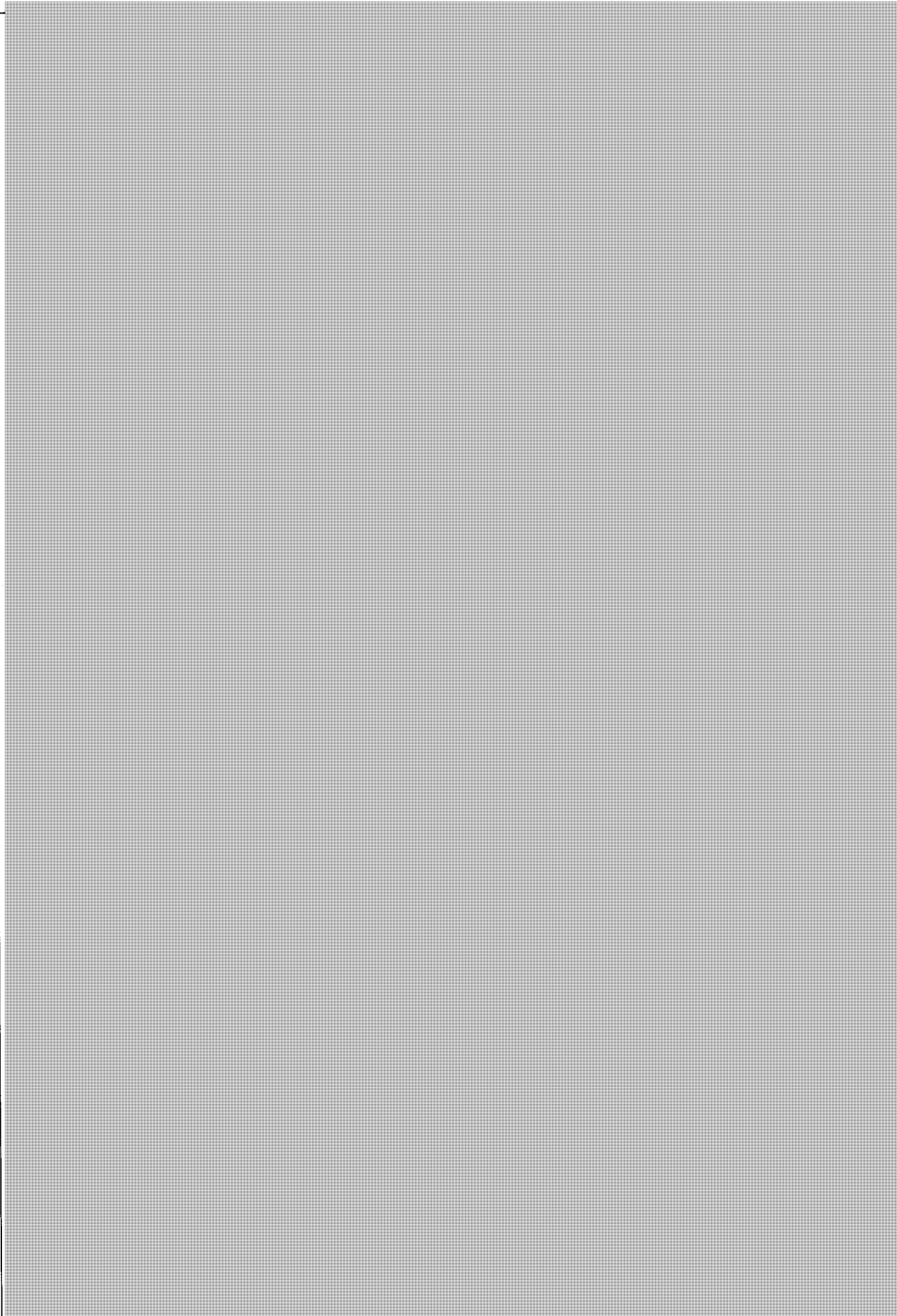
[Redacted content]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

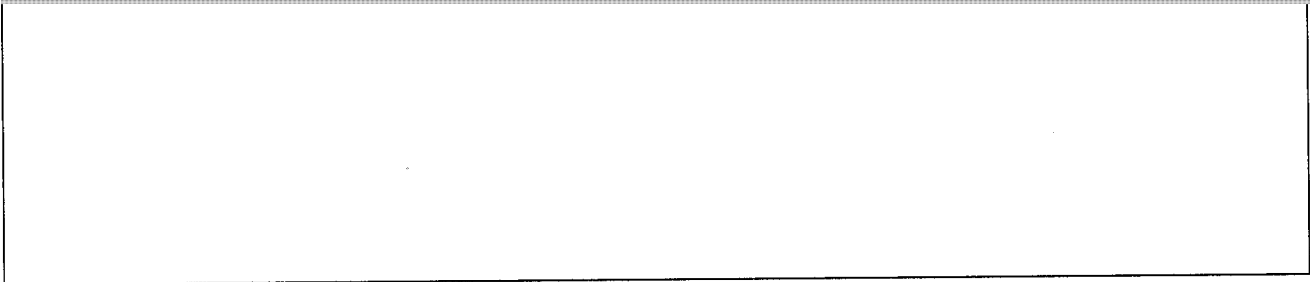
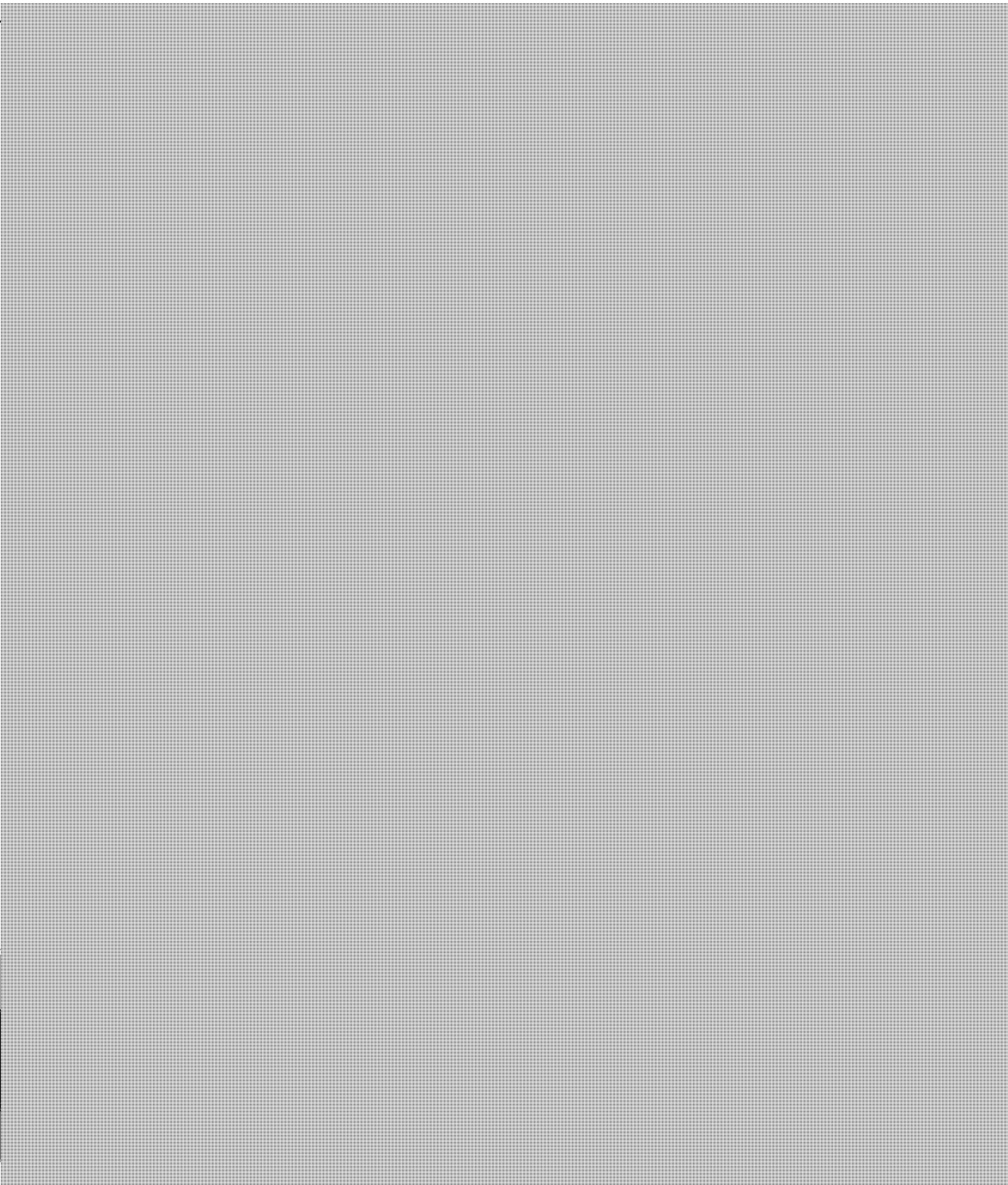


s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them; and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

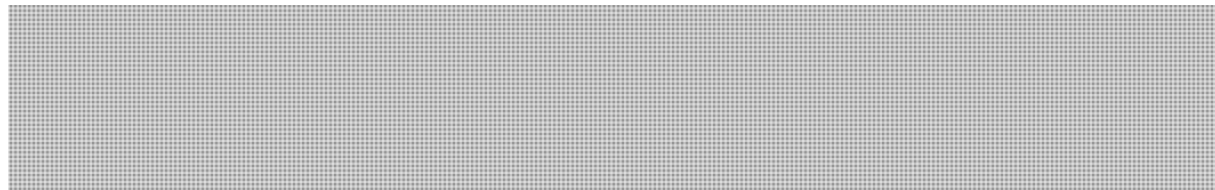
Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS), Transport Canada Work Rest Rules for Railway Operating Employees (WRR) and Fatigue Management Plans, Requirements and Assessment Guidelines” was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR’s implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada. This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.



Details are provided in the Findings section of this report.



Detail description of those findings is provided in the Findings section of this report.

Introduction

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Alyth facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR (February 2011).
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

Audit Scope

The scope of this audit was to verify the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Following components of the Safety Management Systems Regulations were also applicable:

2(b) Safety authorities, responsibilities and accountabilities

2(d) Compliance with applicable regulations, rules, standards and orders

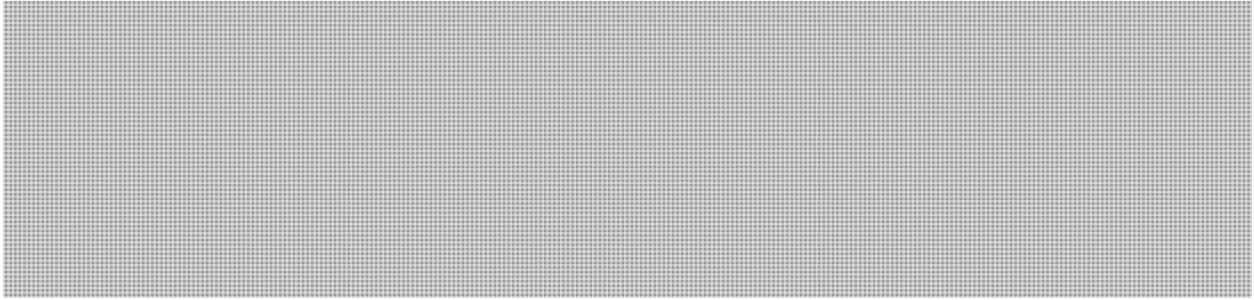
2(e) Risk management process

2(h) Skills, training and supervision

2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies, processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
- Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

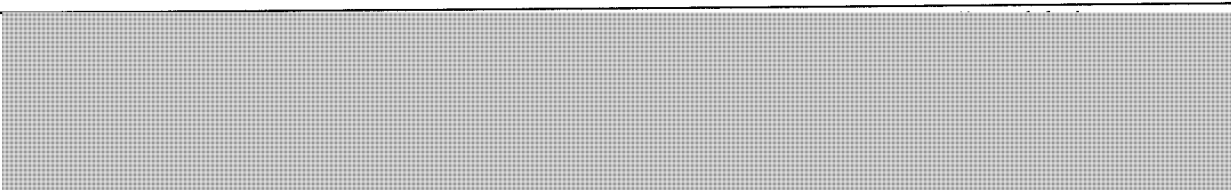
Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771781	Process:	2(h)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;

2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)

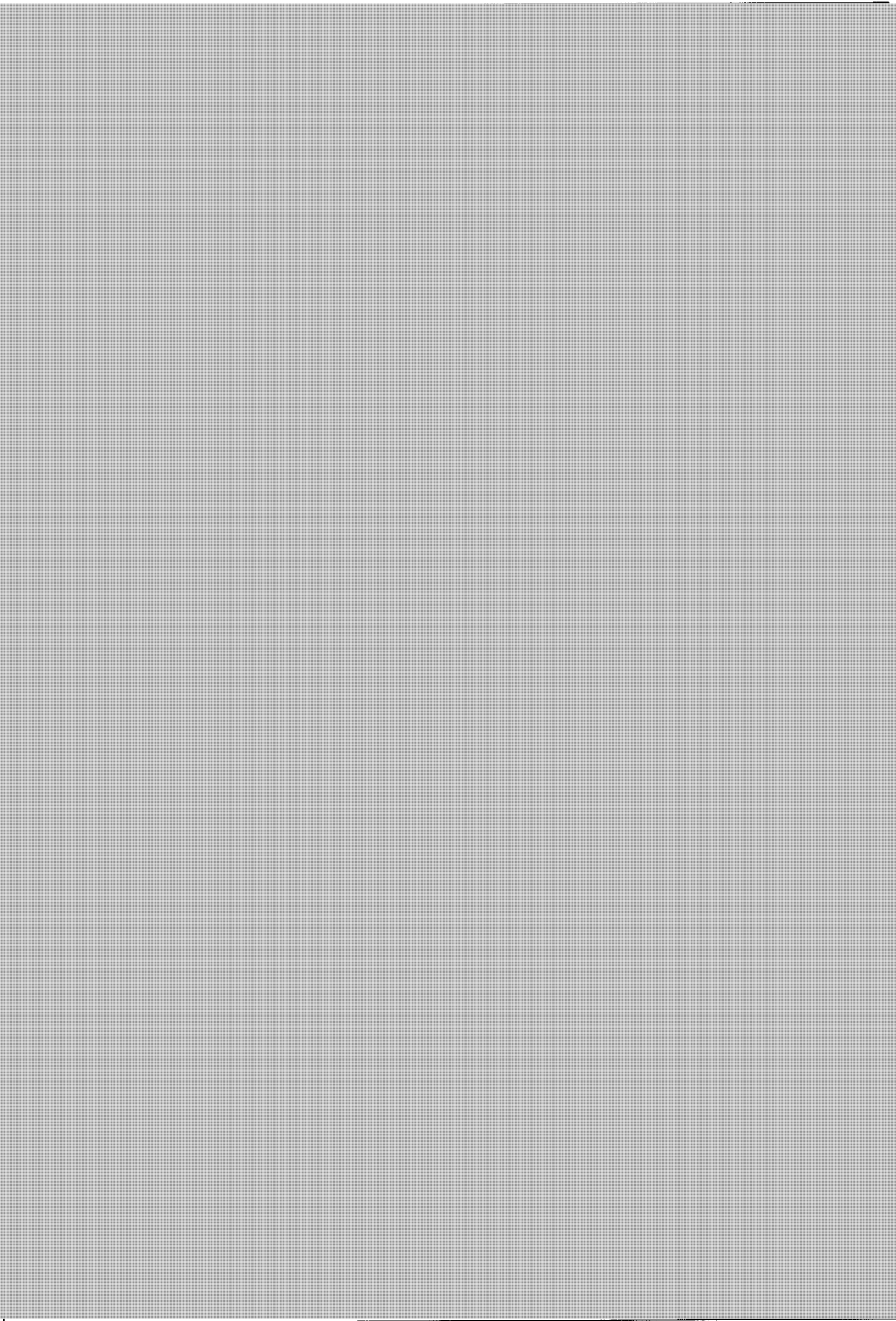
s.20(1)(c)

s.20(1)(d)

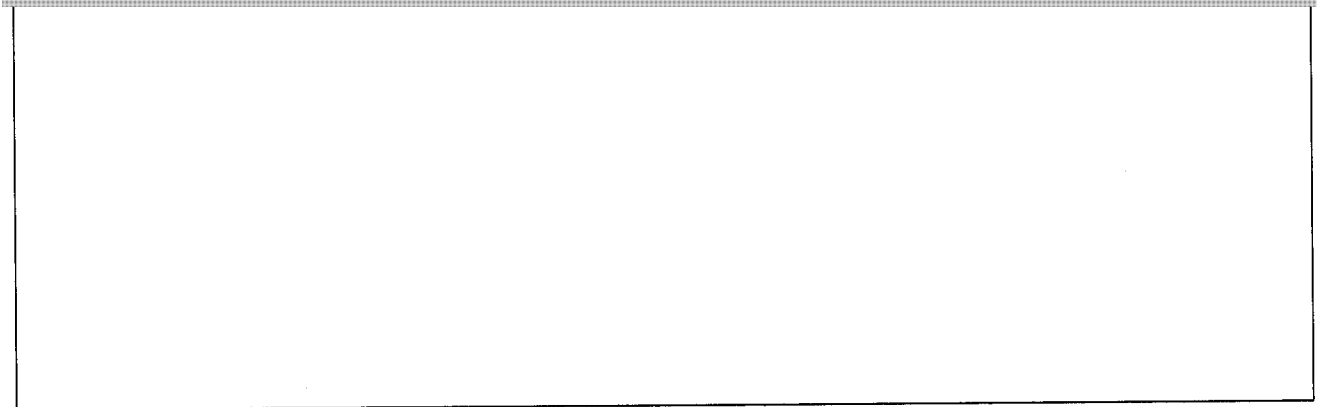
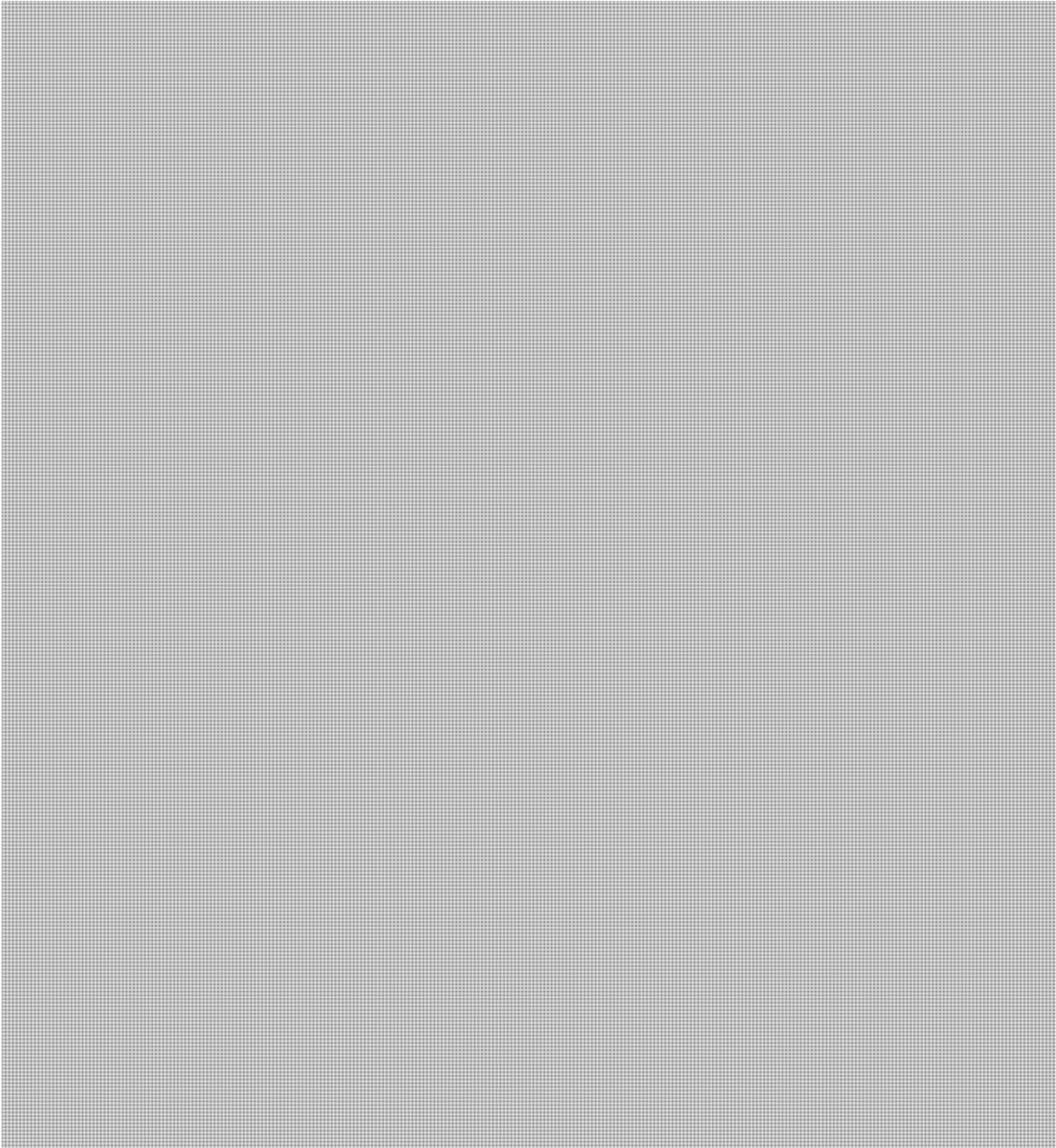
s.21(1)(b)

Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
Supporting Details:			

s.20(1)(b)

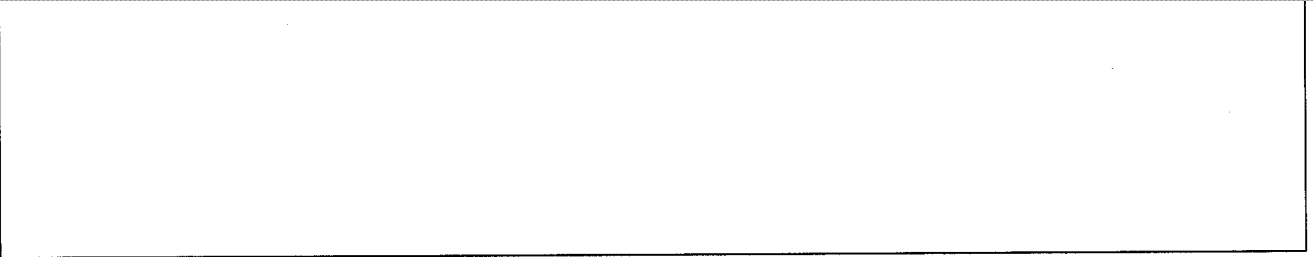
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

Description of Finding:

[Redacted]

Supporting Details:

[Redacted]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS), Transport Canada Work Rest Rules for Railway Operating Employees (WRR) and Fatigue Management Plans, Requirements and Assessment Guidelines” was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR’s implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada. This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.



Details are provided in the Findings section of this report.



Detail description of those findings is provided in the Findings section of this report.

Introduction

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR (February 2011).
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Following components of the Safety Management Systems Regulations were also applicable:

2(b) Safety authorities, responsibilities and accountabilities

2(d) Compliance with applicable regulations, rules, standards and orders

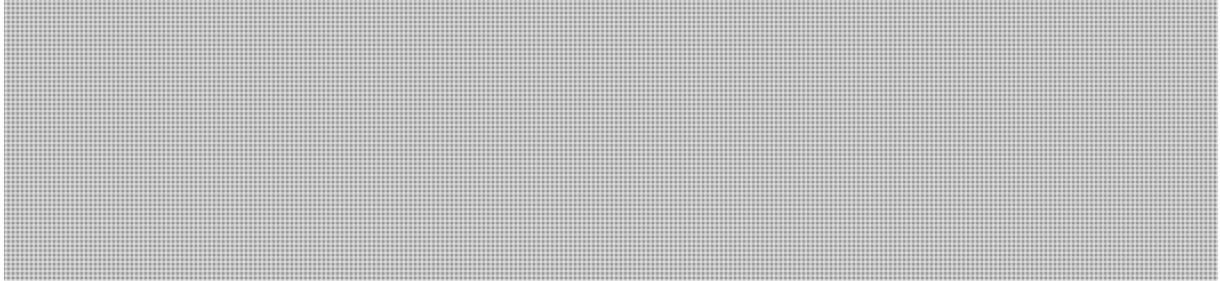
2(e) Risk management process

2(h) Skills, training and supervision

2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

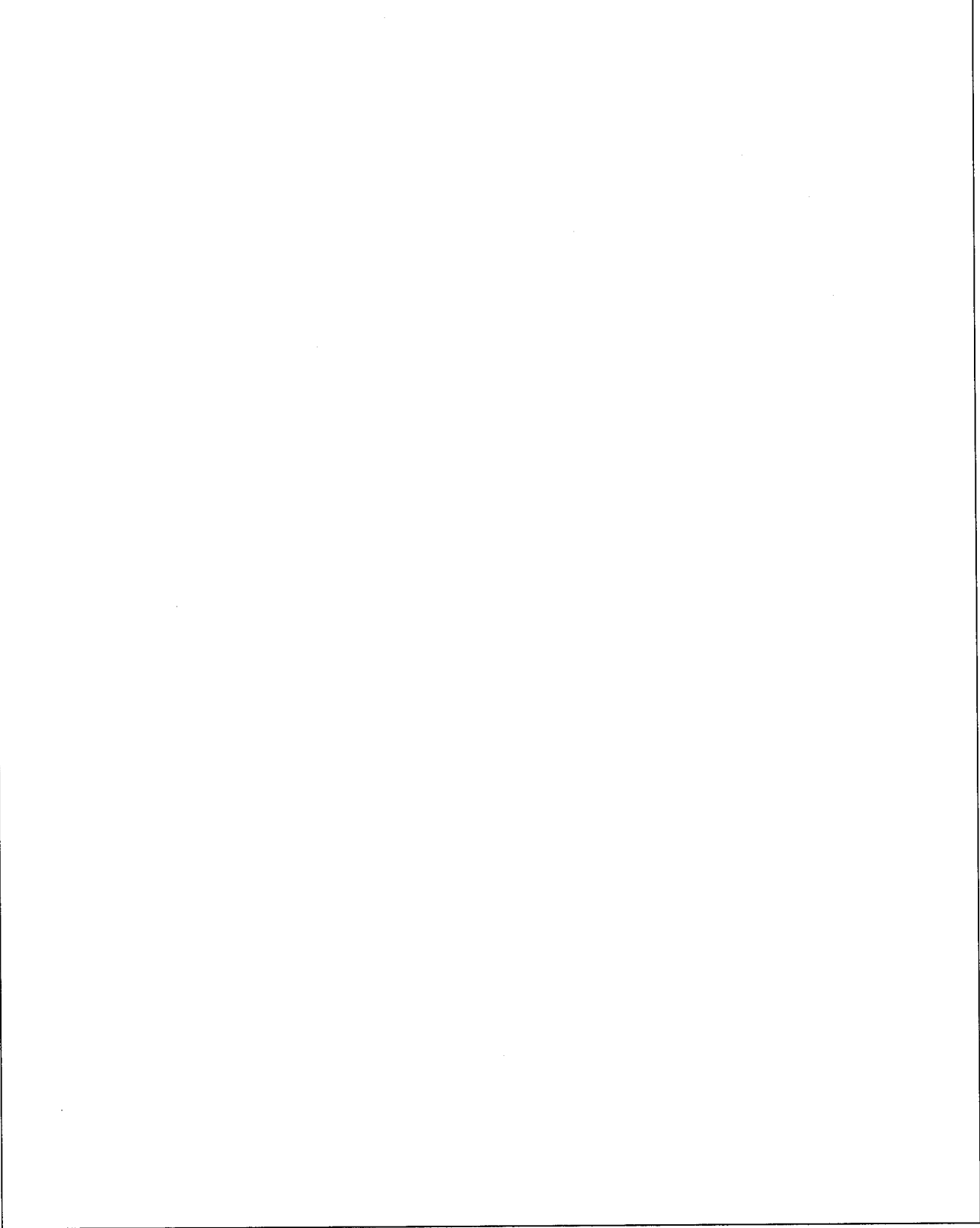
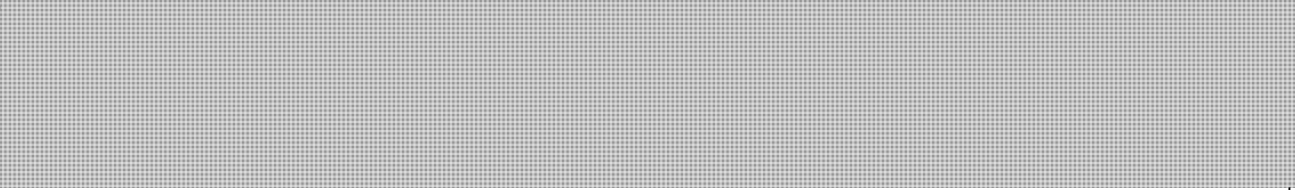
s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011, [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771781	Process:	2(h)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component; 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011).			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

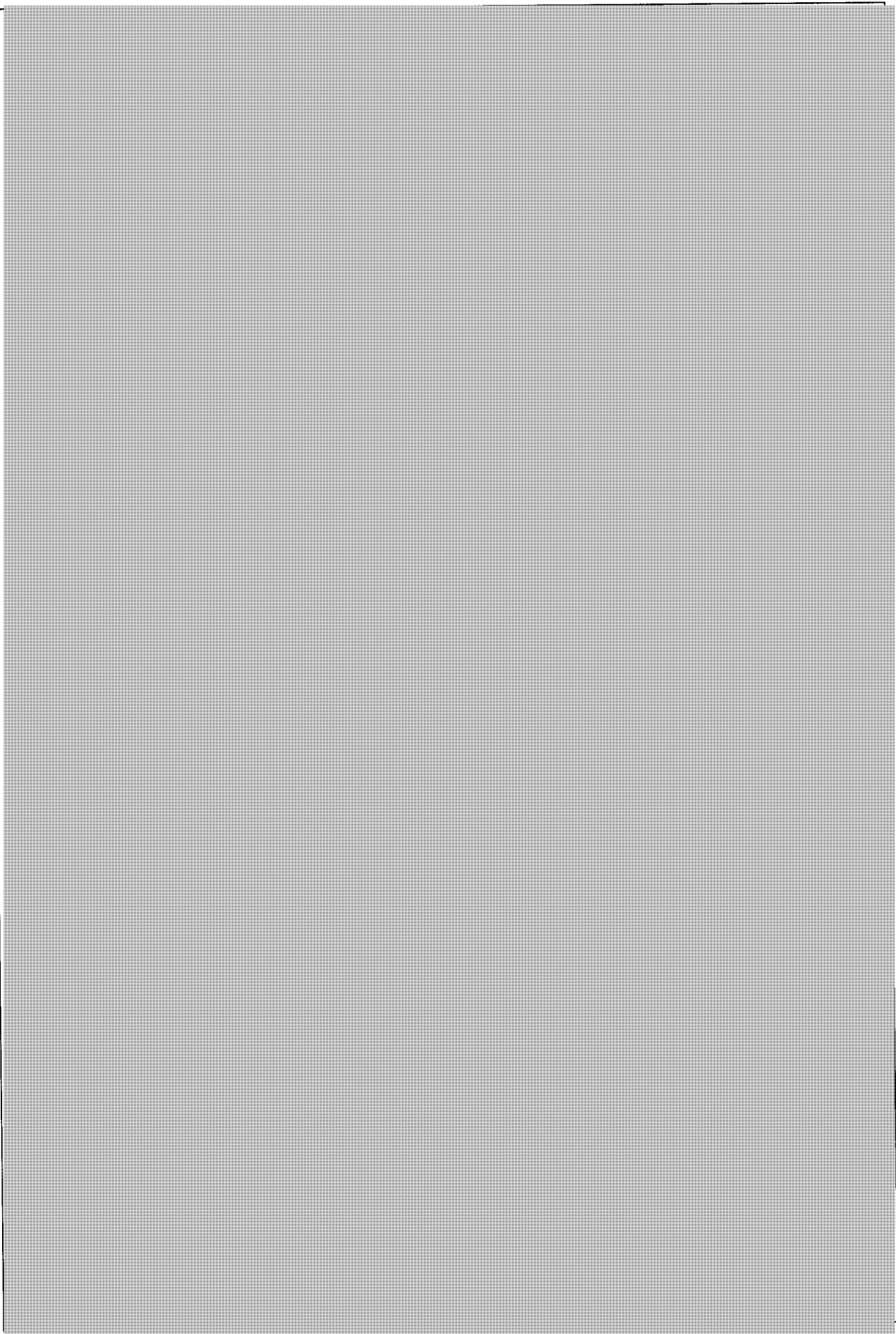
Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

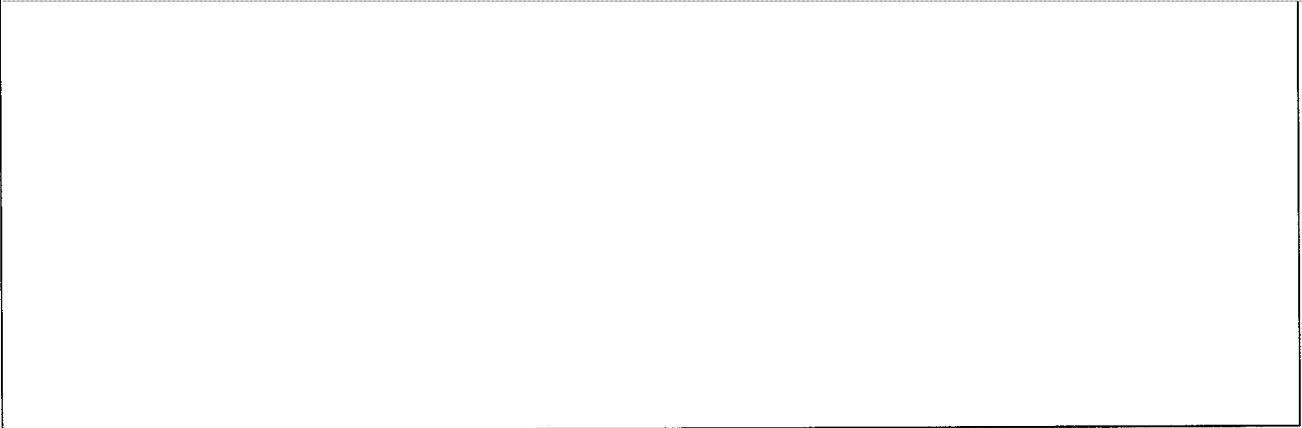
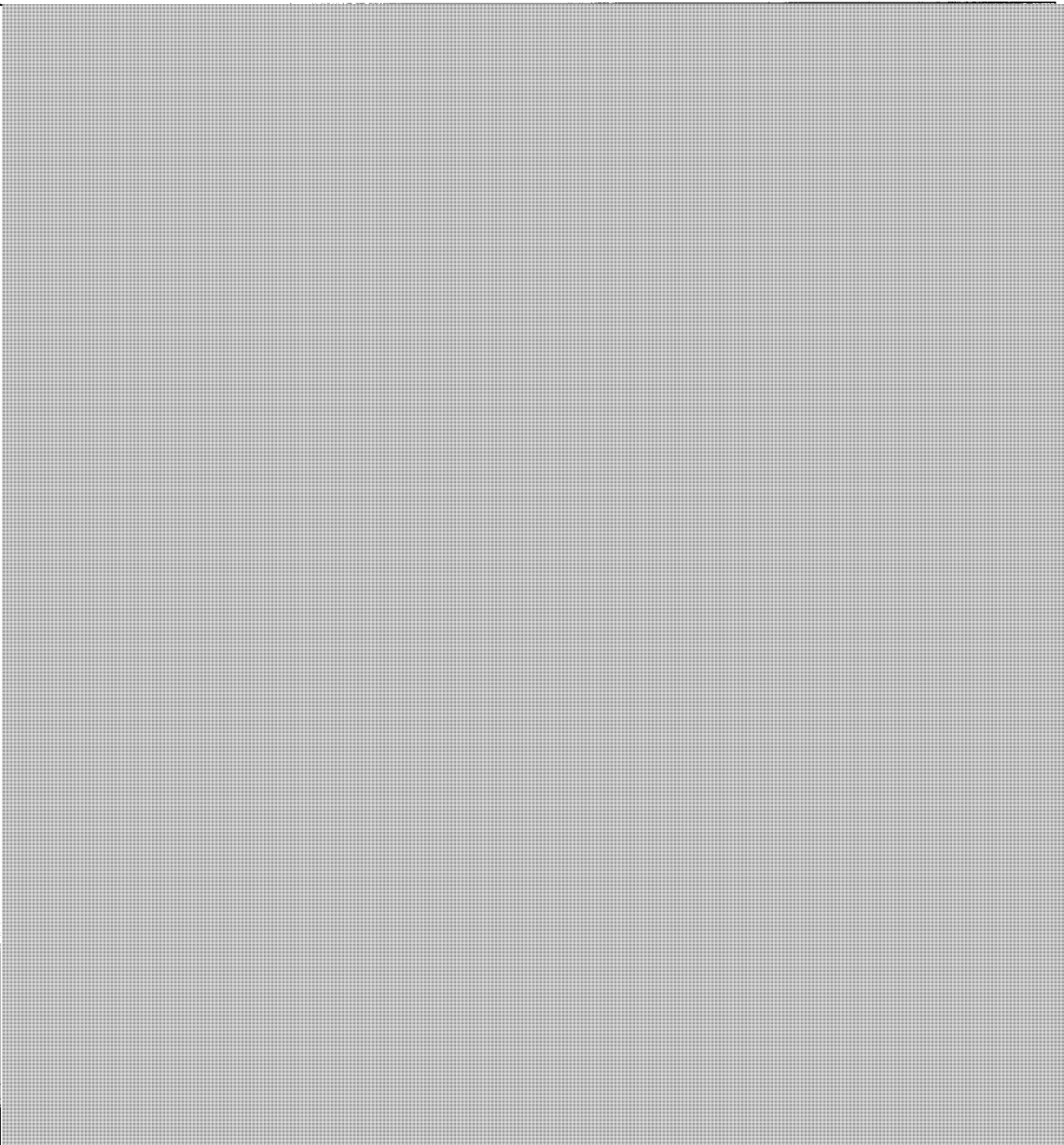
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

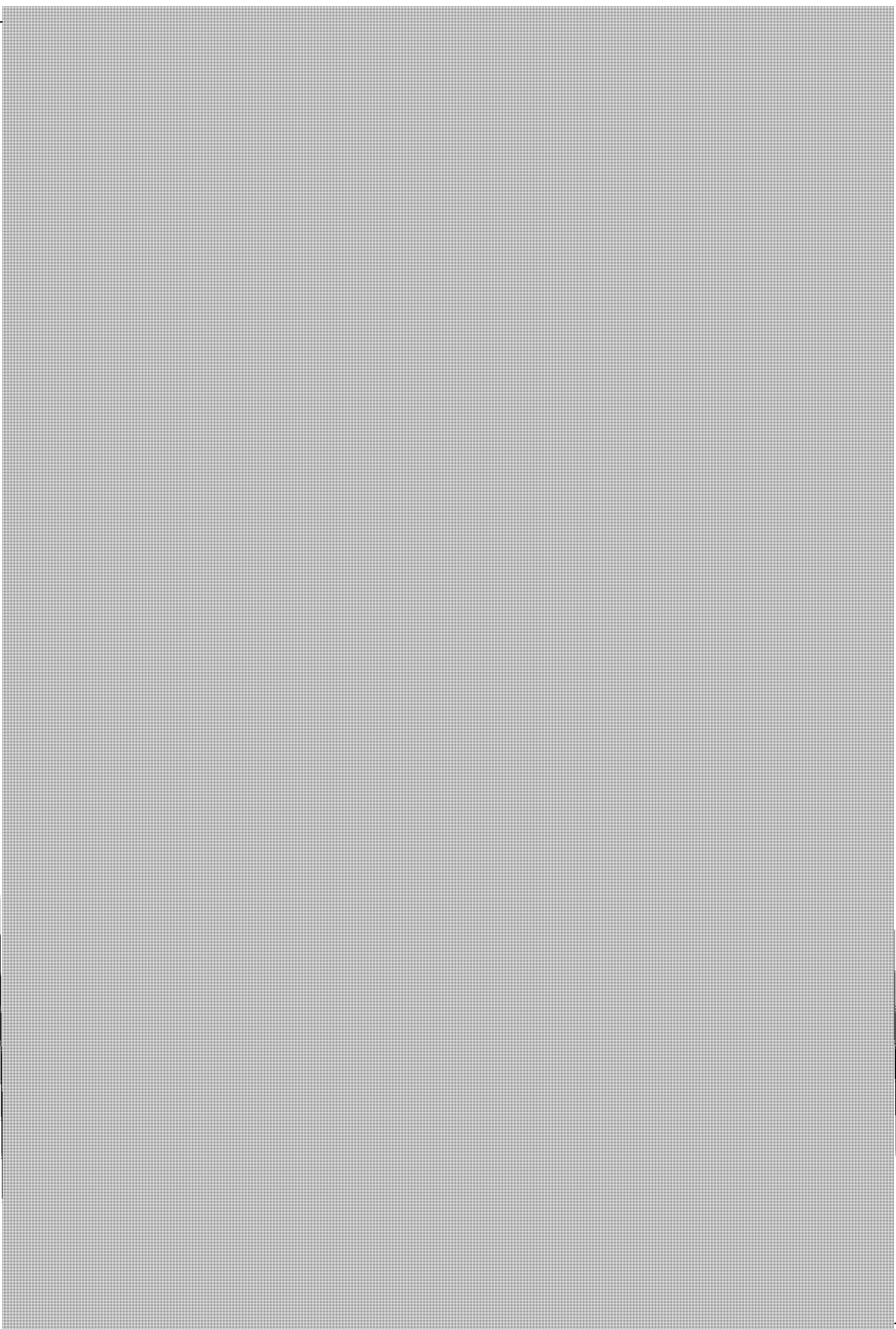
Description of Finding:

[Redacted content]

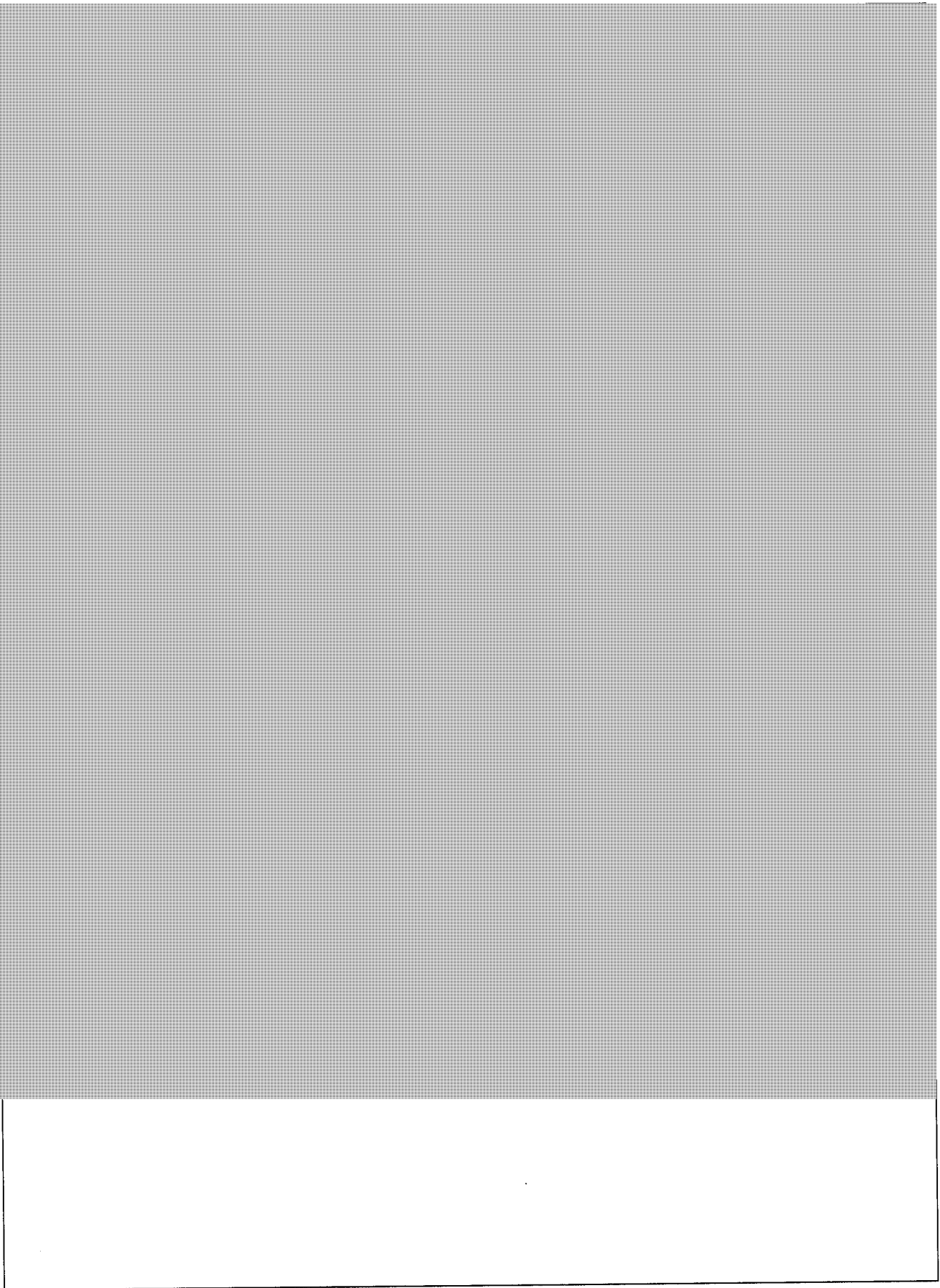
Supporting Details:

[Redacted content]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

Description of Finding:

[Redacted]

Supporting Details:

[Redacted]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXXXX, 2015

Executive Summary

Comment [bh1]: This section was updated as per instructions from Blair.

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS), Transport Canada Work Rest Rules for Railway Operating Employees (WRR) and Fatigue Management Plans, Requirements and Assessment Guidelines" was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada. This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

[Redacted]

[Redacted]

Details are provided in the Findings section of this report.

[Redacted]

Detail description of those findings is provided in the Findings section of this report.

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR (February 2011).
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

Audit Scope

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

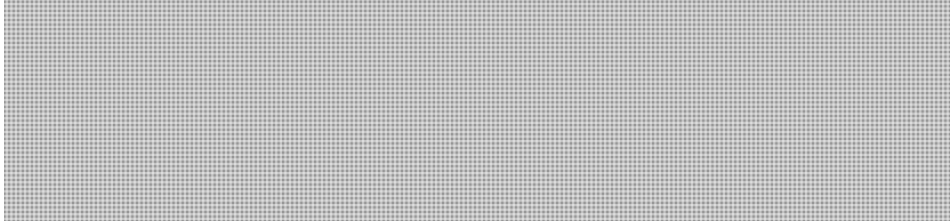
The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues



Comment [bh2]: This paragraph was updated as per info received from Sue.

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
- Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			
[Redacted]			

Finding ID:	771765	Process:	2(b)
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s.20(1)(b)

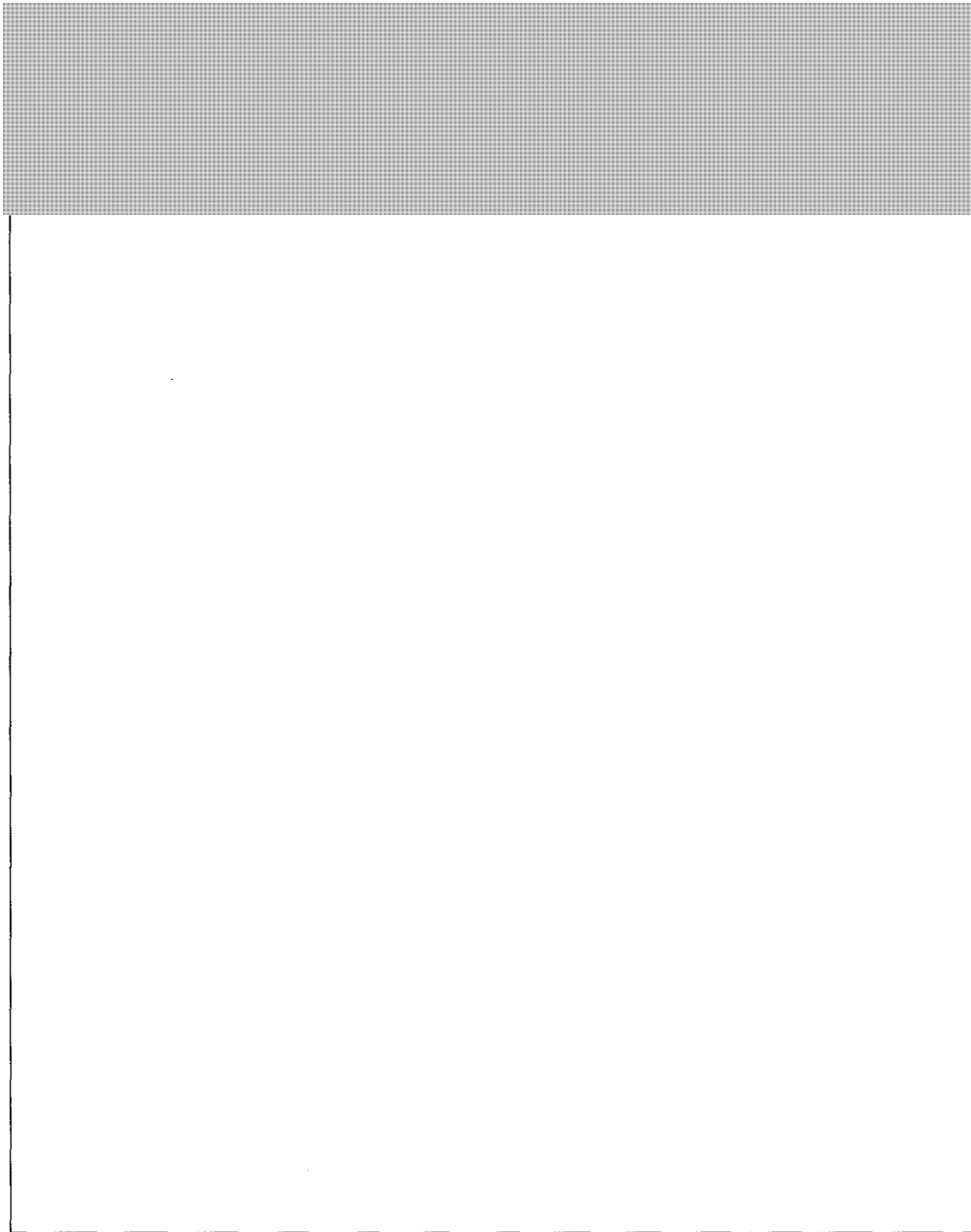
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Regulatory Requirement:
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company
Railway Commitment:
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]
Description of Finding:
[REDACTED]
Supporting Details:
[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



Finding ID:	771781	Process:	2(h)
Regulatory Requirement:			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:

2(d) systems for identifying applicable

(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and

(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

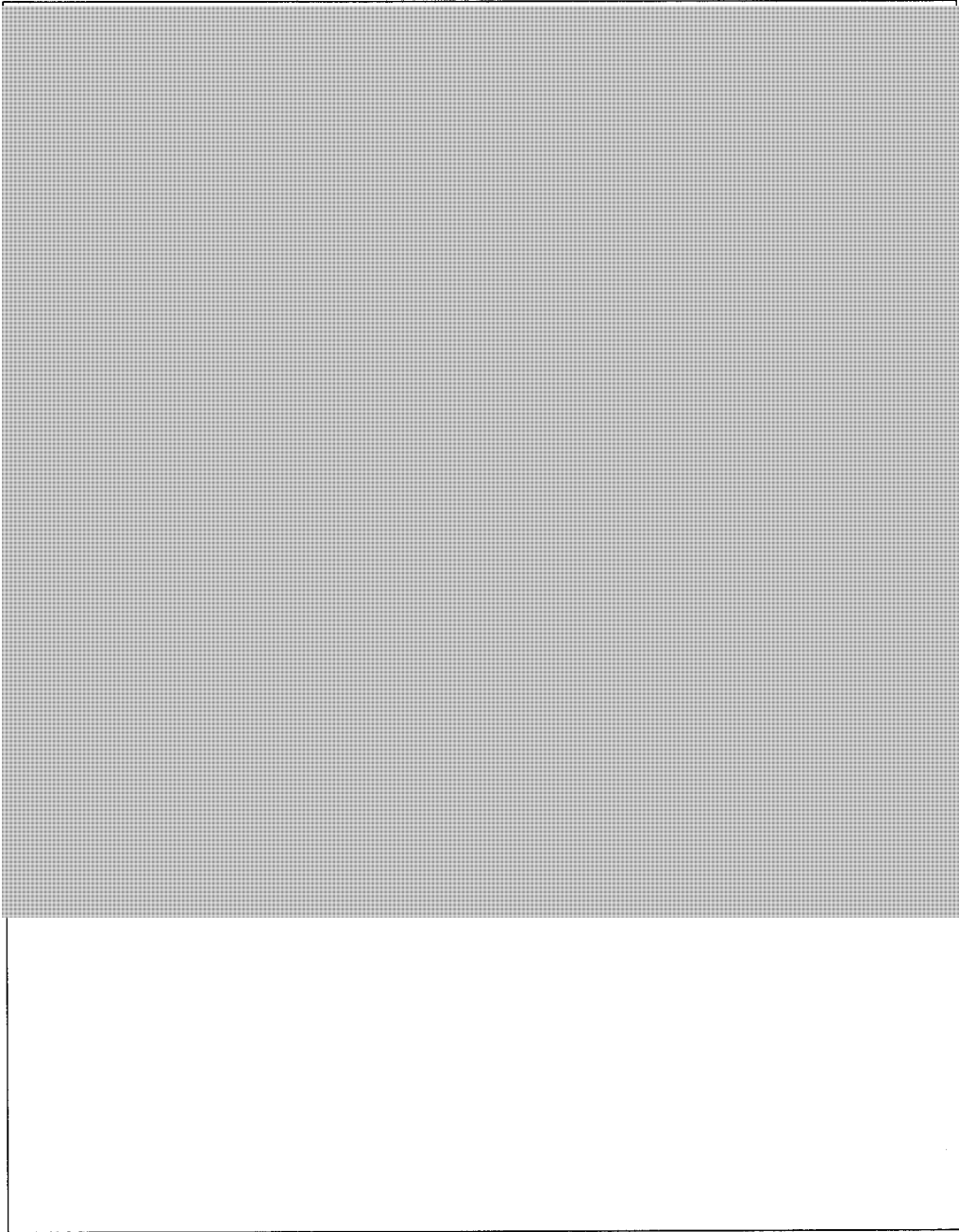
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

Supporting Details:

Comment [bh3]:

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



Finding ID:	771831	Process:	2(i)
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s.20(1)(b)

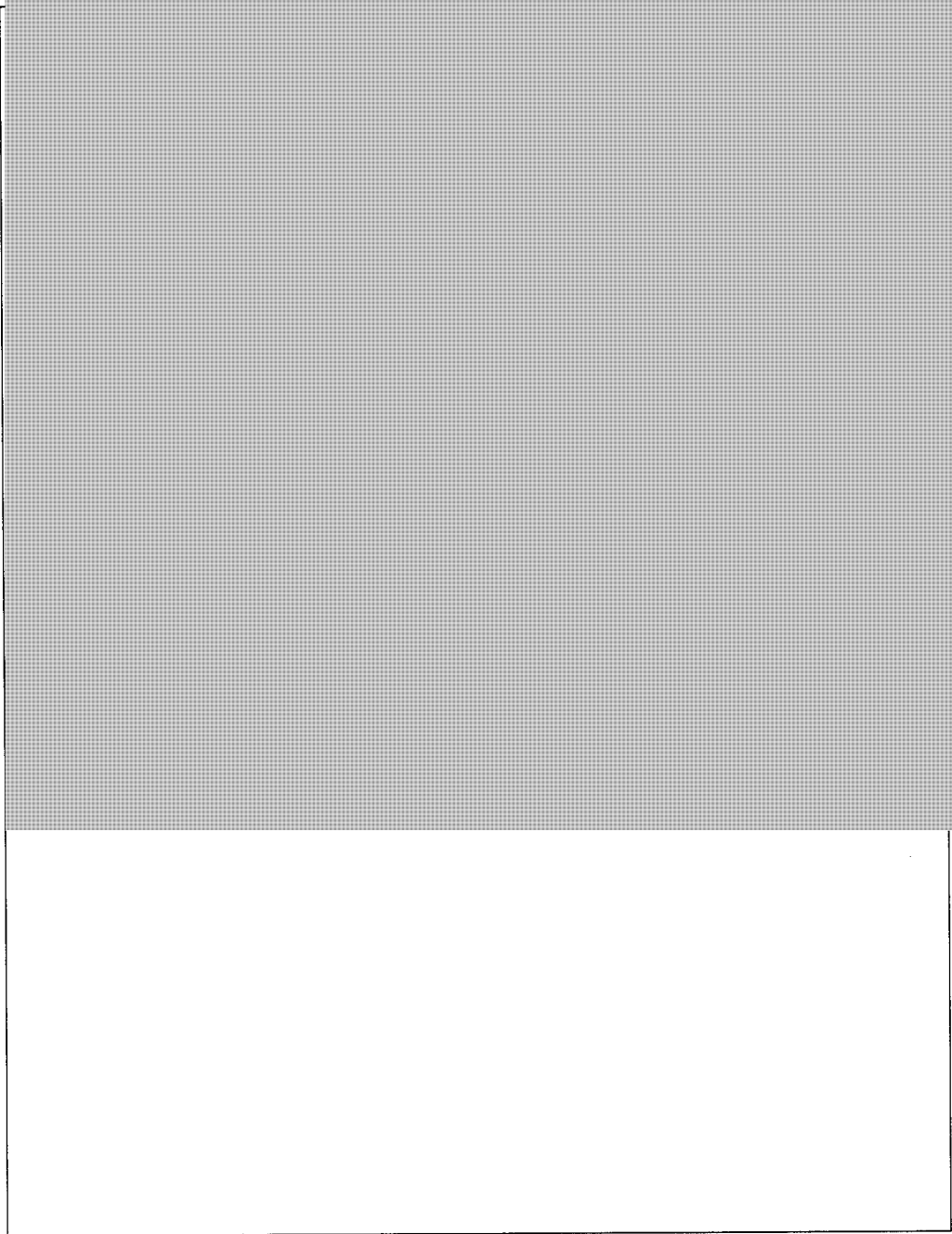
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Regulatory Requirement:
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company
Railway Commitment:
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)
Description of Finding:
[Redacted]
Supporting Details:
[Redacted]

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)



Comment [kz4]:

Comment [bh5]:

Comment [bh7]:

A vertical comment box on the right side of the page, containing three distinct sections. Each section is headed by a bolded label: 'Comment [kz4]:', 'Comment [bh5]:', and 'Comment [bh7]:'. The content of these comments is redacted with the same grey, textured pattern as the main body of the page.

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

Comment [kz8]:
[Redacted]

Comment [bh9]:
[Redacted]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS), Transport Canada Work Rest Rules for Railway Operating Employees (WRR) and Fatigue Management Plans, Requirements and Assessment Guidelines” was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR’s implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada. This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

[Redacted]

[Redacted]

Details are provided in the Findings section of this report.

[Redacted]

Detail description of those findings is provided in the Findings section of this report.

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR (February 2011).
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Audit Scope

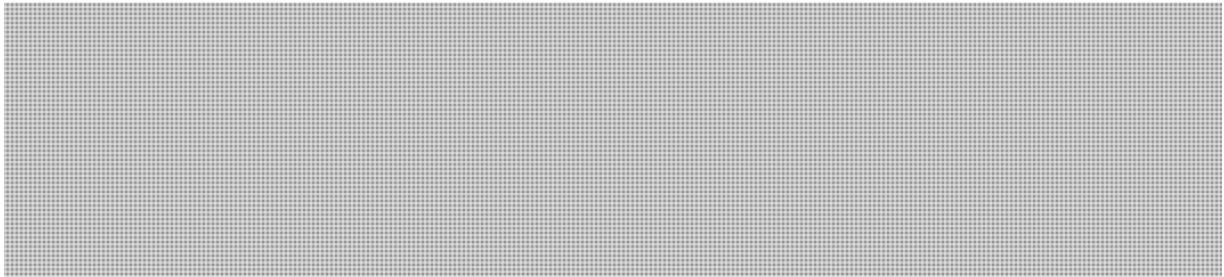
The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of “Work/rest rules for railway operating employees” and “Fatigue Management Plans, Requirements and Assessment Guidelines”.

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues



s.20(1)(b)
 s.20(1)(c)
 s.20(1)(d)
 s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

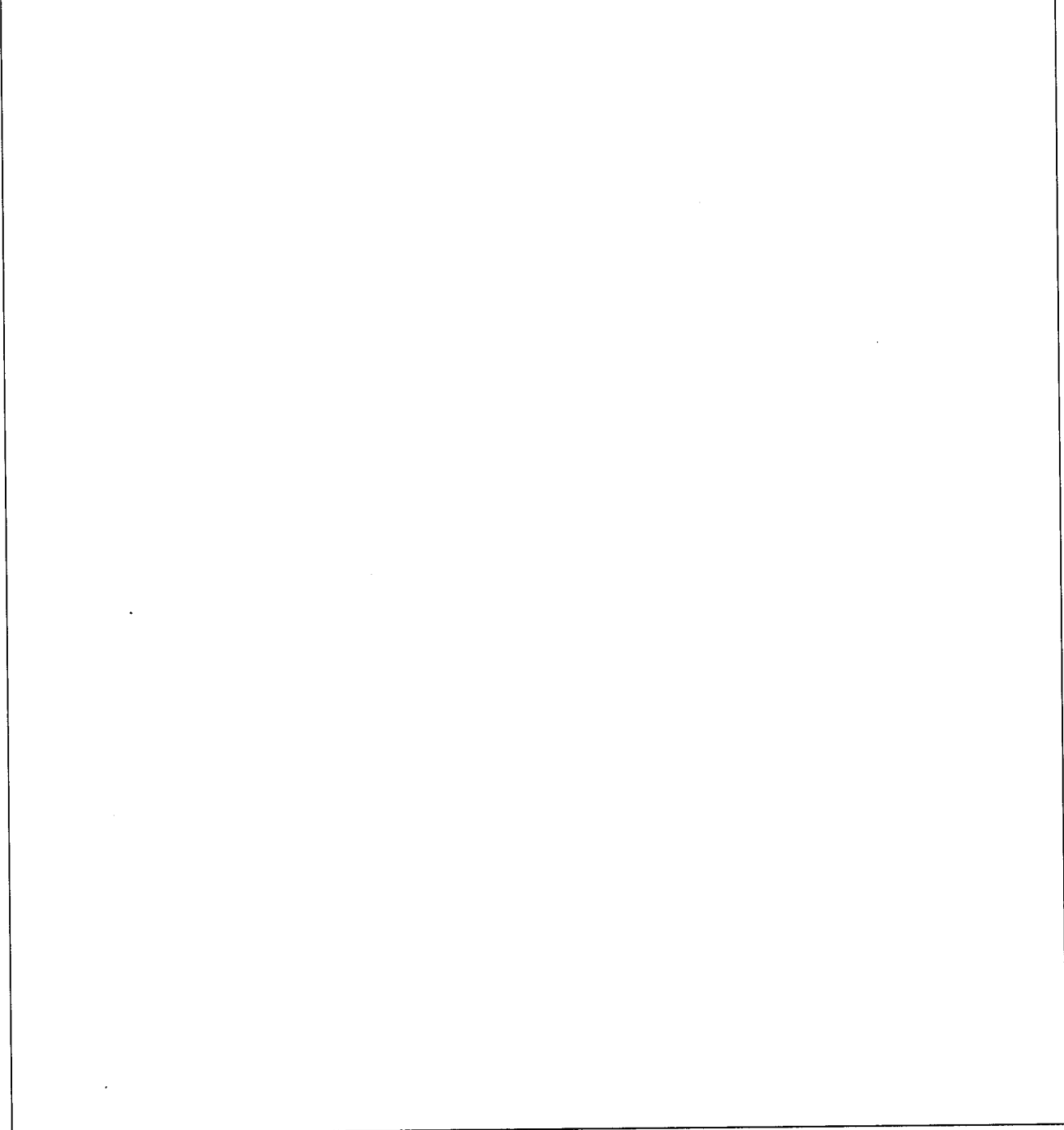
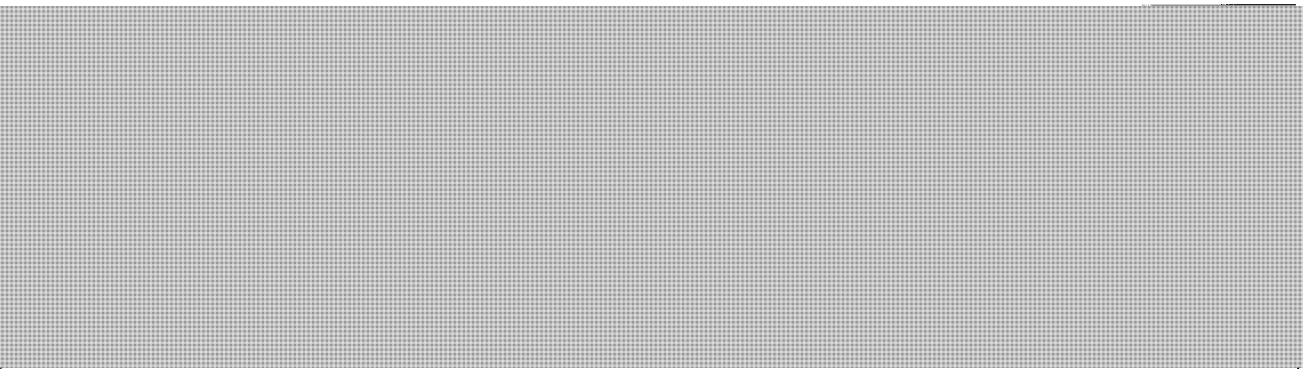
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
 s.20(1)(c)
 s.20(1)(d)
 s.21(1)(b)

Finding ID:	771781	Process:	2(h)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;</p> <p>2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;</p>			
Railway Commitment:			
<p>General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]</p>			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Finding ID:	771786	Process:	2(d)
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s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:

2(d) systems for identifying applicable

(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and

(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

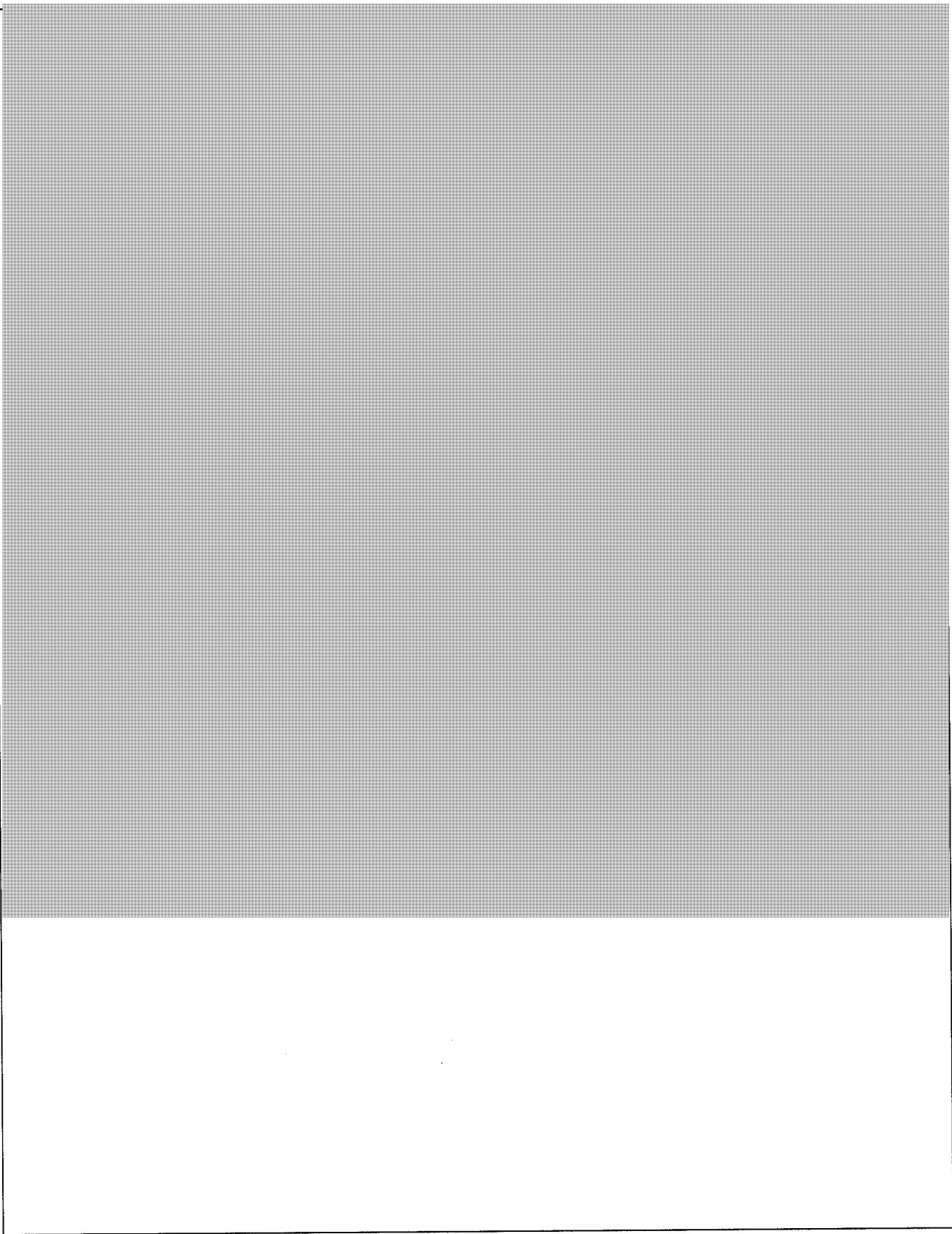
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

Description of Finding:

[Redacted]

Supporting Details:

[Redacted]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS) and Transport Canada Work Rest Rules for Railway Operating Employees (WRR) was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada.

This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

[Redacted]

[Redacted]

Details are provided in the Findings section of this report.

[Redacted]

Detail description of those findings is provided in the Findings section of this report.

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014.

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR (February 2011).
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of “Work/rest rules for railway operating employees” and “Fatigue Management Plans, Requirements and Assessment Guidelines”.

Following components of the Safety Management Systems Regulations were also applicable:

2(b) Safety authorities, responsibilities and accountabilities

2(d) Compliance with applicable regulations, rules, standards and orders

2(e) Risk management process

2(h) Skills, training and supervision

2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues



s.20(1)(b)
 s.20(1)(c)
 s.20(1)(d)
 s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

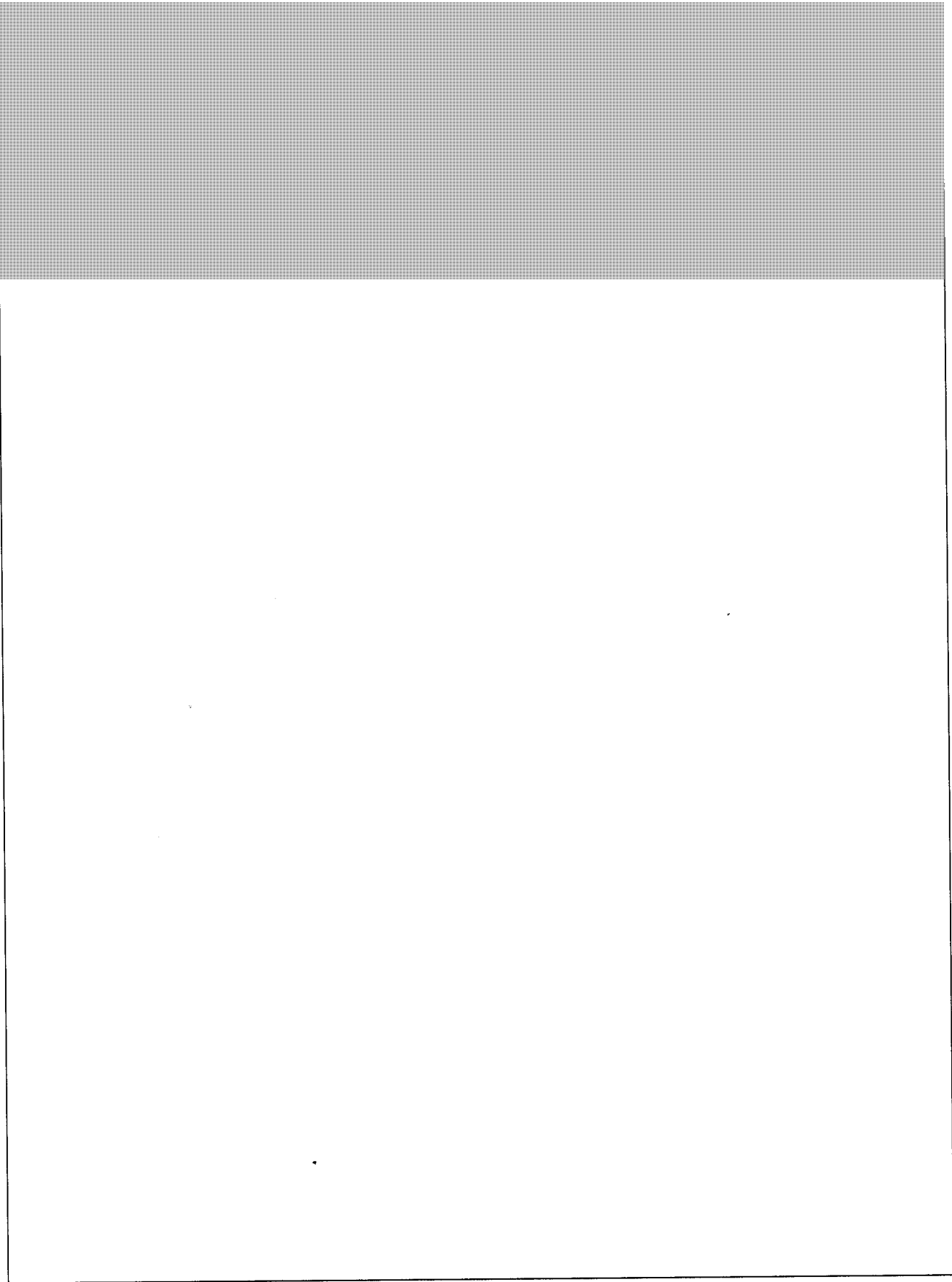
Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771781	Process:	2(h)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;
2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:

2(d) systems for identifying applicable

(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and

(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011),

Description of Finding:

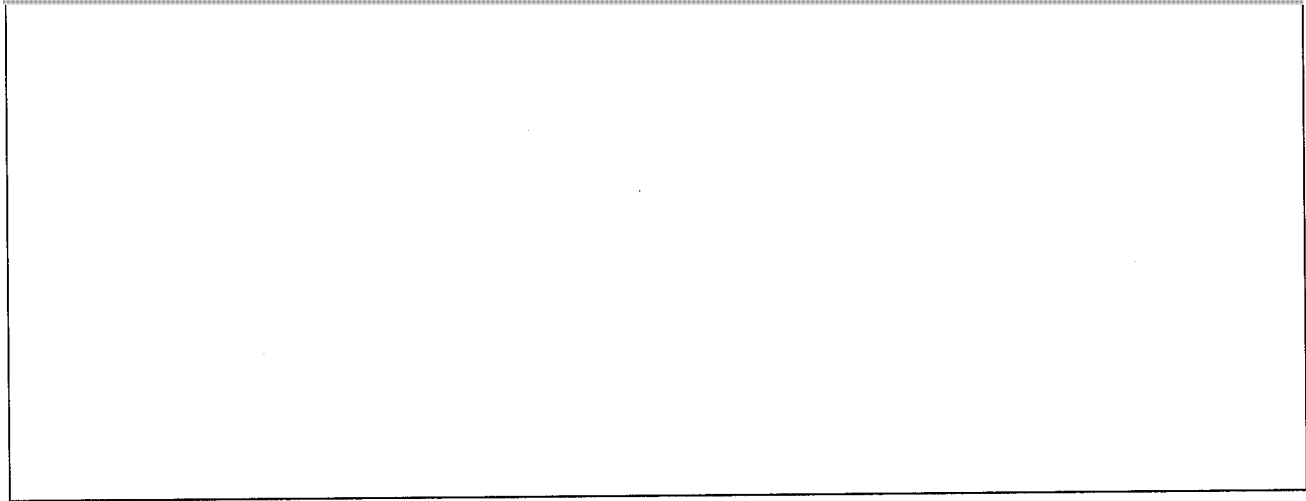
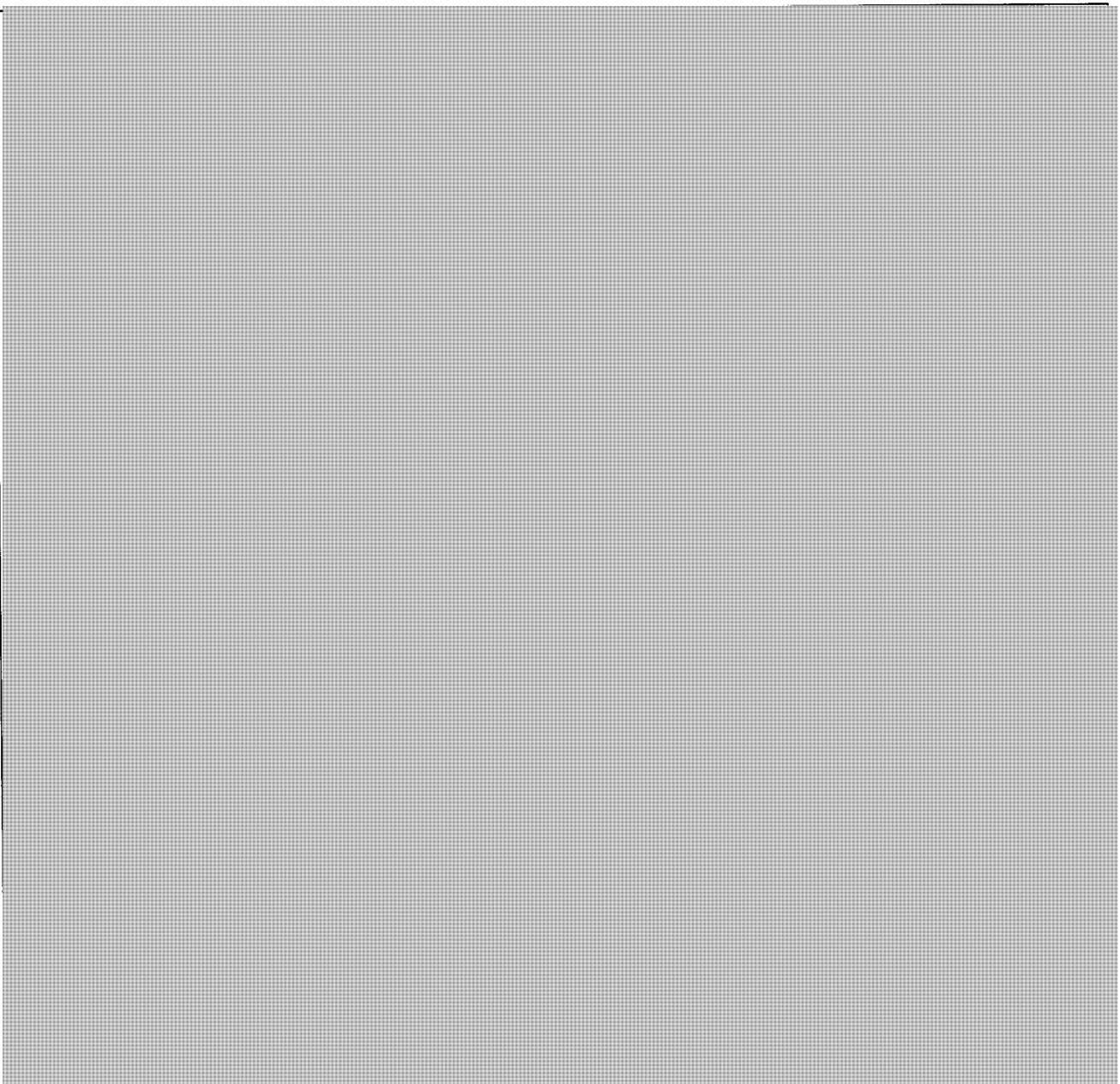
Supporting Details:

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

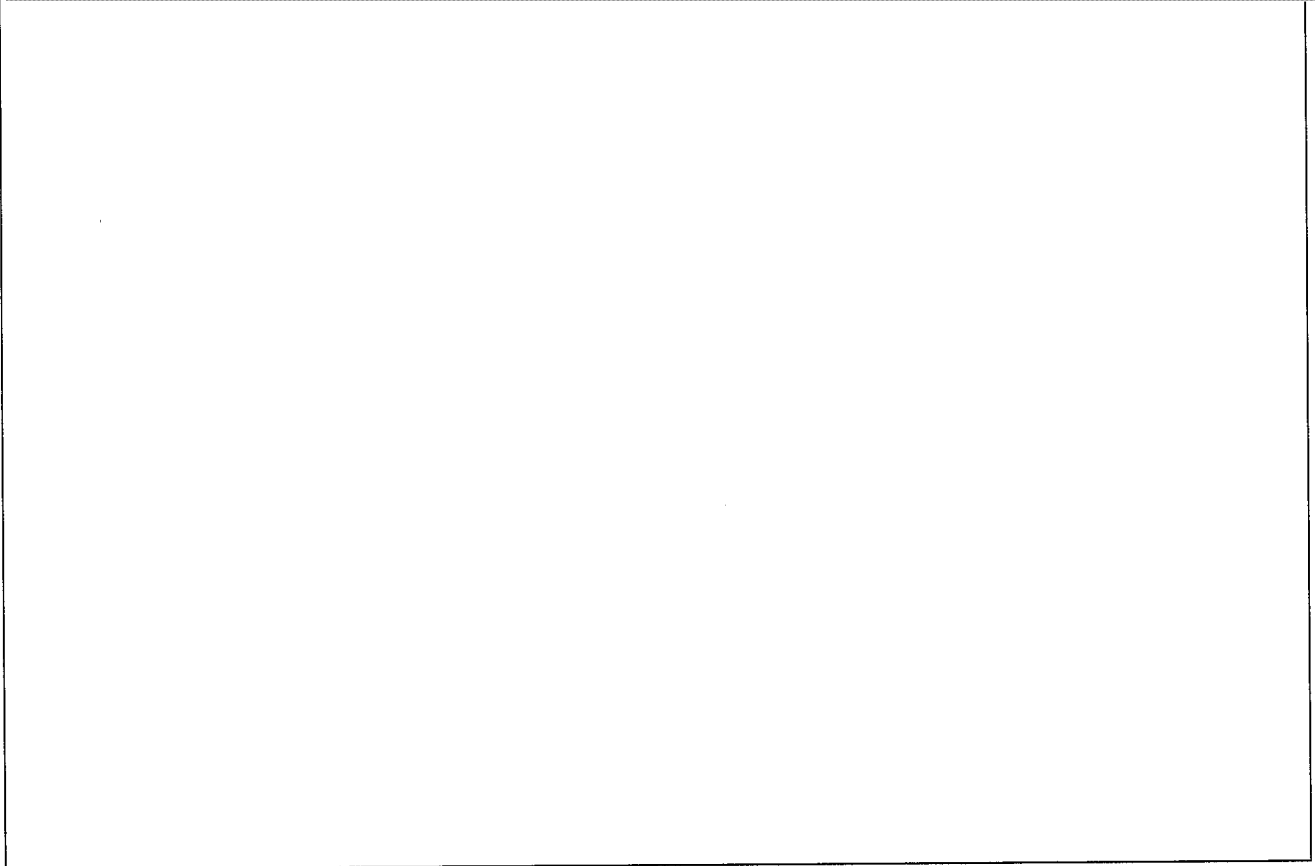
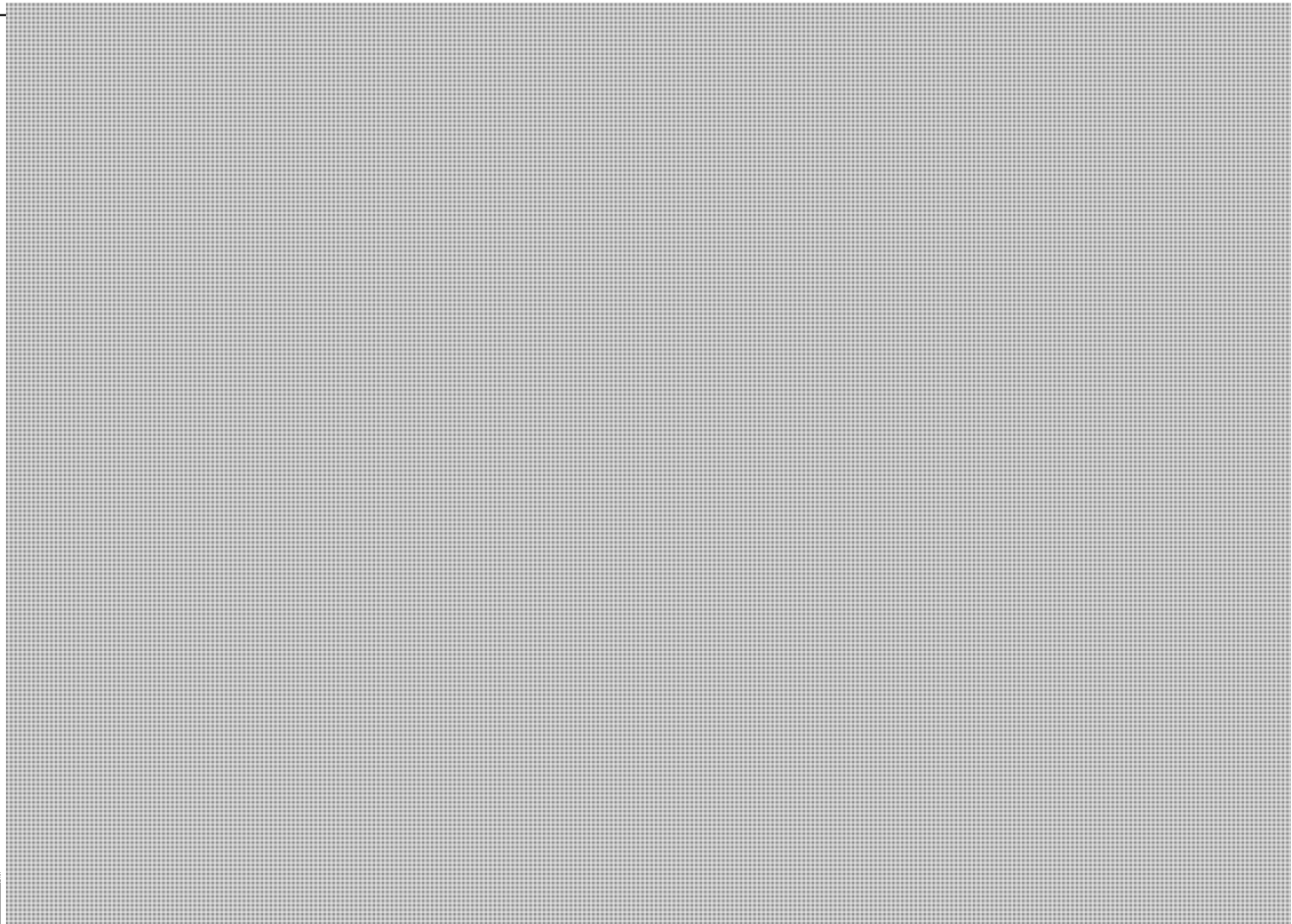
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS) was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the Fatigue Management Plan, as defined by CP and submitted to Transport Canada.

This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews and interviews with personnel.

[Redacted]

The following provides an overview of the findings.

[Redacted]

Comment [BR1]:

Comment [bh2]:

Comment [bh3]:

Comment [bh4]:

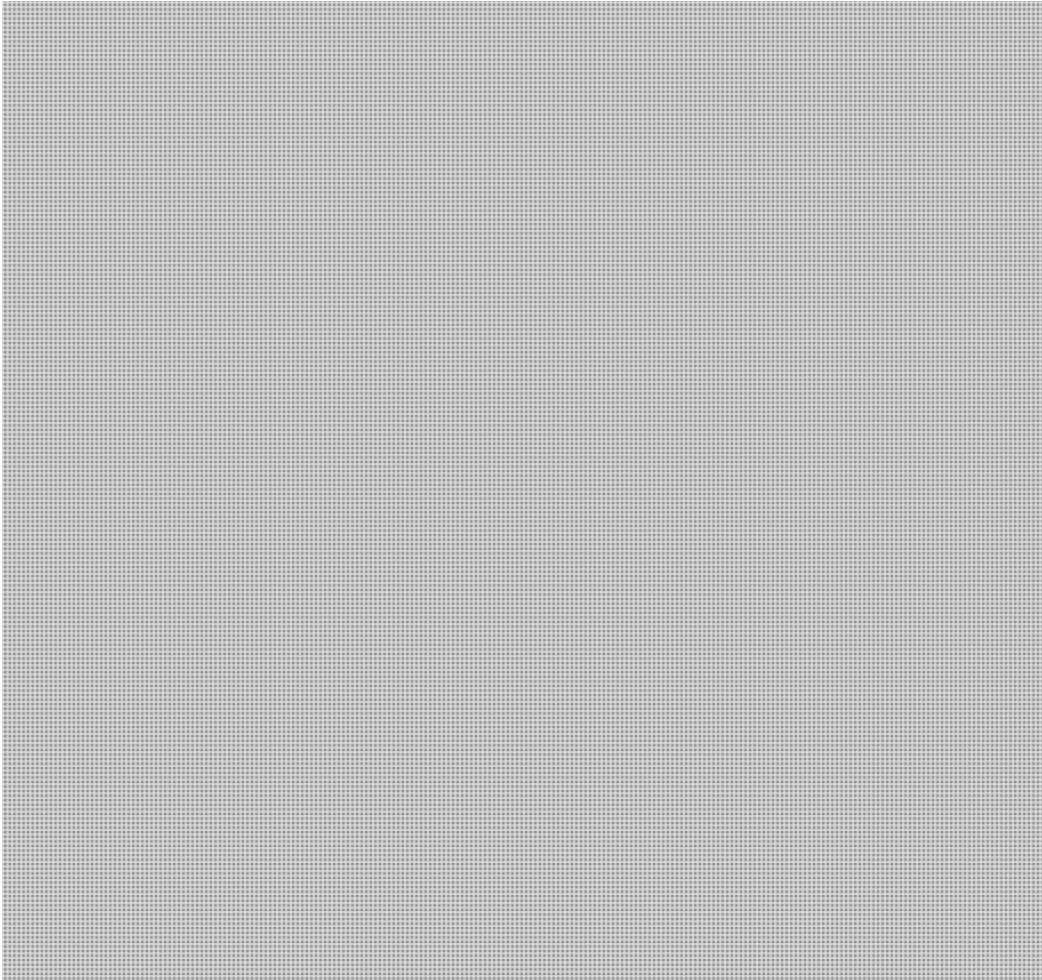
Comment [BR5]:

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



Comment [BR6]:

Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt Alyth facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

Comment [BR7]: This should be Alyth or Ogdan?

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR.
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the [REDACTED] from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation.

[REDACTED]

Comment [bh8]:
Comment [BR9]:

Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
 - 2(d) Compliance with applicable regulations, rules, standards and orders
 - 2(e) Risk management process
 - 2(h) Skills, training and supervision
 - 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)
- All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Other Issues

Other issues to be reported here, if any ([redacted])

Comment [bh10]: I've already amended this seviton and added the following text:
[redacted]

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption,</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [redacted] 			
Description of Finding			
[redacted]			
Supporting Details:			
[redacted]			

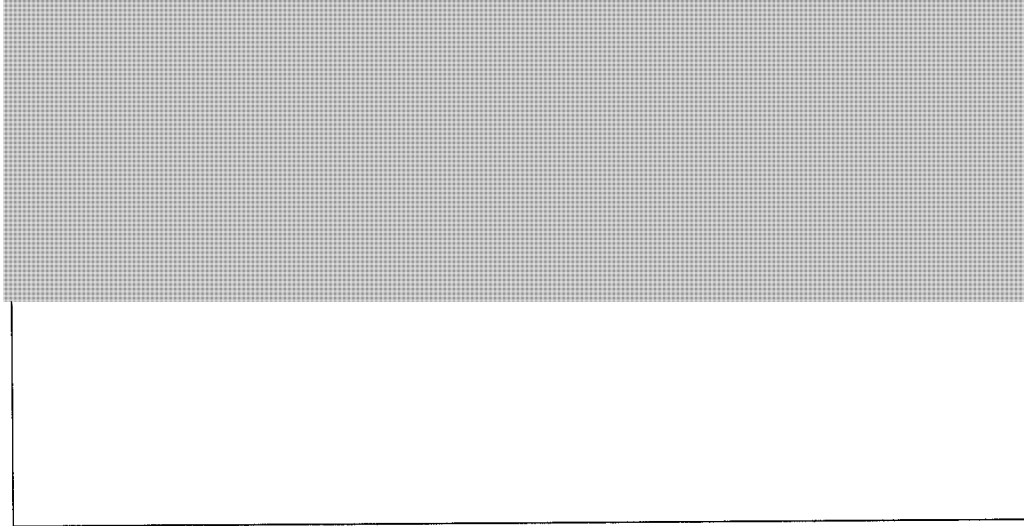
Comment [bh11]: These forms are asa per RSIG, therefore templates.
[redacted]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

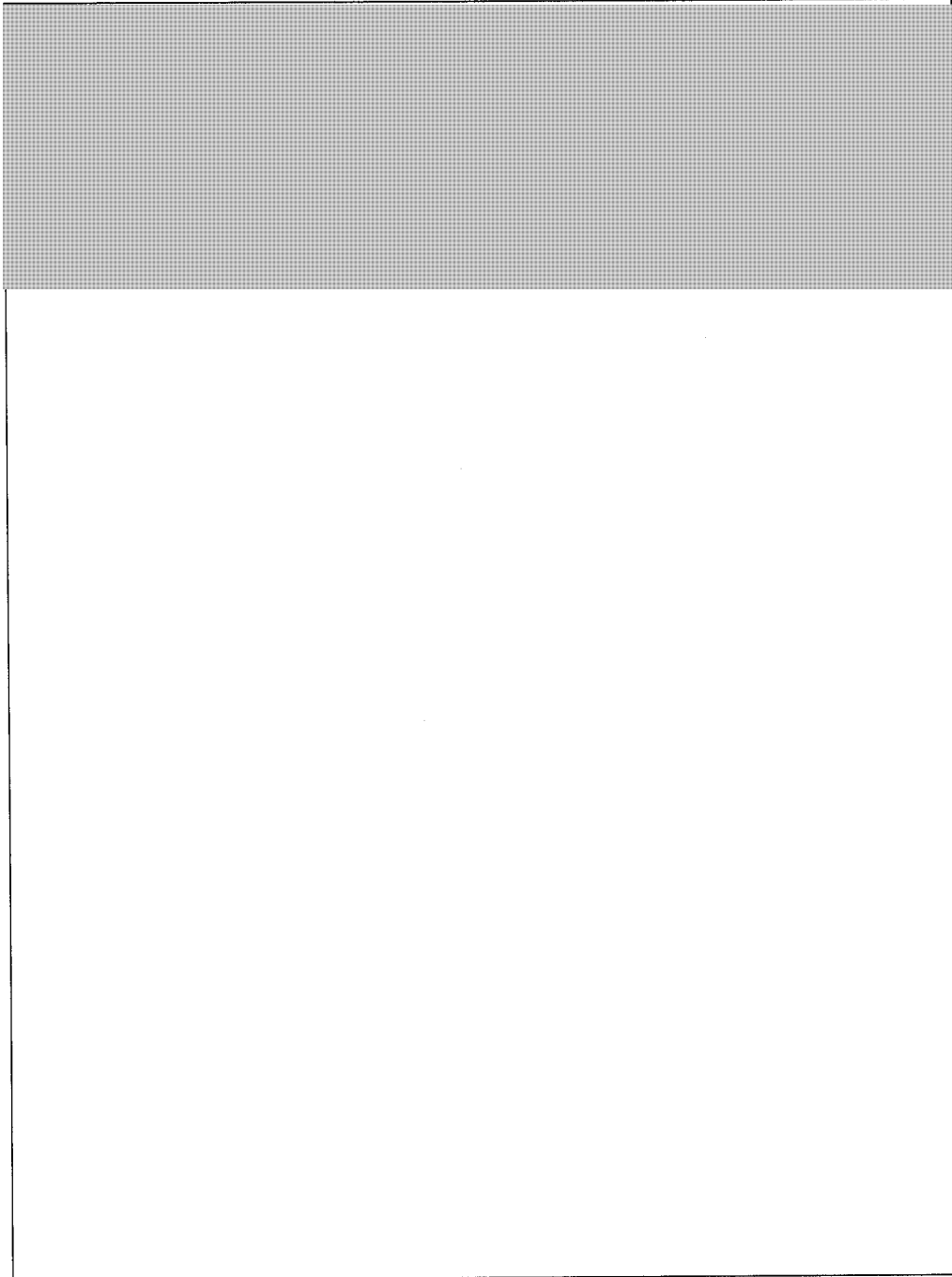
Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding: [REDACTED]			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

Finding ID:	771781	Process:	Training
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component; 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding: [REDACTED]			
[REDACTED]			
Supporting Details:			
[REDACTED]			

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

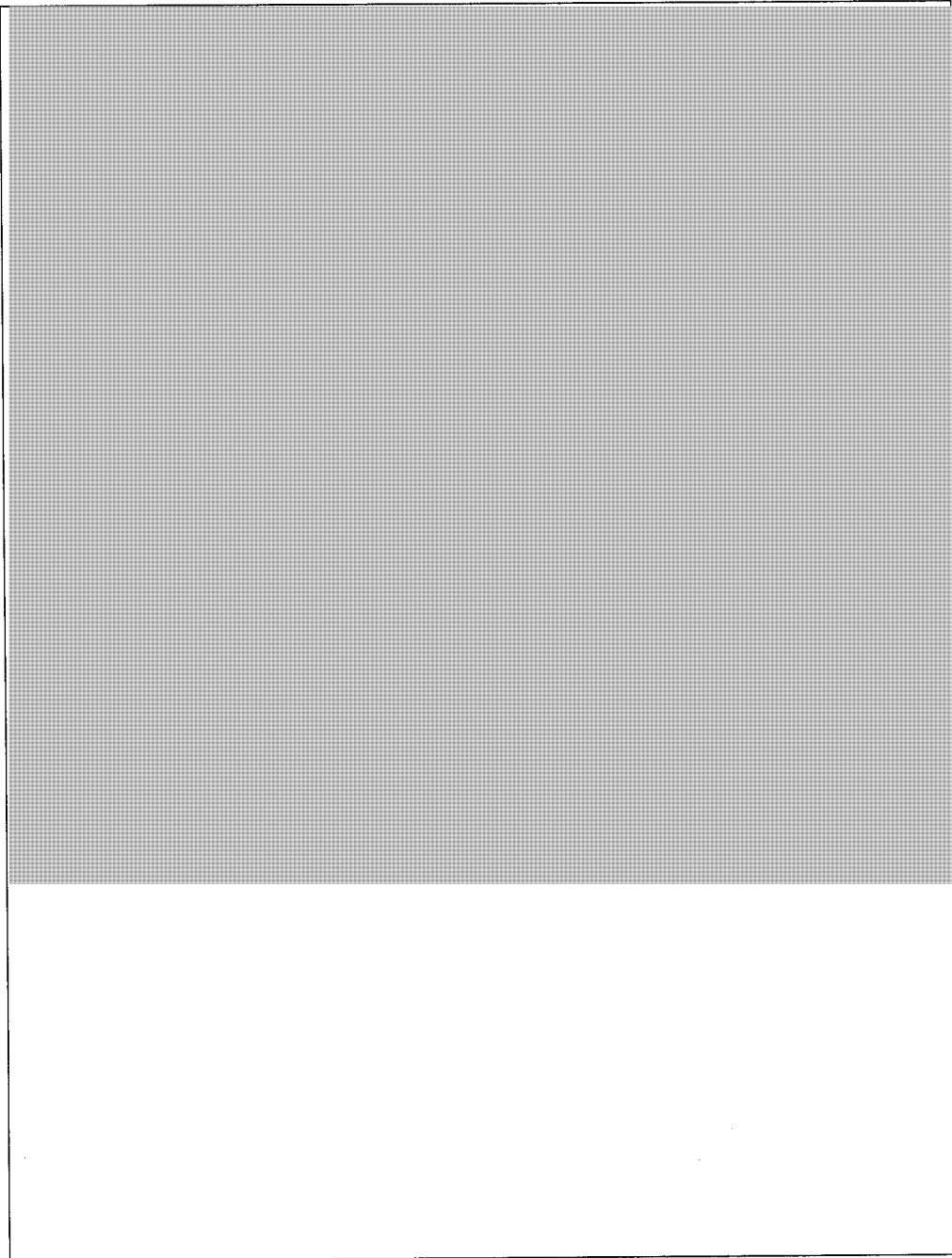
Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding: [REDACTED]			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

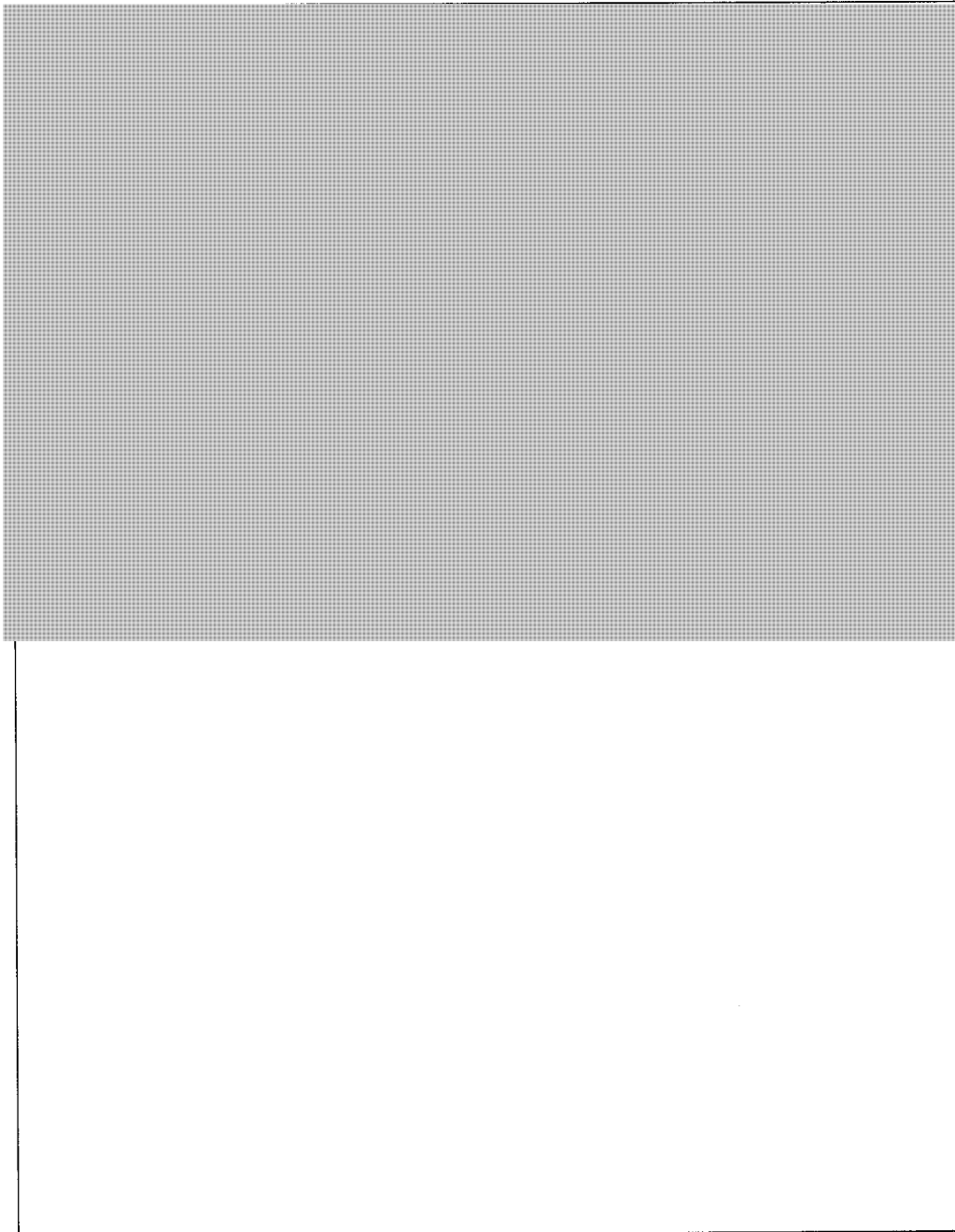
Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding: [REDACTED]			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

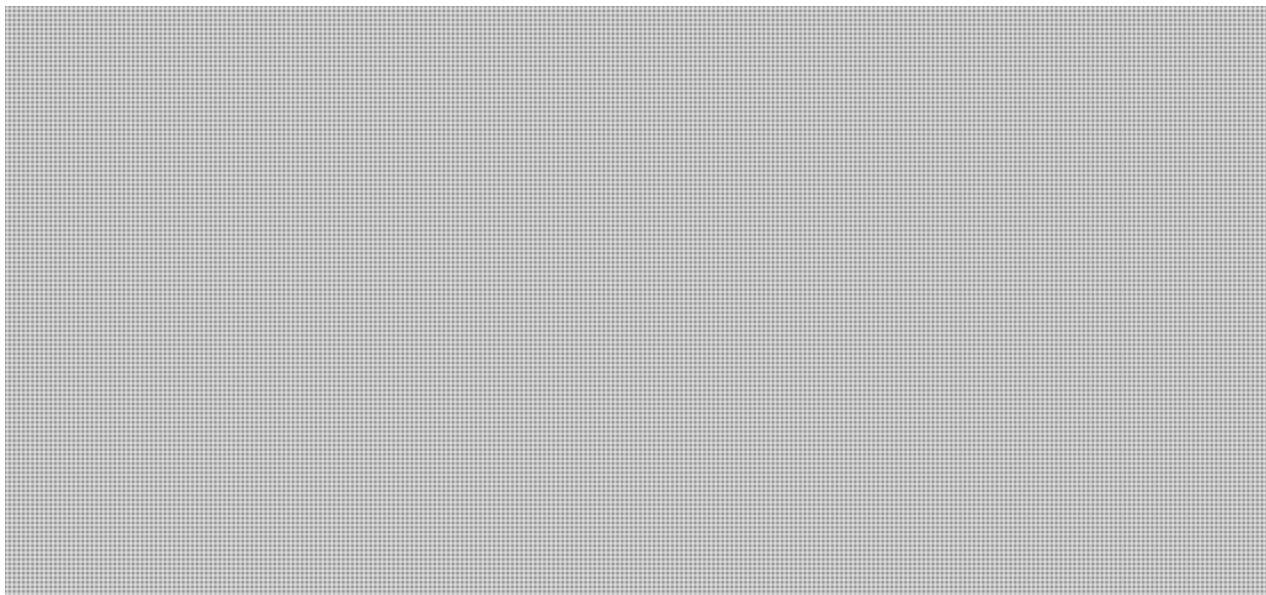
Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS) and Transport Canada Work Rest Rules for Railway Operating Employees was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the Fatigue Management Plan, as defined by CP and submitted to Transport Canada.

This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the Work Rest Rules (WRR) as well as their implementation as defined by the Railway. This assessment was carried out through record reviews and interviews with personnel.

All these are reported as findings in this report.

The following provides an overview of the findings. Each one requires a corrective action:



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)





Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. 



The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

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- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR (February 2011).
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. CPR will be responsible for submitting evidence of implementation of planned corrective actions per the timelines outlined in their corrective action plan. TC must be notified of any changes to the corrective action plan.

Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

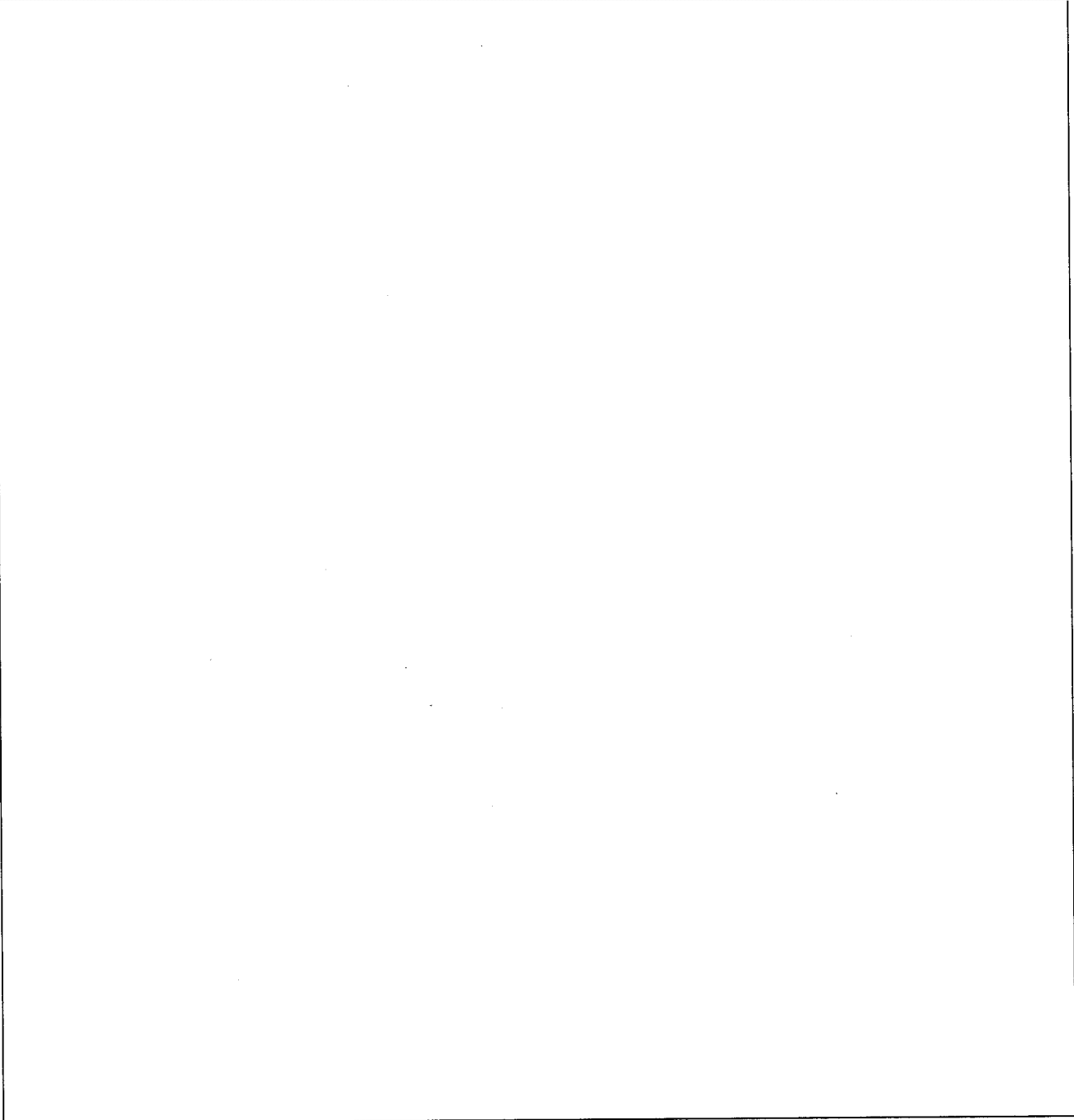
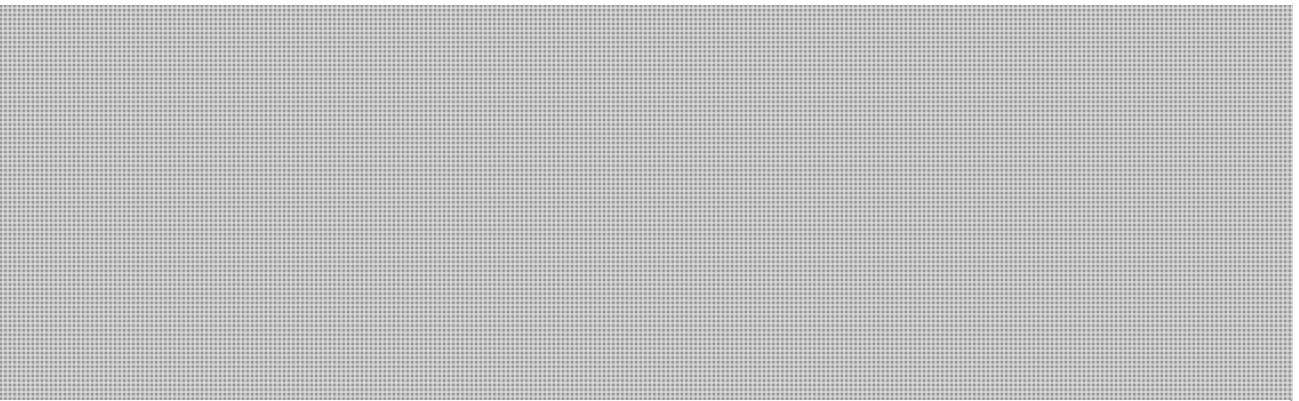
Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771781	Process:	2(h)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;
2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:

2(d) systems for identifying applicable

(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and

(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

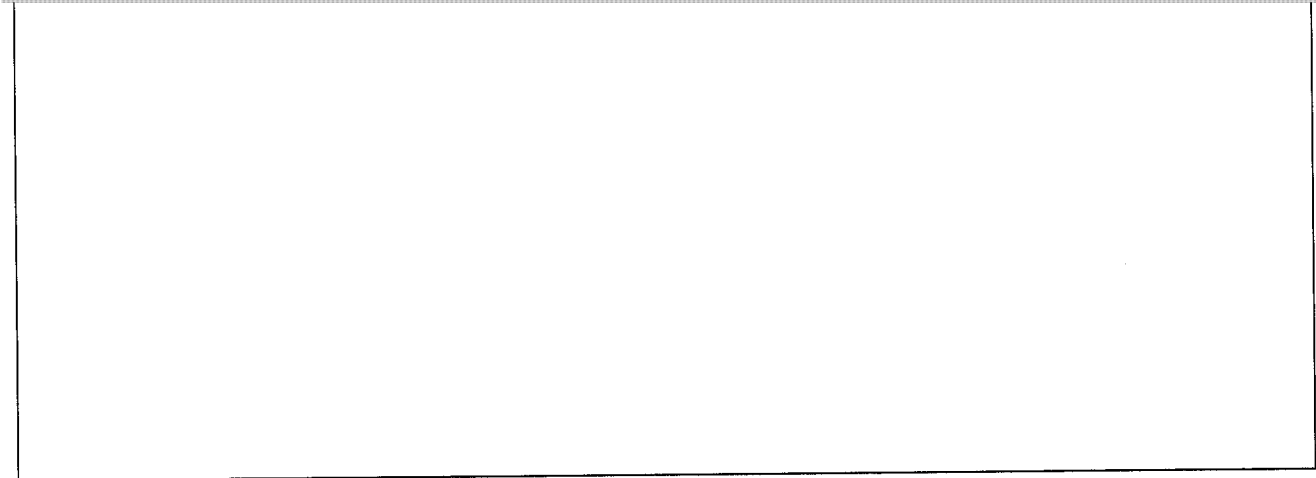
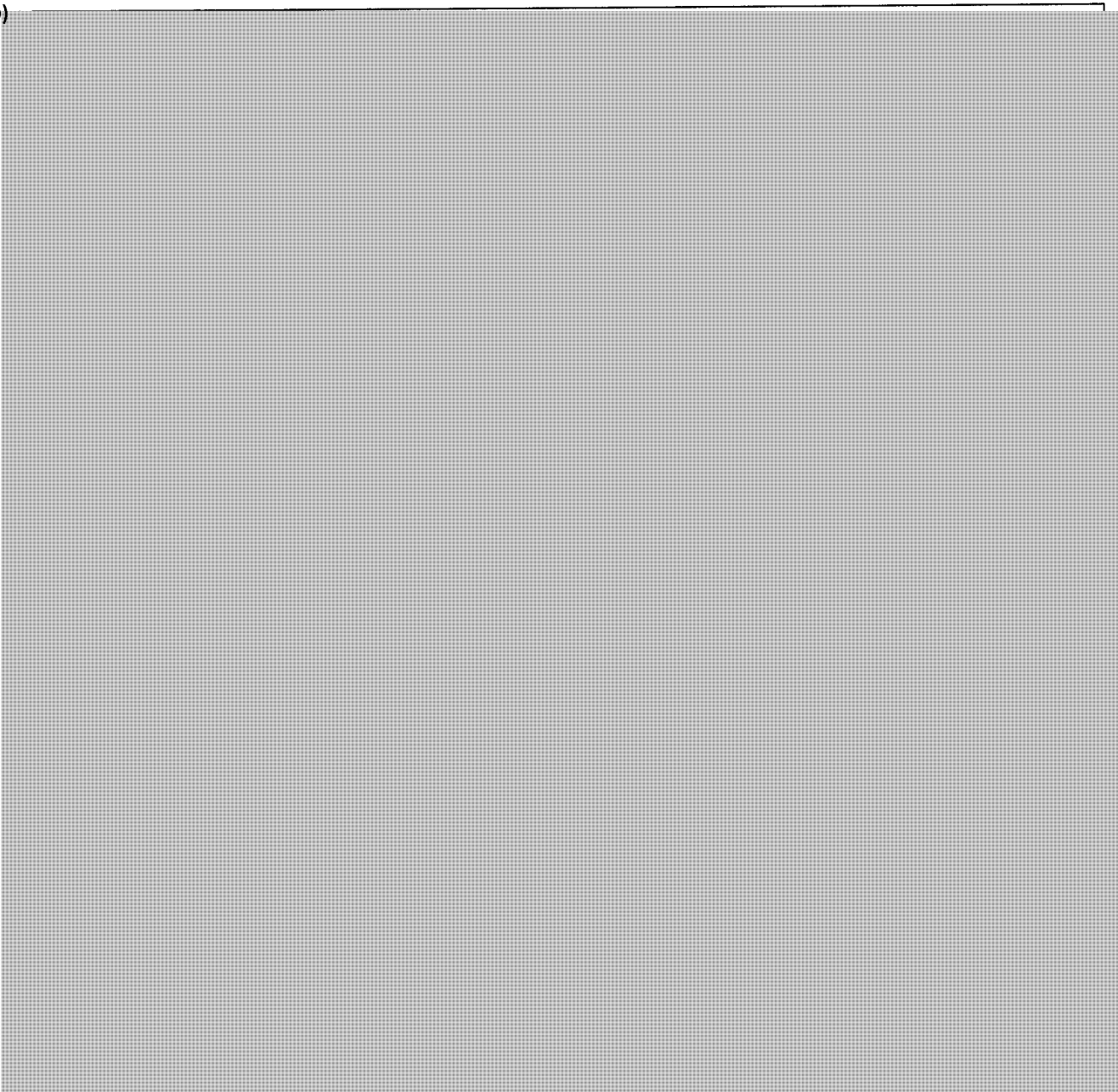
Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

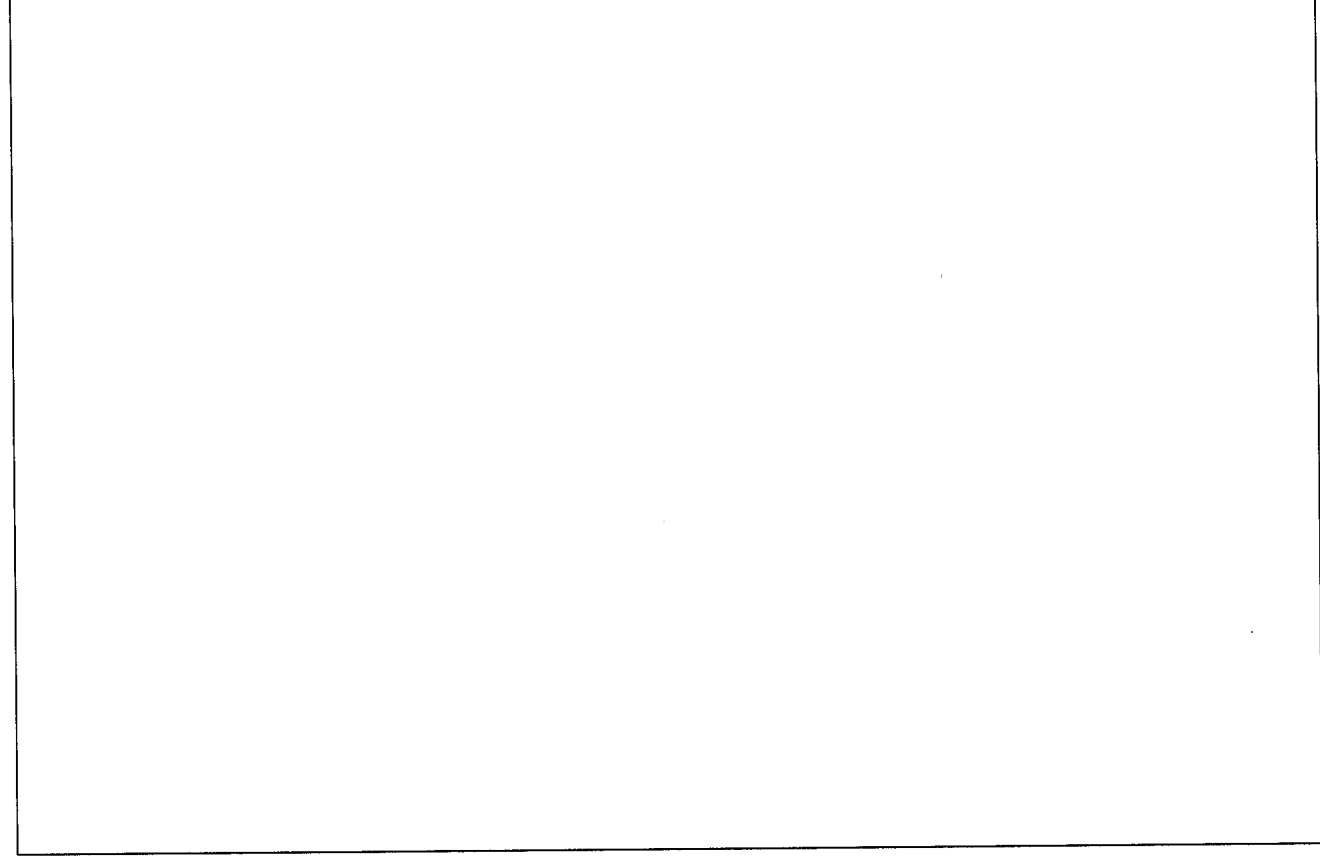
Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS) was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the Fatigue Management Plan, as defined by CP and submitted to Transport Canada.

This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews and interviews with personnel.

The following provides an overview of the findings. Each one requires a corrective action:

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014.

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR.
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. CPR will be responsible for submitting evidence of implementation of planned corrective actions per the timelines outlined in their corrective action plan. TC must be notified of any changes to the corrective action plan.

Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

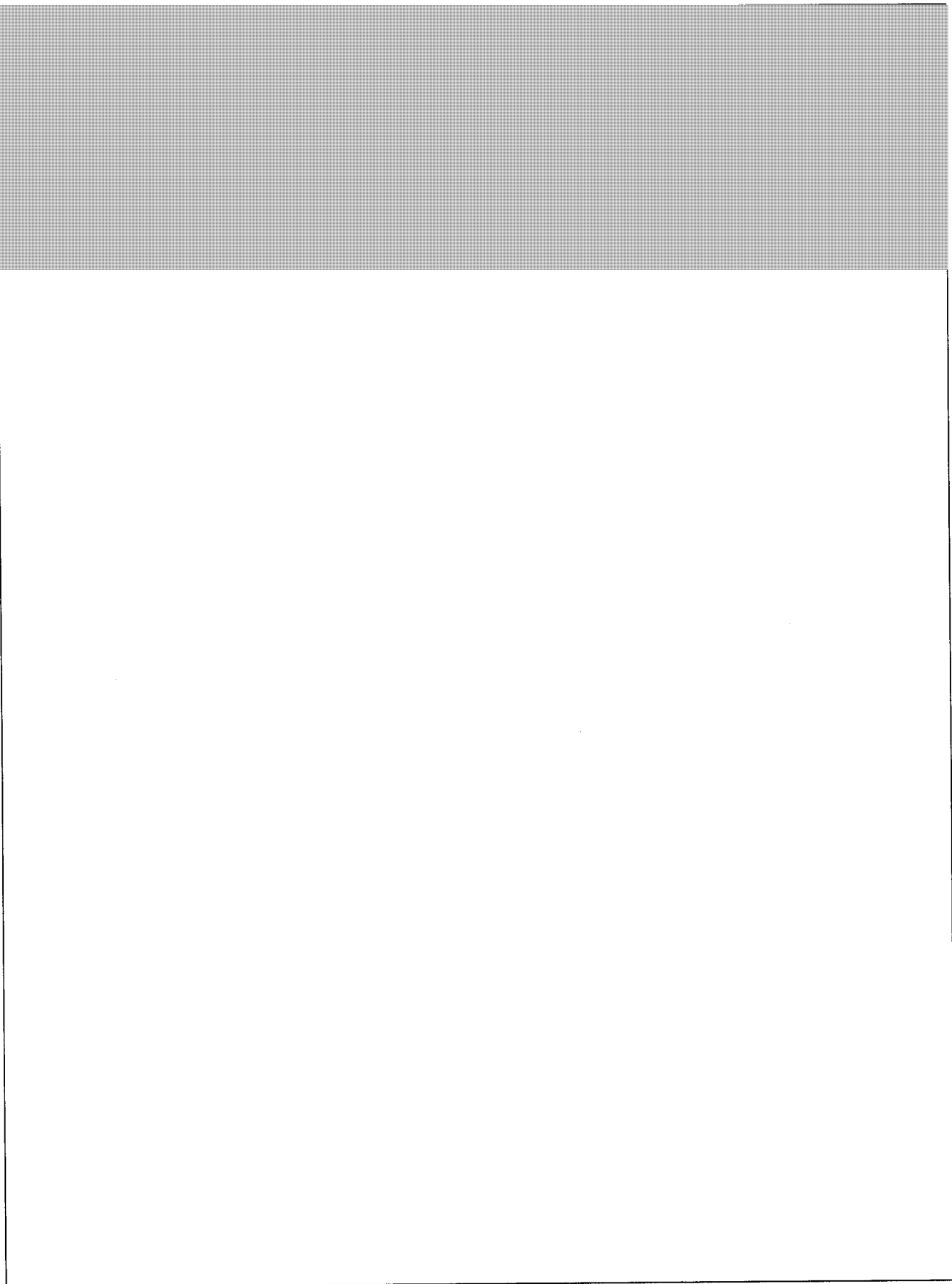
Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771781	Process:	Training
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component; 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

s.20(1)(b)

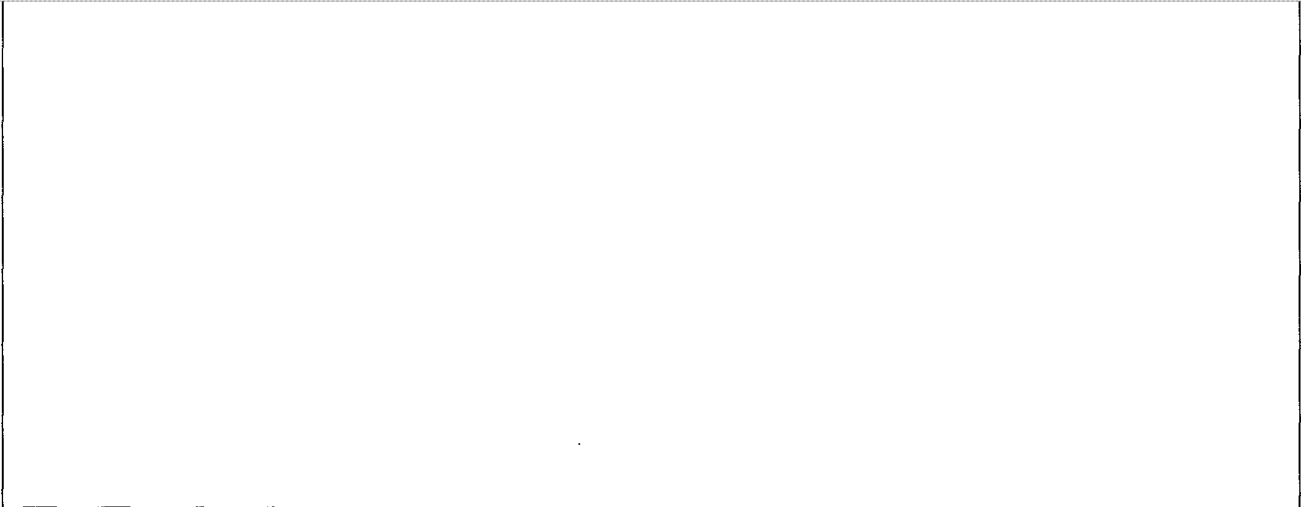
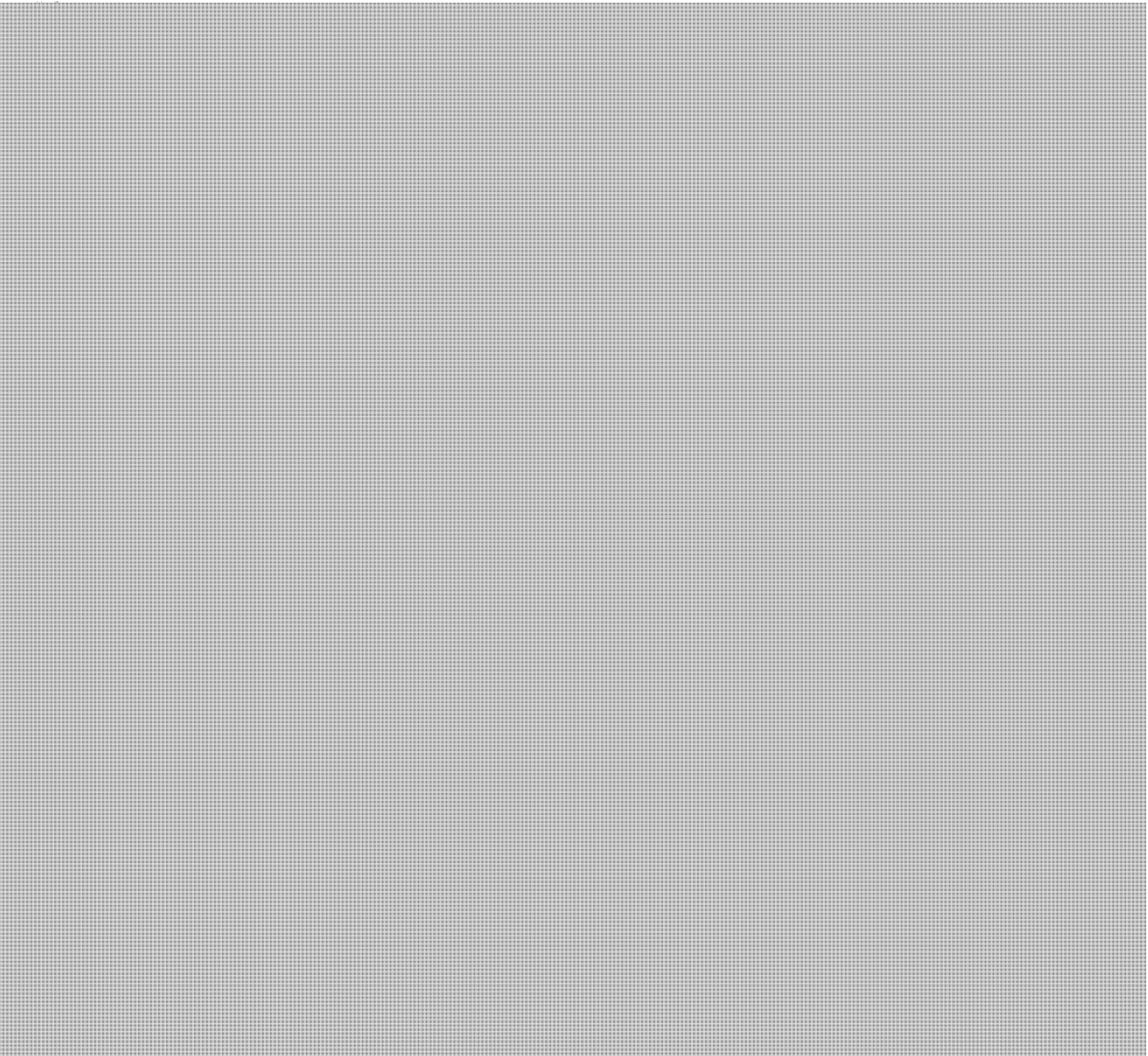
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

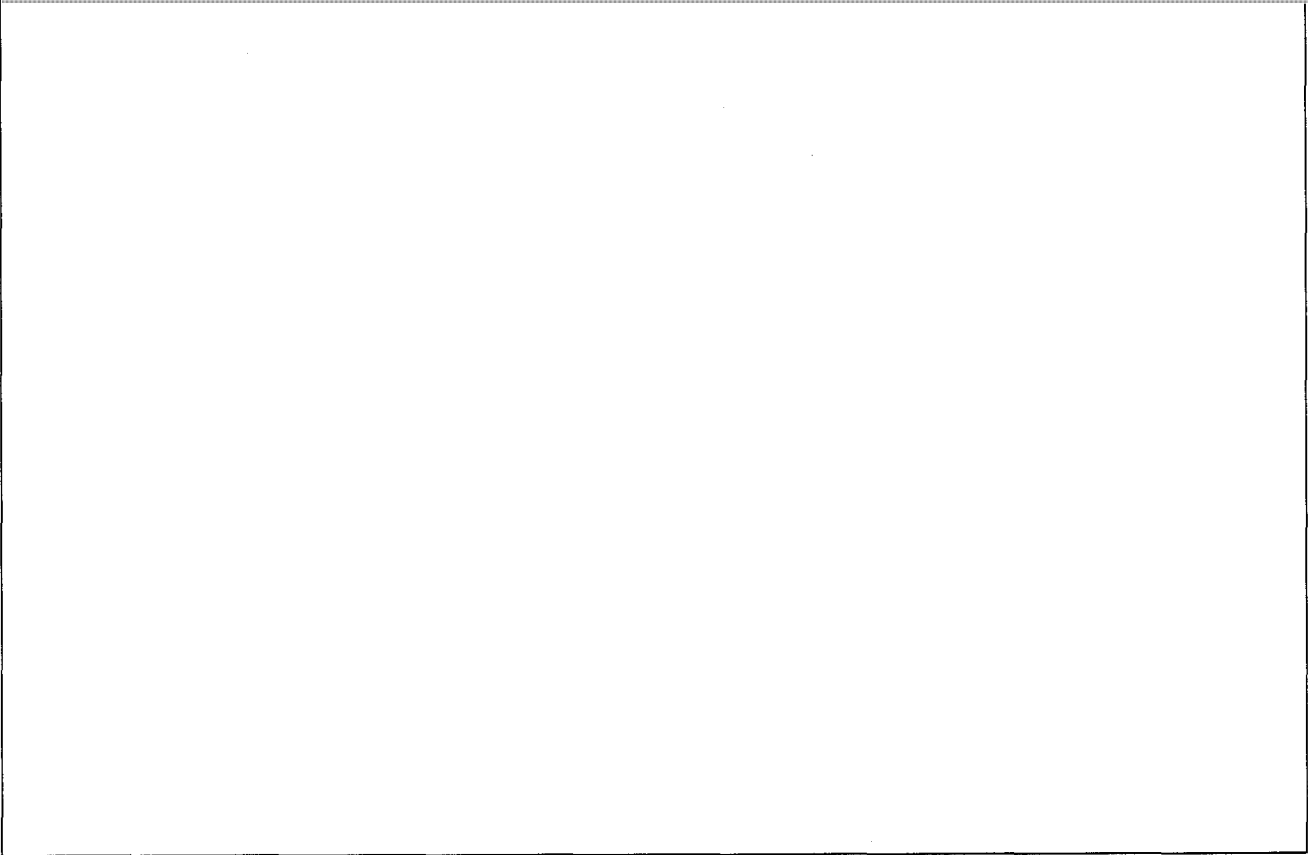
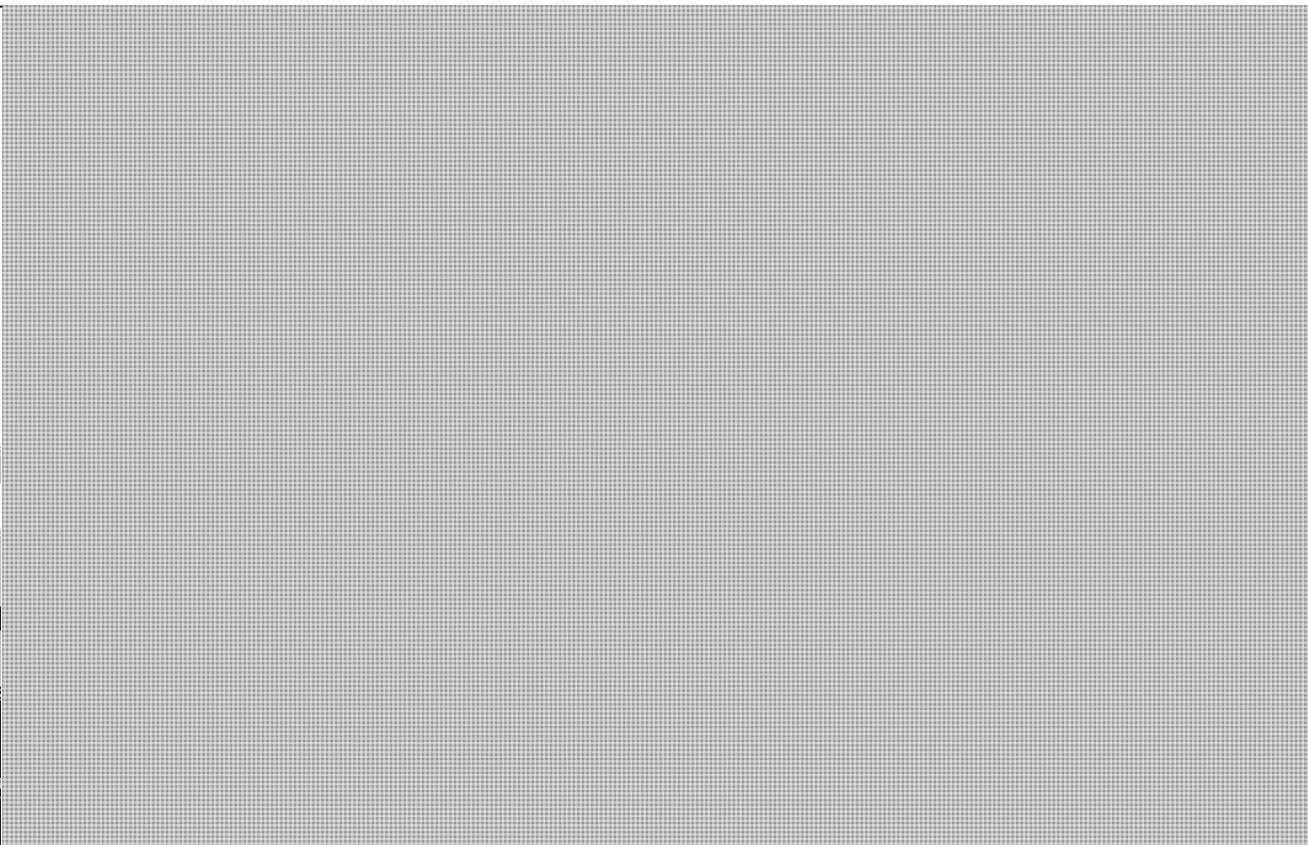
s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6 , 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

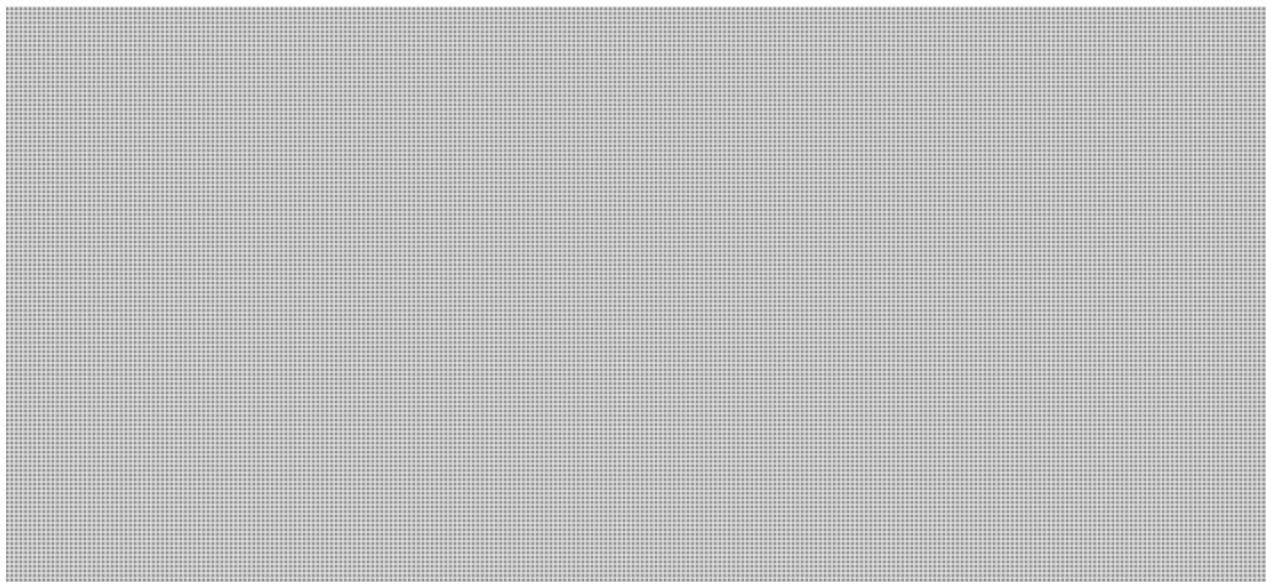
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The following provides an overview of the findings. Each one requires a corrective action:



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



Introduction

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- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

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- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
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- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

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Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
 - 2(d) Compliance with applicable regulations, rules, standards and orders
 - 2(e) Risk management process
 - 2(h) Skills, training and supervision
 - 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)
- All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues

Other issues to be reported here, if any.

Audit Findings

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

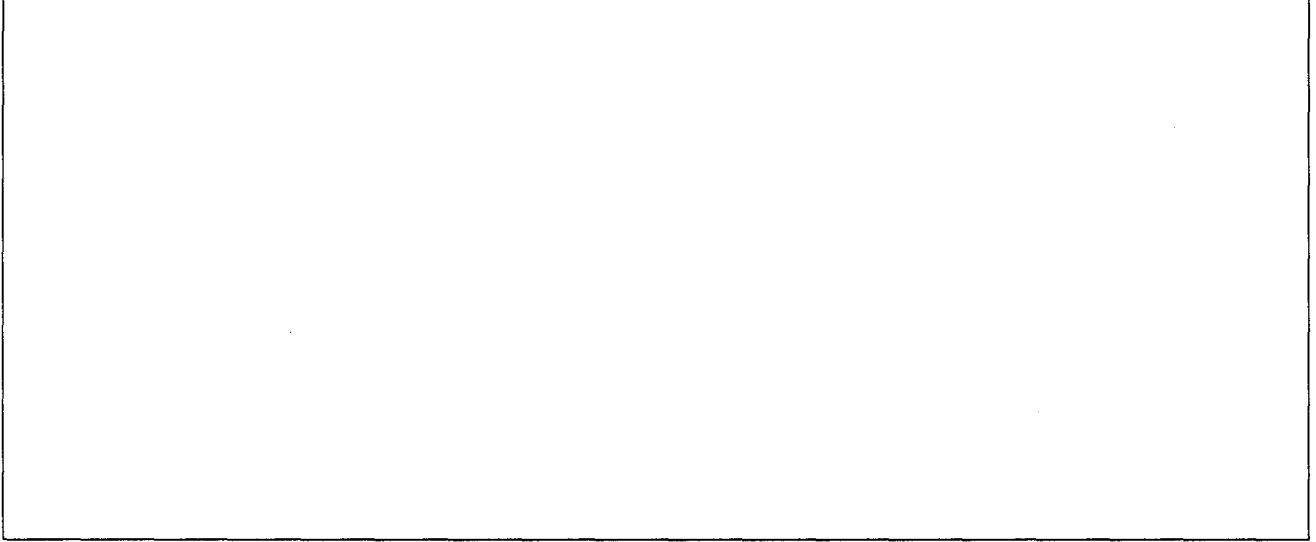
Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011,			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

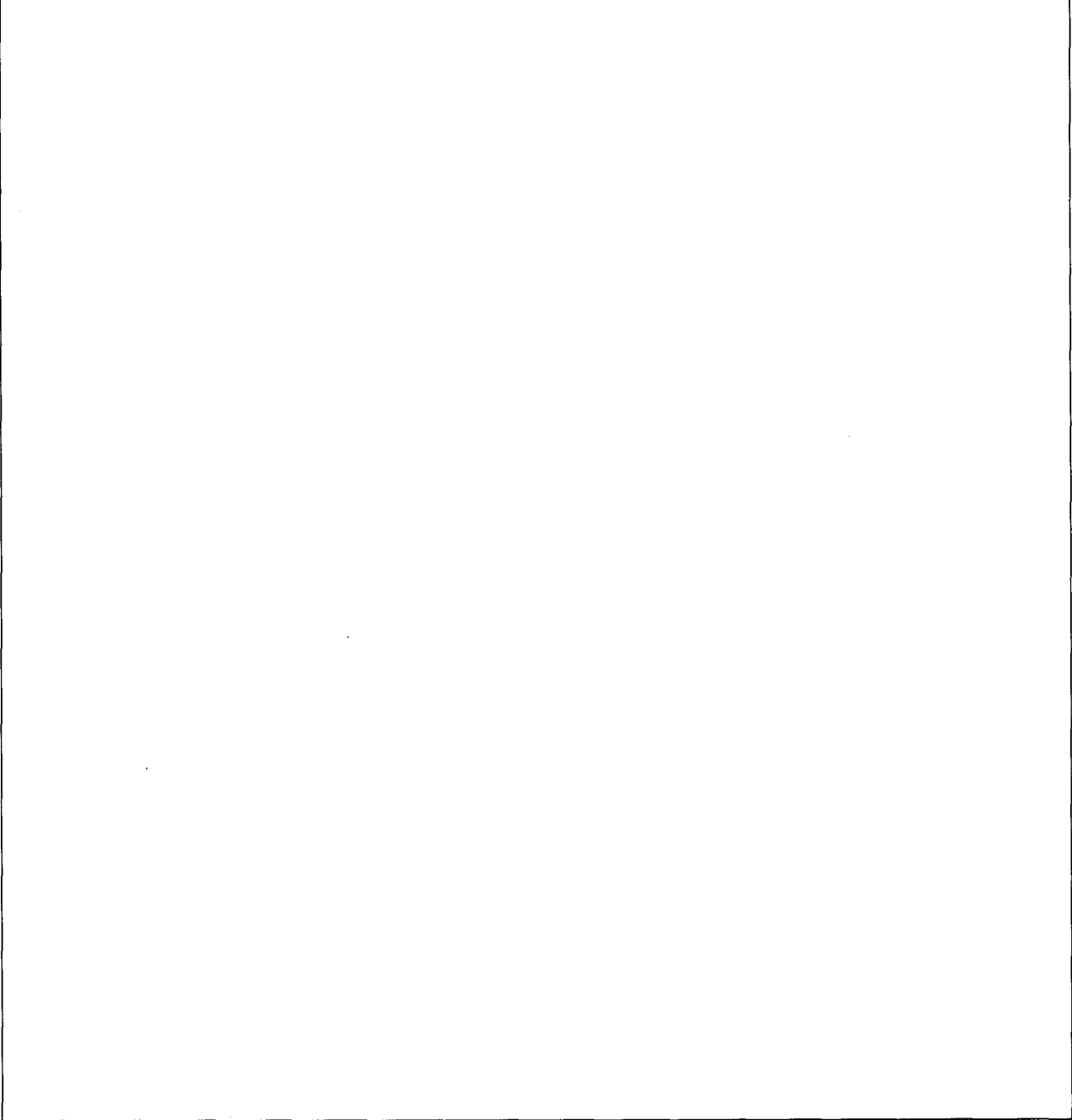
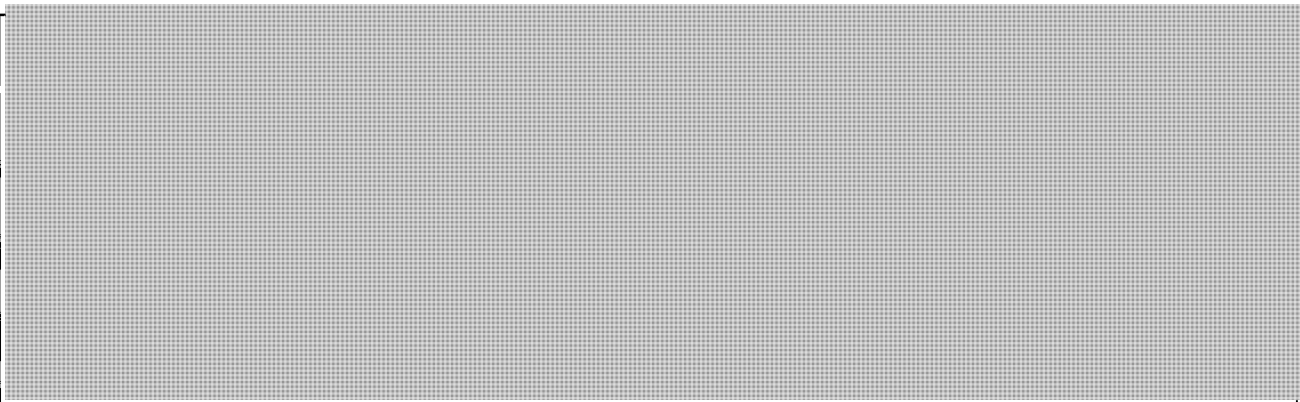
Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771781	Process:	Training
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component; 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

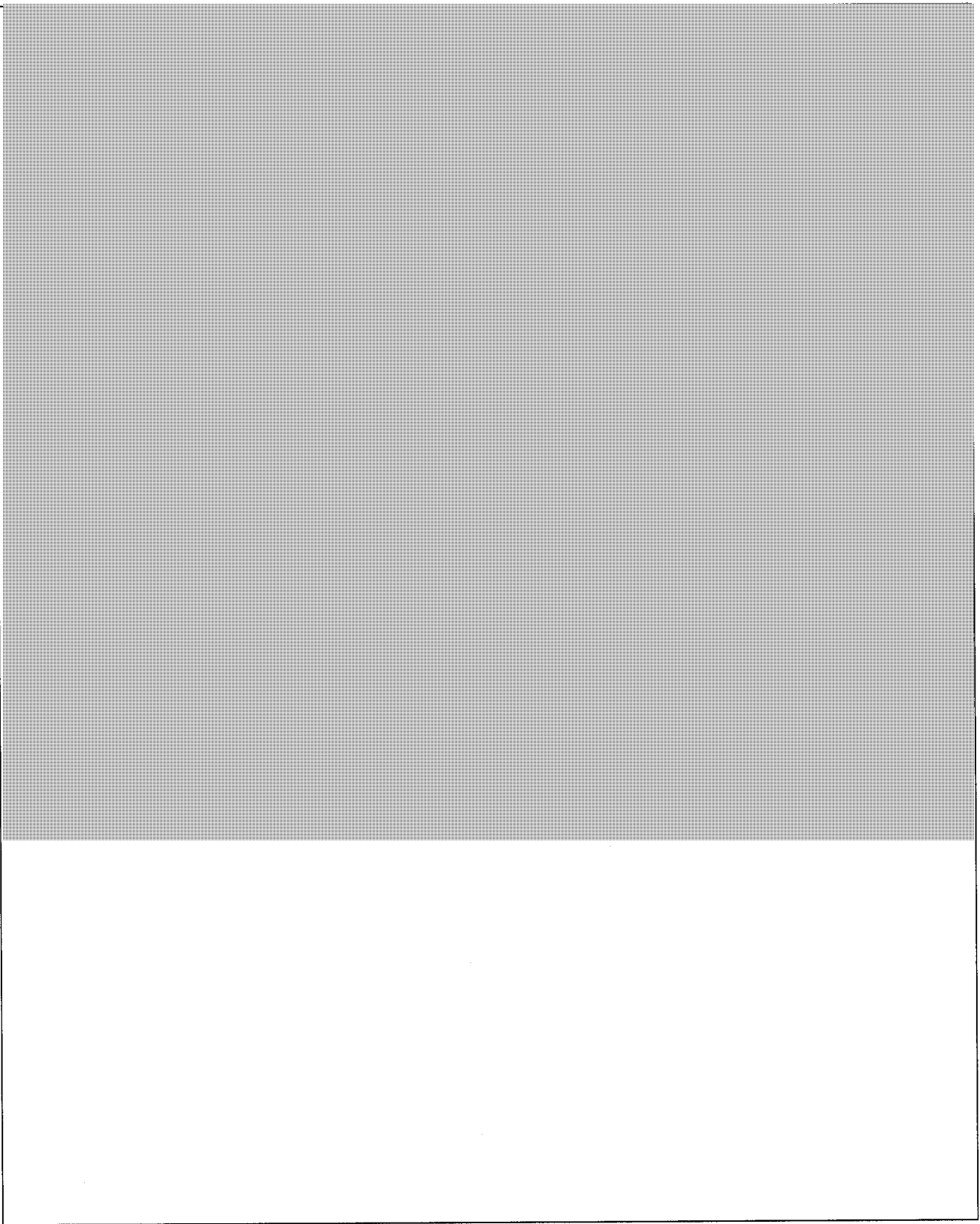
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

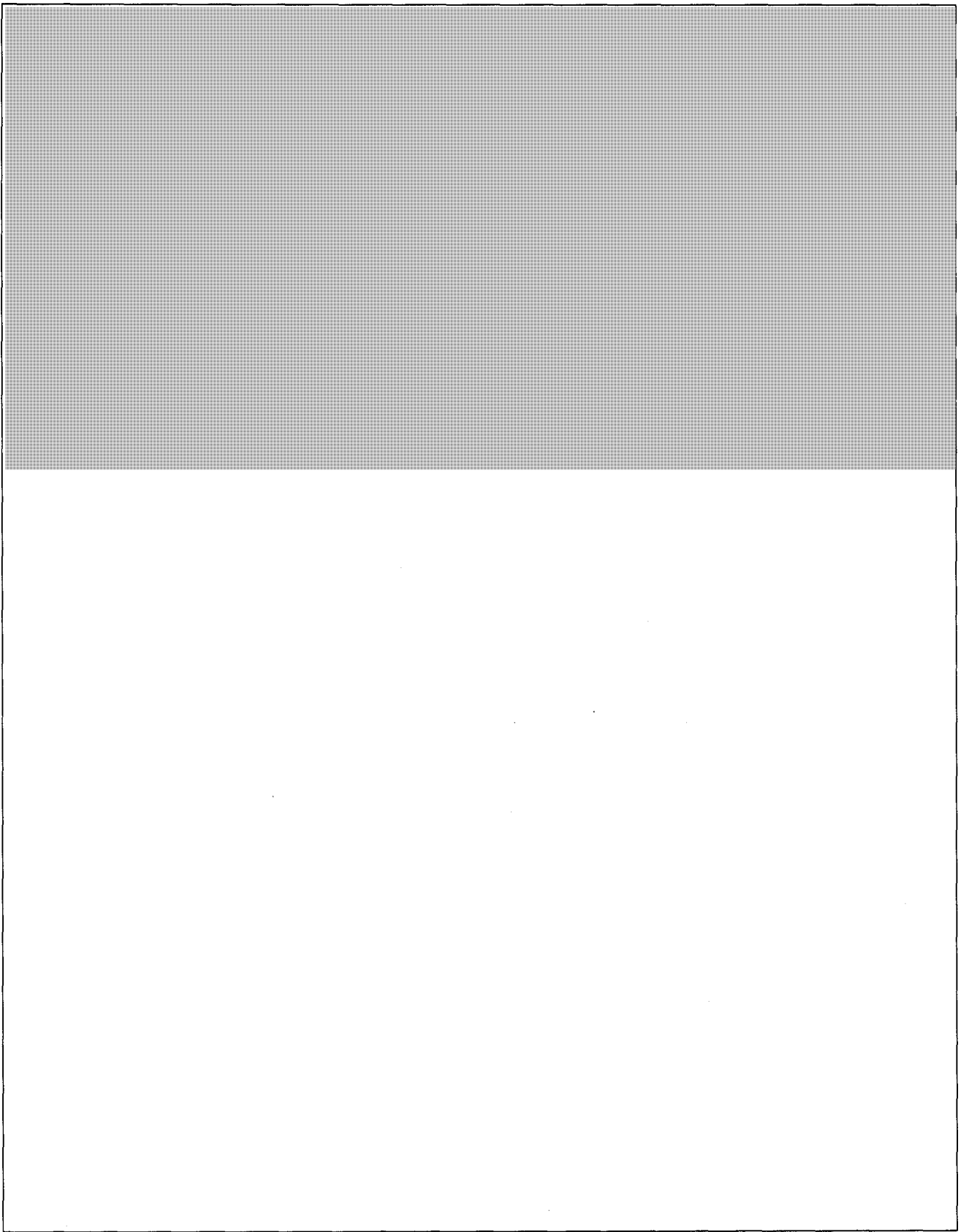
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(a) **Boan, Susan**

s.21(1)(b)
From: Hart, Beata
Sent: Wednesday, April 29, 2015 11:13 AM
To: Boan, Susan
Subject: RE: ARC CP audit review

Great! Thanks! ☺

From: Boan, Susan
Sent: Wednesday, April 29, 2015 2:06 PM
To: Hart, Beata
Subject: RE: ARC CP audit review

Ok good, I am ok with that. Thanks!

From: Hart, Beata
Sent: Wednesday, April 29, 2015 10:59 AM
To: Boan, Susan; Zimmermann, Kyla; LeFort, Pierre; Couture, Paul-Simon; Nadon, Christine
Subject: RE: ARC CP audit review

Thanks so much Sue for taking the time to review. Please find my comments below ☺.

From: Boan, Susan
Sent: Wednesday, April 29, 2015 12:50 PM
To: Hart, Beata; Zimmermann, Kyla; LeFort, Pierre; Couture, Paul-Simon; Nadon, Christine
Subject: RE: ARC CP audit review

My comments on a few of Mark's comments. He did have some good comments.

[Redacted]

[Redacted]

[Redacted]

[Redacted]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(a)

s.21(1)(b)

Sue

From: Hart, Beata
Sent: Wednesday, April 29, 2015 8:09 AM
To: Boan, Susan; Zimmermann, Kyla; LeFort, Pierre; Couture, Paul-Simon; Nadon, Christine
Subject: FW: ARC CP audit review

FYI – comments from Mark Conrad. Excellent and not too many, which is great! ☺

From: Conrad, Mark
Sent: Wednesday, April 29, 2015 10:58 AM
To: Hart, Beata; Lui, Rachel
Cc: Miller, Mark; Raitt, Blair; Lines, Stephanie
Subject: FW: ARC CP audit review

Hi; added my comments directly into Rachel's additions above.

Beata; Good audit work. [REDACTED]

A couple of items I was concerned about and noted in the margin notes, but again, some important findings in this work.

Thanks

From: Lui, Rachel
Sent: Tuesday, April 28, 2015 8:17 AM
To: Hart, Beata; Miller, Mark; Conrad, Mark
Cc: Raitt, Blair; Lines, Stephanie
Subject: RE: ARC CP audit review

Good morning Beata, thank you for the opportunity to provide comments. Please find attached my comments for consideration. If you have any questions, please don't hesitate to let me know. Thanks again.

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Sent: Friday, April 24, 2015 1:57 PM
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Cc: Raitt, Blair
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Below, I included the excerpt from the audit procedure that outlines responsibilities of the review committee, I hope you'll find it helpful.

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 - readability;
 - consistency; and
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s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Comment [r11]: General comment – acronyms should be spelt out the first time they are used

Comment [r12]:

Comment [r13]:

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP), ~~considering against~~ Safety Management System Regulations (SMS), Transport Canada Work Rest Rules (WRR) for Railway Operating Employees (WRR) and "Fatigue Management Plans, Requirements and Assessment Guidelines" was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the ~~Fatigue-fatigue Management management Planplans~~, as required by the WRR, and as defined and submitted to Transport Canada by ~~CP and submitted to Transport Canada~~.

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This was accomplished through a systematic, detailed assessment of the railway company's FMP to ensure compliance to the WRR as well as verify their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

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The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(a)
s.21(1)(b)

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
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Eleven findings were reported as a consequence of this audit. Findings 771571 and 771601 were identified as

[Redacted]

[Redacted]

Details are provided in the Findings section of this report.

[Redacted]

Detailed descriptions of those findings are provided in the Findings section of this report.

The Railway is encouraged to demonstrate how they intend to enhance railway safety by providing a corrective action plan to each of findings [redacted] within 30 days of the issues of this audit report. The Corrective Action Plan should reference the Transport Canada audit findings and detail the Railway's proposed corrective actions to address them. Each corrective action should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. An example Corrective Action Plan template is attached to this report and it may be used.

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Audit Scope

The scope of this audit was to verify the implementation of the Fatigue Management Plans as defined by CP, considering the requirements of "Work/rest-Rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

The following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities;
- 2(d) Compliance with applicable regulations, rules, standards and orders;
- 2(e) Risk management process;
- 2(h) Skills, training and supervision, and;
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

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Comment [r19]:

Comment [r110]: Perhaps this can be started on the next page to make more of a separation from the executive summary

Comment [r111]: Spell out

Comment [r112]:

Comment [mc13]: TC doesn't approve FMP's. They're the railway's internal plans.

s.20(1)(b)

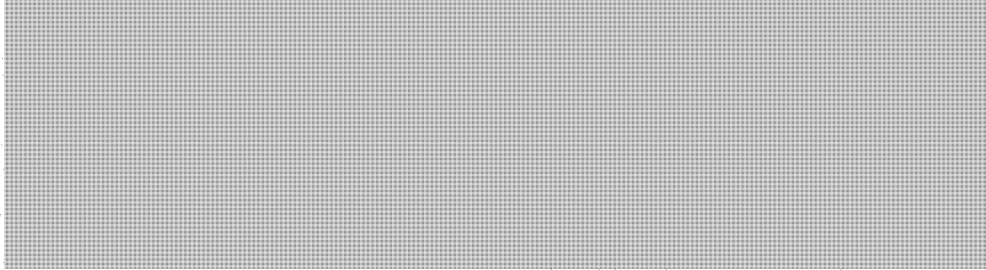
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

The scope includes ~~All~~ all records providing evidence of compliance with the above processes and all policies, processes, and procedures developed in support of fatigue management, ~~dating back to~~ from January 2010 to present.

Other Issues



Comment [r14]: Why?

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(a)
- s.21(1)(b)

Audit Findings

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable:</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

Comment [r115]:

Comment [mc16]:

Comment [r117]:

Comment [mc18]:

Comment [r19]:

Comment [r120]:

Comment [r121]:

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(a)
- s.21(1)(b)

Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Comment [r124]:
[REDACTED]

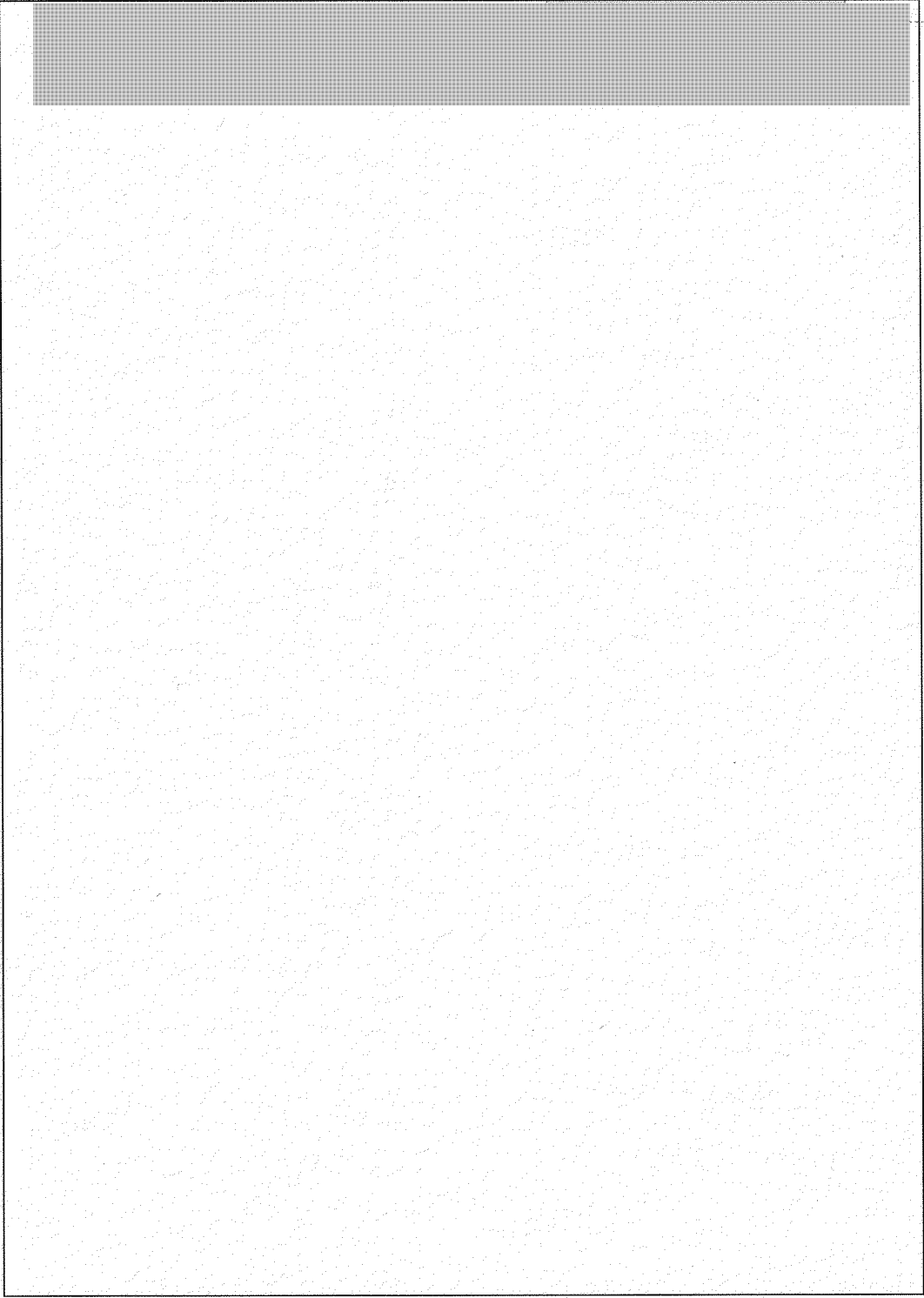
Comment [mc25]:
[REDACTED]

Comment [r126]:
[REDACTED]

Comment [r127]:
[REDACTED]

Comment [r128]:
[REDACTED]

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)



Comment [r129]:

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(a)
- s.21(1)(b)

Finding ID:	771781	Process:	2(h)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component; 2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Comment [mc30]:
[REDACTED]

Comment [rl31]: Missing a noun

Comment [mc32]:
[REDACTED]

Comment [mc33]: Concur with comments below

Comment [rl34]:
[REDACTED]

Comment [rl35]: Of what?

Comment [rl36]: Define this

Comment [mc37]:
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable:</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.</p>			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

Comment [mc38]: Overall comment on this section:

Comment [r139]: Perhaps this can be made into one sentence

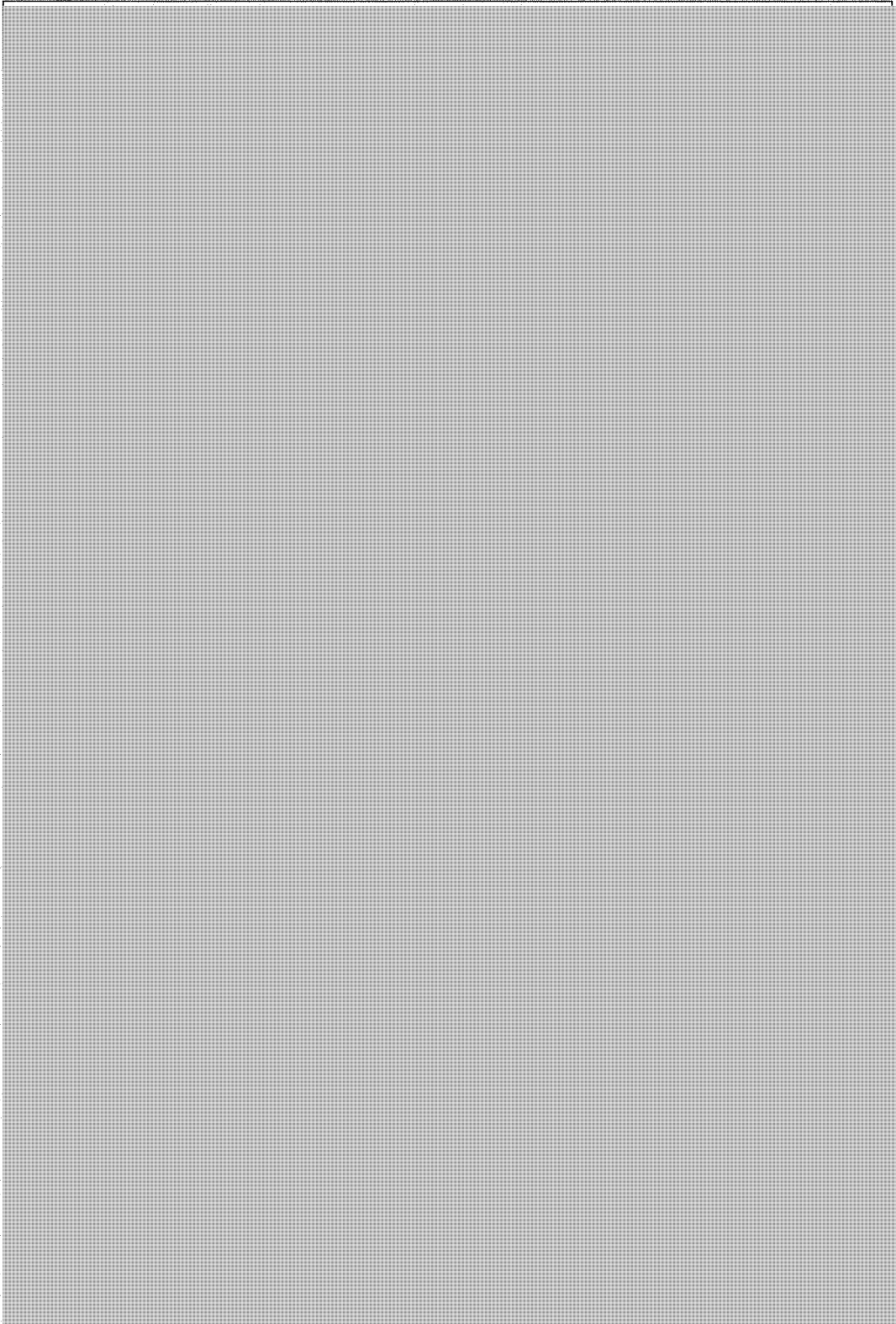
s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(a)

s.21(1)(b)



Comment [r140]: Spell out

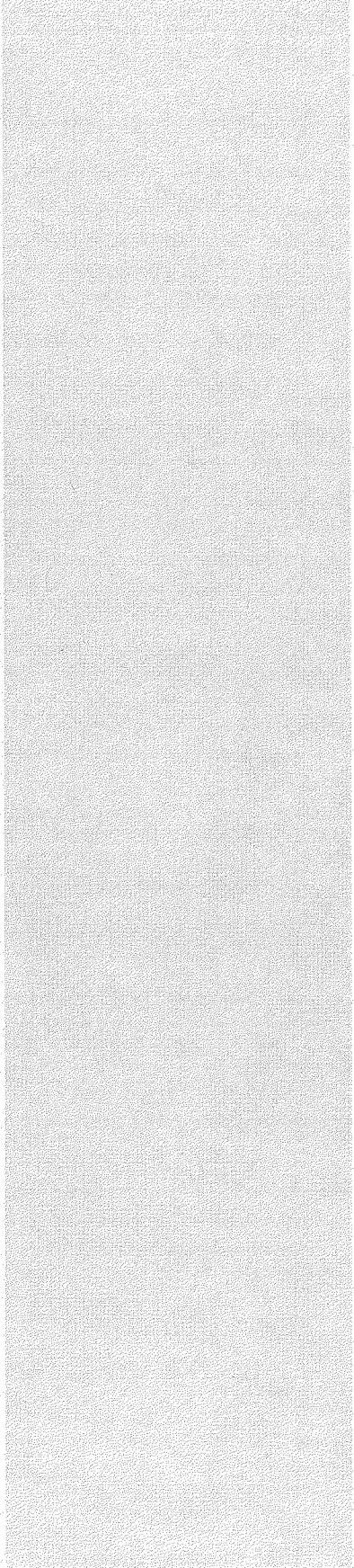
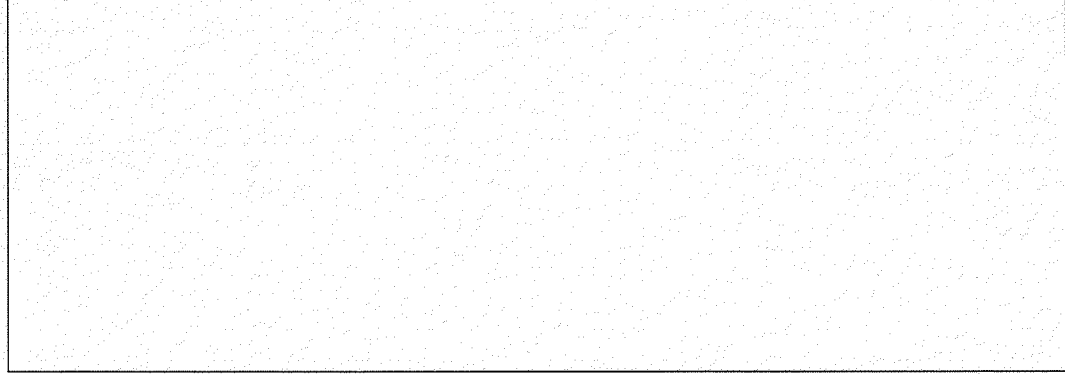
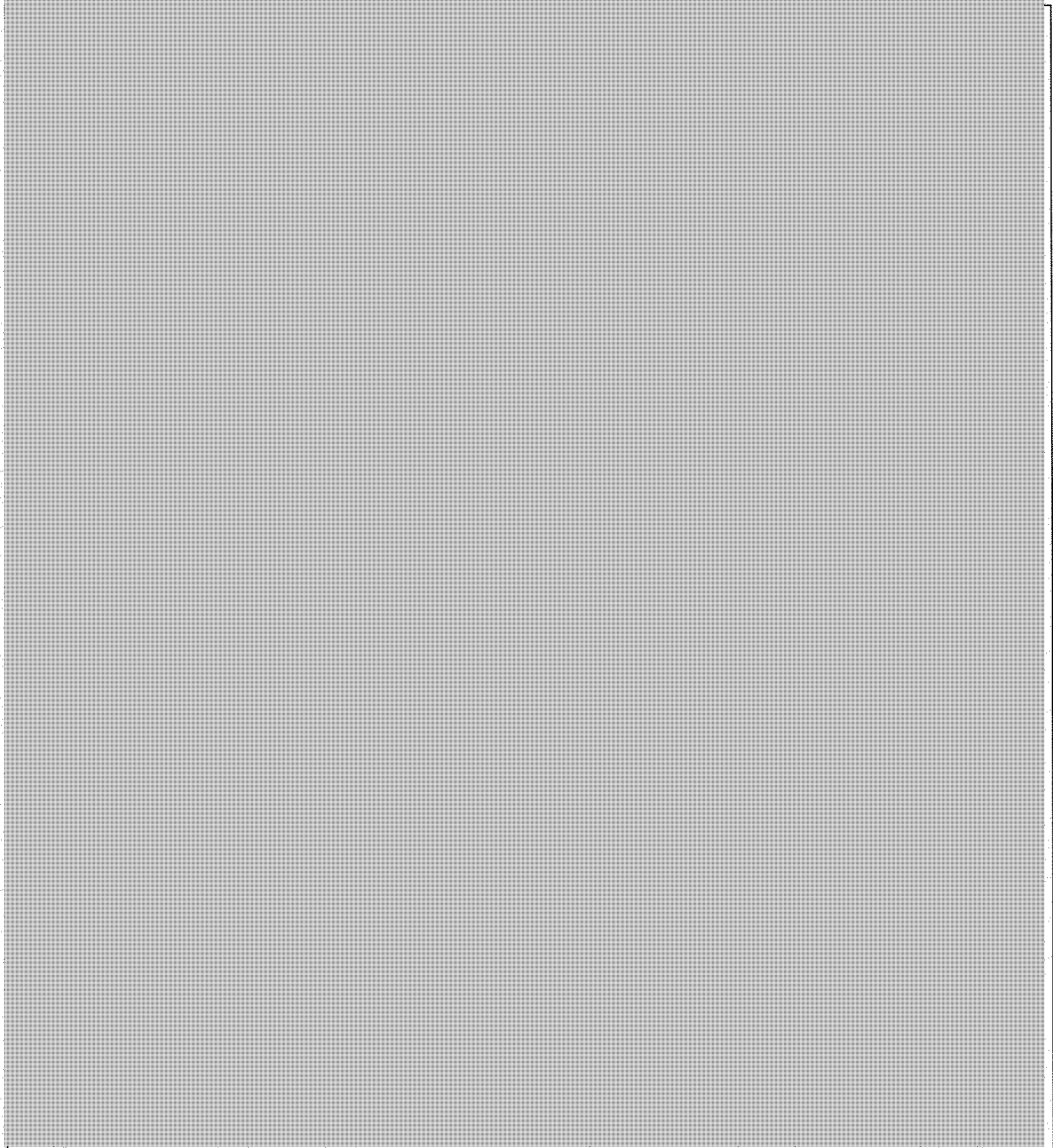
Comment [mc41]:

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company.			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			

Comment [r142]: Spell out

Comment [mc43]: Rule? Guide?

Comment [r144]: Define

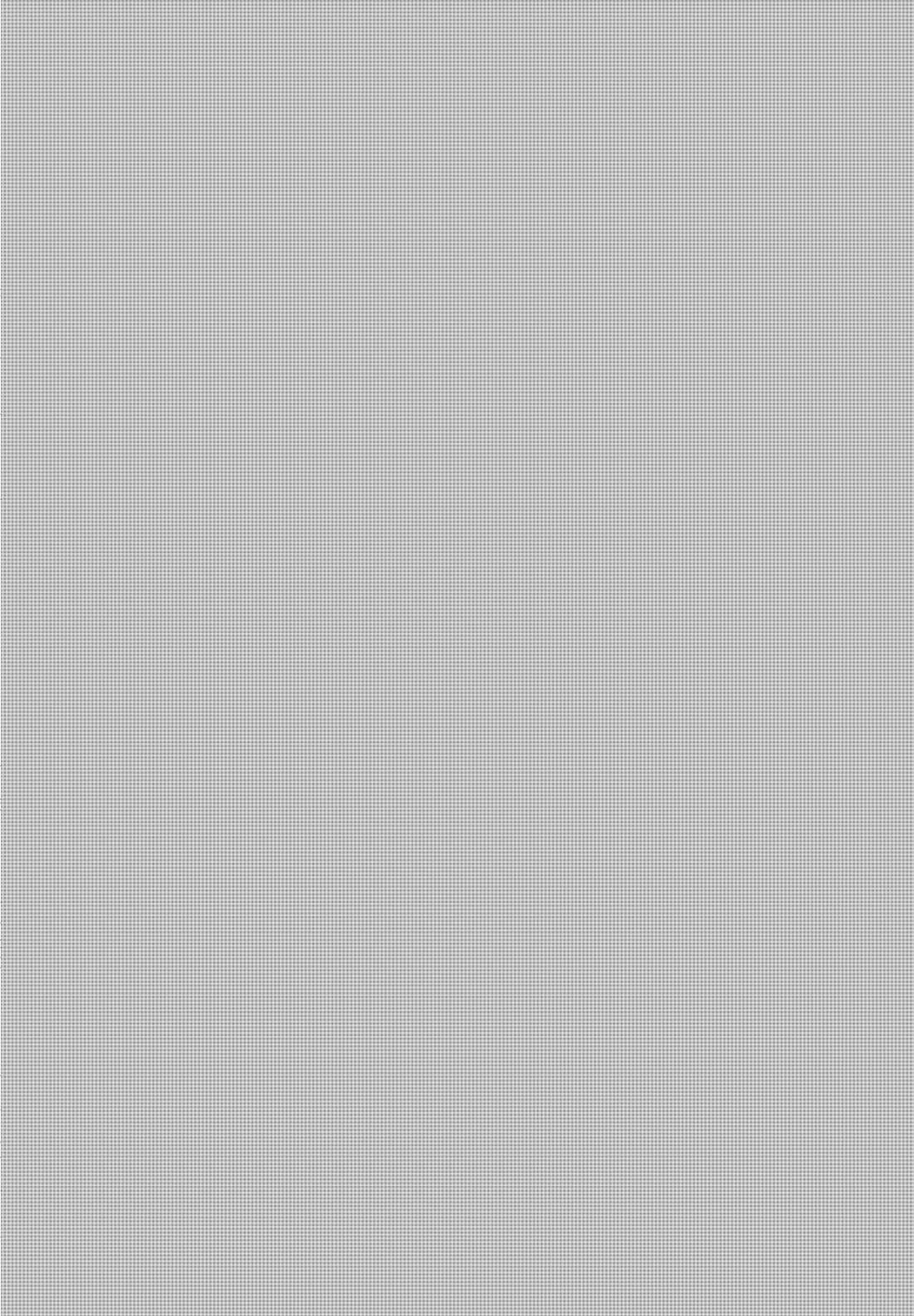
Comment [r145]:

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Comment [r146]: Perhaps there could be a lexicon as an annex to define these terms for readers not knowledgeable of fatigue management

Comment [r147]: Spell out

Comment [r148]:

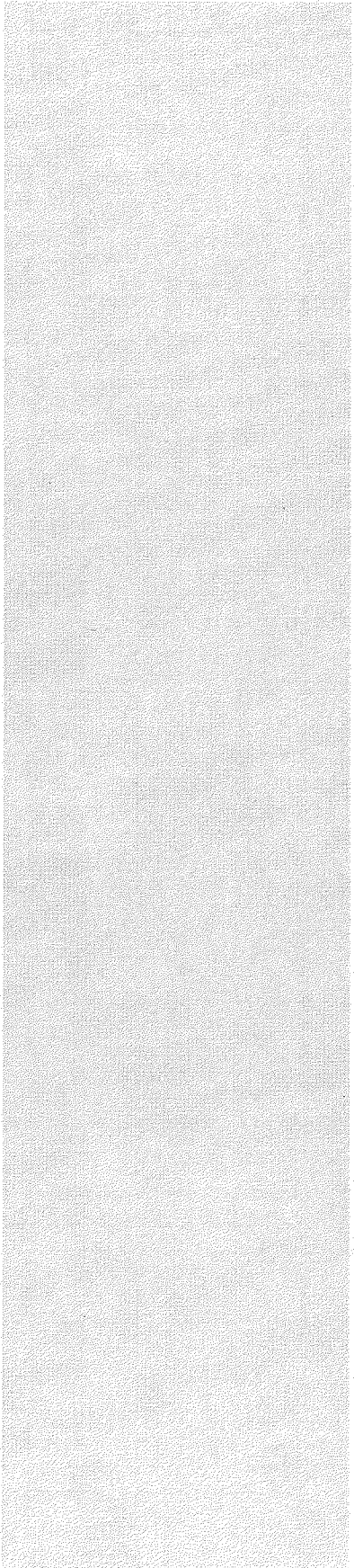
s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
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Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			



Boan, Susan

From: Boan, Susan
Sent: Wednesday, April 29, 2015 11:44 AM
To: Hart, Beata
Subject: RE: ARC CP audit review

For Rachel's comments:

Page 4 – 2nd to last comments. [REDACTED]

From: Hart, Beata
Sent: Wednesday, April 29, 2015 8:09 AM
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Cc: Miller, Mark; Raitt, Blair; Lines, Stephanie
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A couple of items I was concerned about and noted in the margin notes, but again, some important findings in this work.

Thanks

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Sent: Tuesday, April 28, 2015 8:17 AM
To: Hart, Beata; Miller, Mark; Conrad, Mark
Cc: Raitt, Blair; Lines, Stephanie
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s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1) **Boan, Susan**

s.21(1)(b)

From: Boan, Susan
Sent: Wednesday, April 29, 2015 11:05 AM
To: Hart, Beata
Subject: RE: ARC CP audit review

For sure.

From: Hart, Beata
Sent: Wednesday, April 29, 2015 11:04 AM
To: Boan, Susan; Zimmermann, Kyla; LeFort, Pierre; Couture, Paul-Simon; Nadon, Christine
Subject: RE: ARC CP audit review

I am glad he addressed some of Rachel's issues, saved us some time 😊.

From: Boan, Susan
Sent: Wednesday, April 29, 2015 12:50 PM
To: Hart, Beata; Zimmermann, Kyla; LeFort, Pierre; Couture, Paul-Simon; Nadon, Christine
Subject: RE: ARC CP audit review

My comments on a few of Mark's comments. He did have some good comments.

[Redacted content]

Sue

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s.21(1)(a)

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Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

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Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

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Comment [r19]:

Comment [r110]: Perhaps this can be started on the next page to make more of a separation from the executive summary

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Comment [r112]:

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s.20(1)(b)

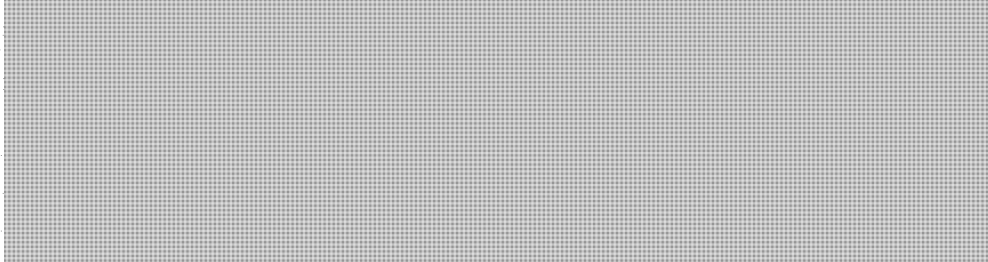
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

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Other Issues



Comment [r114]: Why?

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(a)
- s.21(1)(b)

Audit Findings

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
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Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			
[REDACTED]			

Comment [r115]:

Comment [mc16]:

Comment [r117]:

Comment [mc18]:

Comment [r119]:

Comment [r120]:

Comment [r121]:

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(a)
- s.21(1)(b)

Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Comment [r124]:
[REDACTED]

Comment [mc25]:
[REDACTED]

Comment [r126]:
[REDACTED]

Comment [r127]:
[REDACTED]

Comment [r128]:
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Comment [r129]:

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(a)

s.21(1)(b)

Finding ID:	771781	Process:	2(h)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;</p> <p>2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;</p>			
Railway Commitment:			
<p>General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]</p>			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Comment [mc30]:
[REDACTED]

Comment [r131]: Missing a noun

Comment [mc32]:
[REDACTED]

Comment [mc33]: Concur with comments below

Comment [r134]:

Comment [r135]: Of what?

Comment [r136]: Define this

Comment [mc37]:
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable:</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.</p>			
Railway Commitment:			
<p>General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]</p>			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

Comment [mc38]: Overall comment on this section;

Comment [r139]: Perhaps this can be made into one sentence

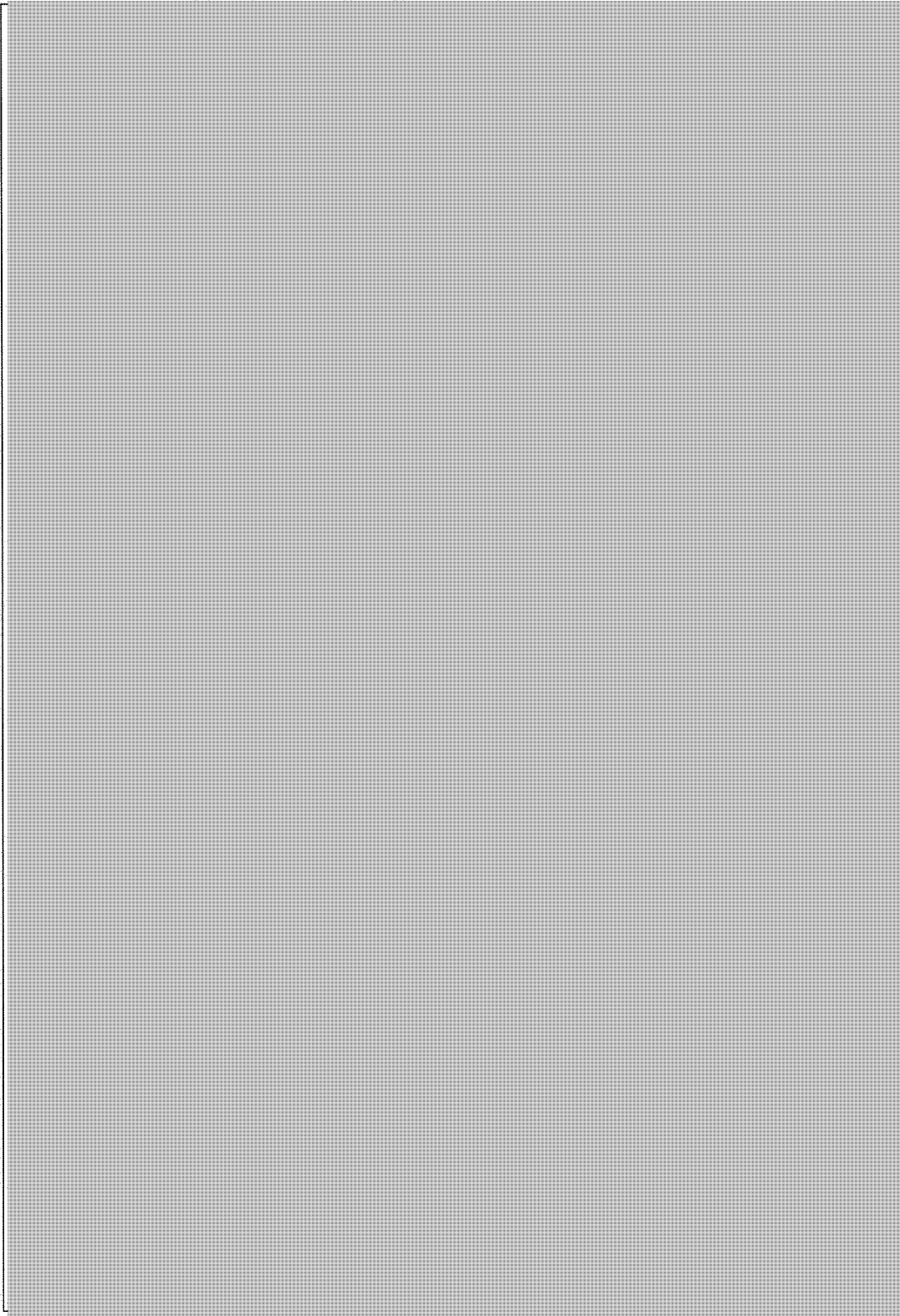
s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(a)

s.21(1)(b)

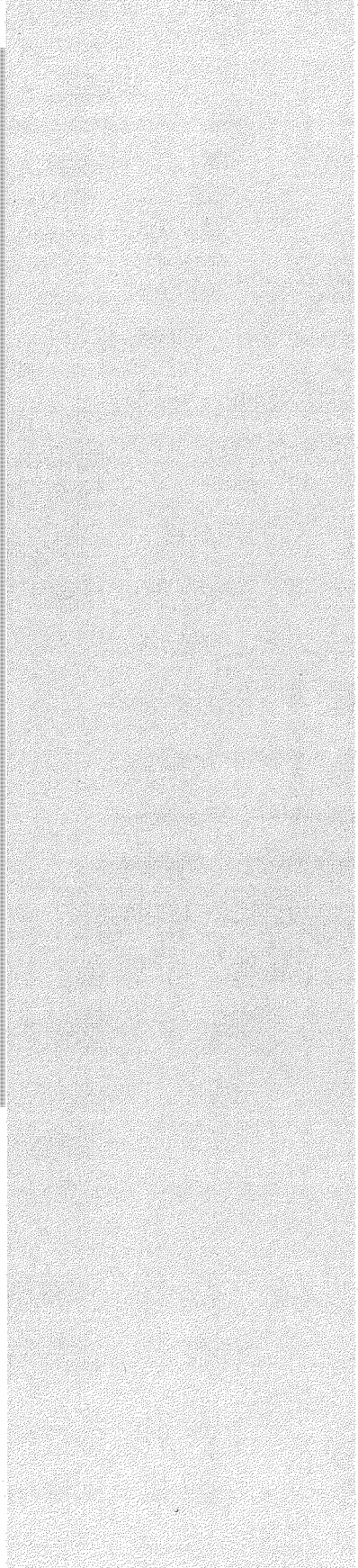
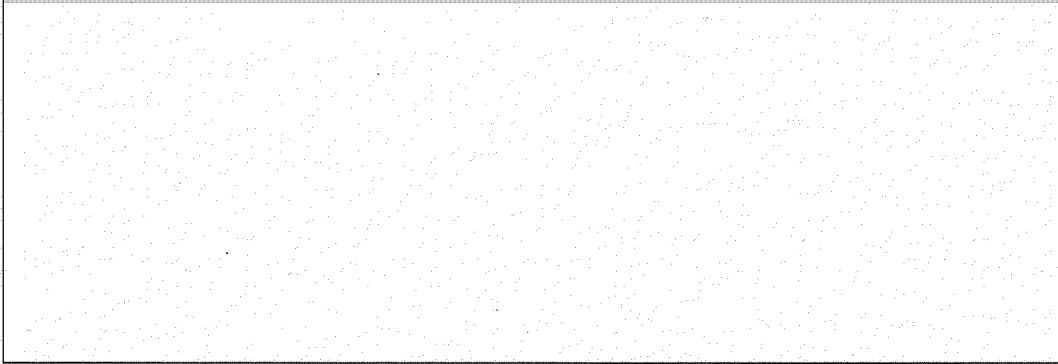
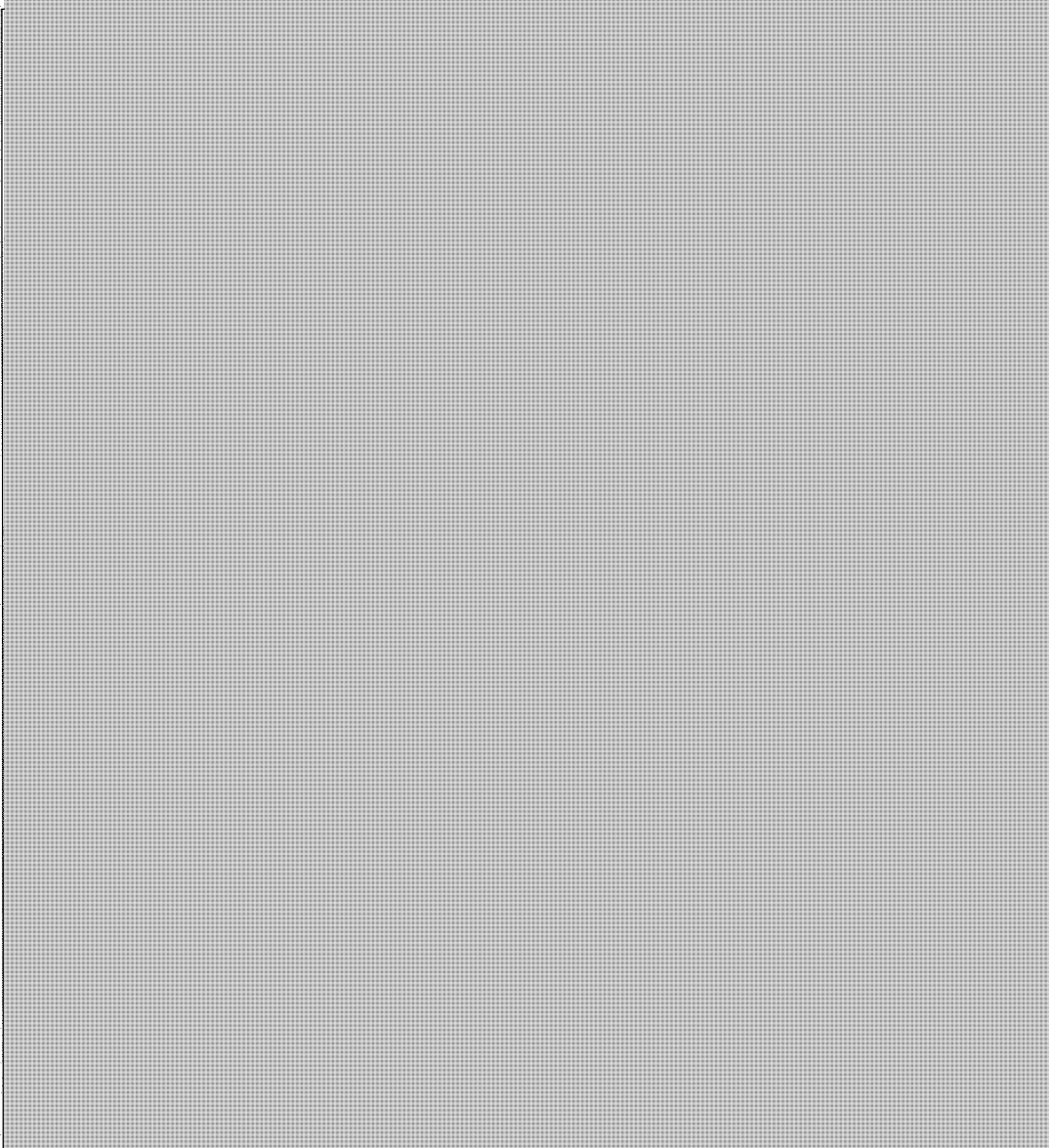


Comment [r140]: Spell out

Comment [mc41]:



- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)



- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company.			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
Supporting Details:			

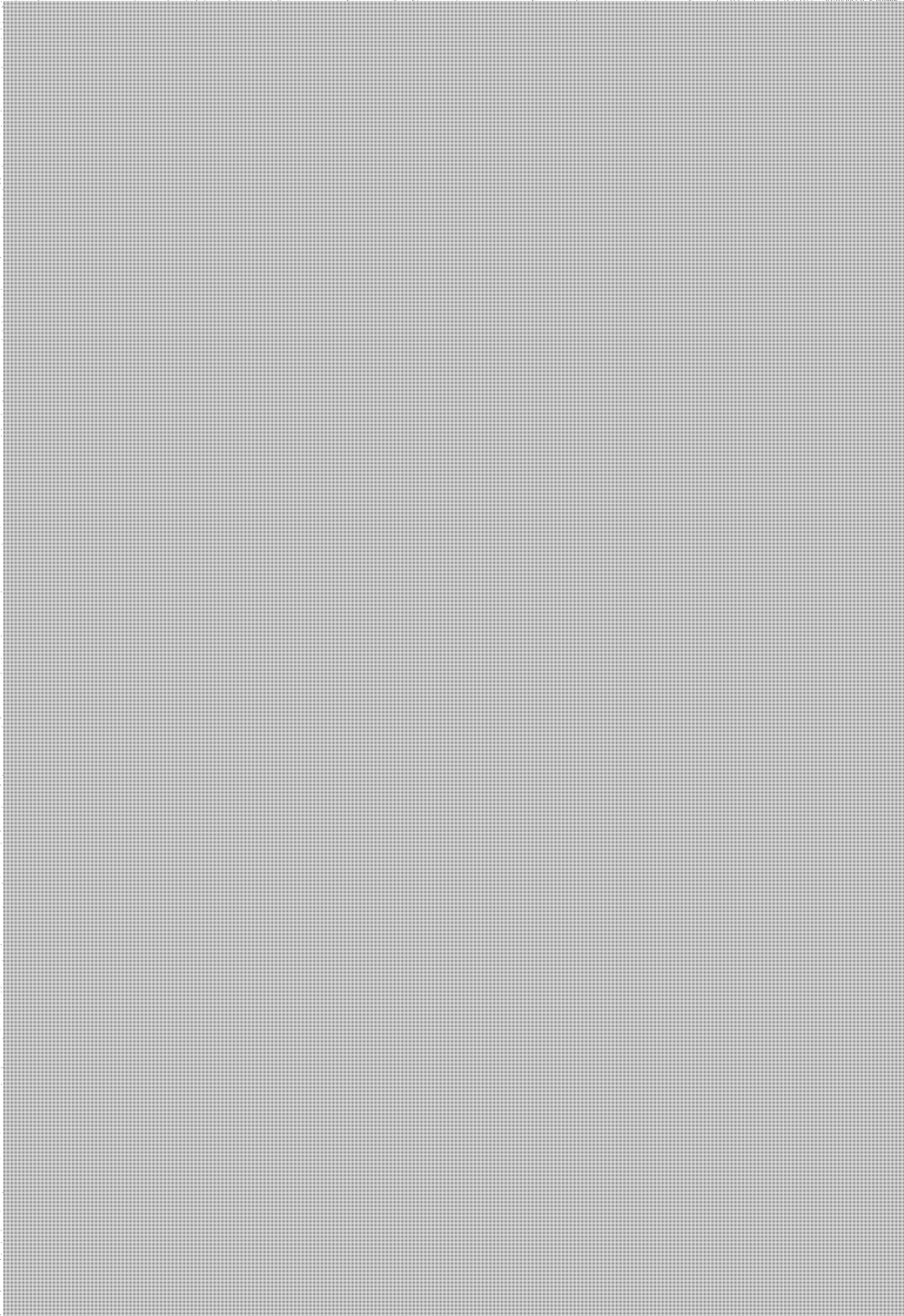
Comment [r142]: Spell out

Comment [mc43]: Rule? Guide?

Comment [r144]: Define

Comment [r145]:

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

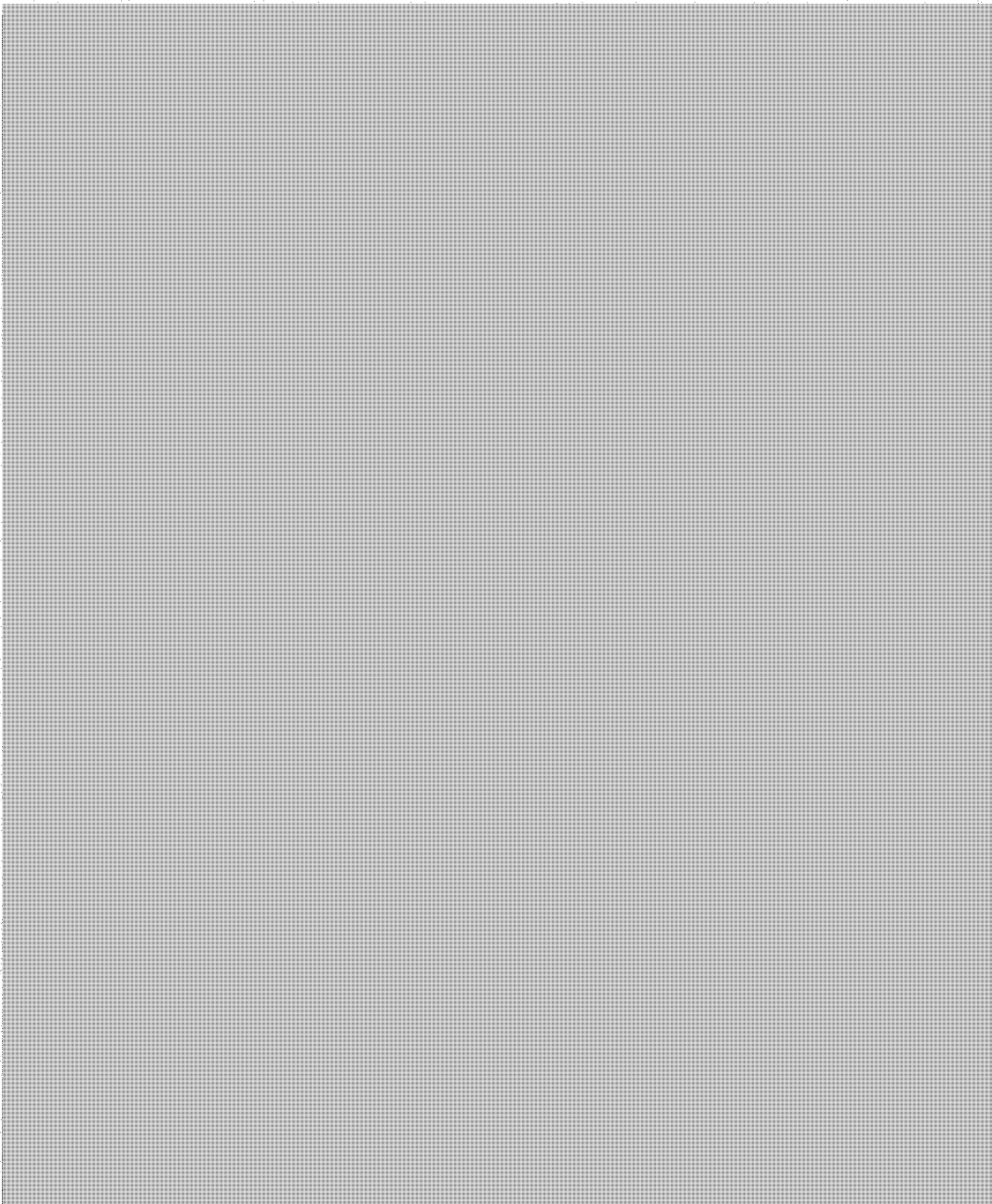


s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



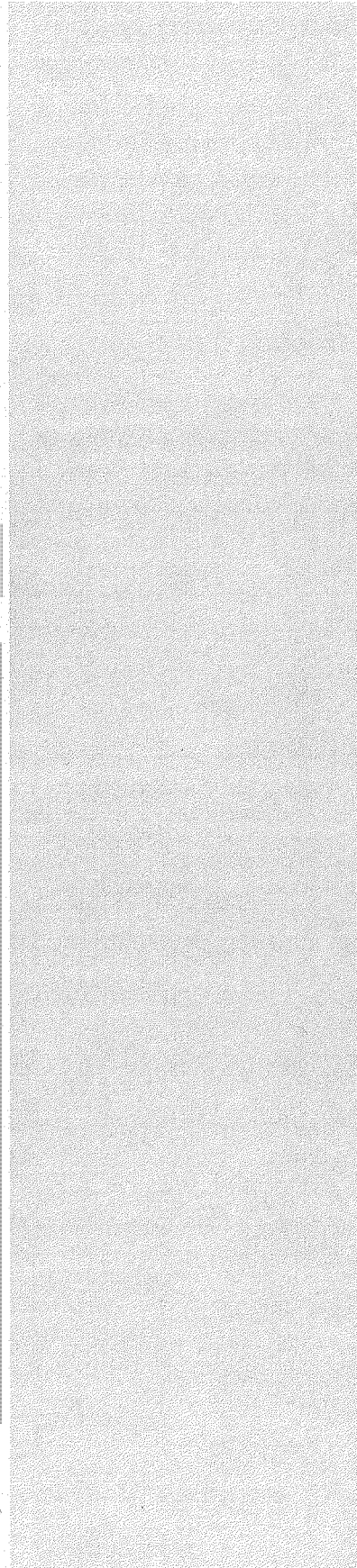
Comment [r146]: Perhaps there could be a lexicon as an annex to define these terms for readers not knowledgeable of fatigue management

Comment [r147]: Spell out

Comment [r148]:

- s.20(1)(b)
- s.20(1)(c)
- s.20(1)(d)
- s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them; and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)			
Description of Finding:			
[Redacted]			
Supporting Details:			
[Redacted]			



Boan, Susan

From: Hart, Beata
Sent: Friday, April 17, 2015 12:53 PM
To: Boan, Susan; Zimmermann, Kyla; LeFort, Pierre; Couture, Paul-Simon
Cc: Nadon, Christine; Raitt, Blair
Subject: CP_Fatigue_management_Audit_report-2015-04-17
Attachments: CP_Fatigue_management_Audit_report-2015-04-17.docx

Hello,
I had to make some additional changes to the draft report.

We have it now addressed by having them only in the Executive Summary section.

I also had to combine the Executive Summary and the Introduction sections as the text printed in the RSIG template is standard for Introduction and it cannot be changed. The section is still there but with the standard text and the information that was there before was moved to the Executive Summary (most of it – some seemed to be duplicate so it was removed).

No content of findings was changed.

Please review and provide comments.

Regards,
Beata

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP), considering Safety Management System Regulations (SMS), Transport Canada Work Rest Rules for Railway Operating Employees (WRR) and Fatigue Management Plans, Requirements and Assessment Guidelines” was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR’s implementation of the Fatigue Management Plan, as required by the WRR, and as defined by CP and submitted to Transport Canada. This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews, observations and interviews with personnel.

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. [REDACTED]

The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR’s corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team then proceeded to review the records provided and interviewed selected members of the CP’ management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits were to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes the special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

A closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Alyth facility. Next steps were presented but, due to audit activities still being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by the Railway Association of Canada and provided by CPR (February 2011);
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003);
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003);

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003), and;
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

Eleven findings were reported as a consequence of this audit. Findings 771571 and 771601 were identified as

Details are provided in the Findings section of this report.

Detailed descriptions of those findings are provided in the Findings section of this report.

The Railway is encouraged to demonstrate how they intend to enhance railway safety by providing a corrective action plan to each of findings of deficiency, within 30 days of the issues of this audit report. The Corrective Action Plan should reference the Transport Canada audit findings and detail the Railway's proposed corrective actions to address them. Each corrective action should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. An example Corrective Action Plan template is attached to this report and it may be used.

Introduction

Pursuant to the Railway Safety Act, Transport Canada has conducted a systematic, detailed assessment of railway company policies, processes and procedures to (a) evaluate them against the documentation requirements of the RSMS Regulations; and (b) verify the implementation and effectiveness of said policies, processes and procedures.

Audit Scope

The scope of this audit was to verify the implementation of the Fatigue Management Plans as defined by CP, considering the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

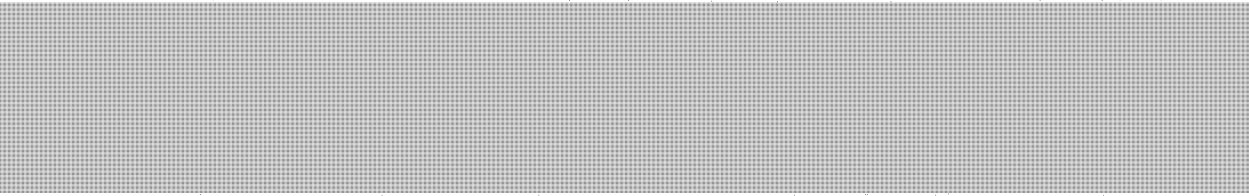
The following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities;
- 2(d) Compliance with applicable regulations, rules, standards and orders;
- 2(e) Risk management process;
- 2(h) Skills, training and supervision, and;
- 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)

All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Findings

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable: (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and; (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption			
Railway Commitment:			
- Work/rest rules for railway operating employees, TC O 0-140, February 2011 -			
Description of Finding:			
Supporting Details:			

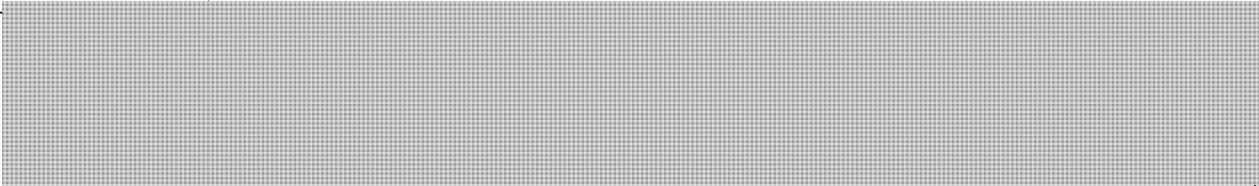
s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771601	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and; (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway commitment:			
Work/rest rules for railway operating employees, TC O 0-140, February 2011			
Description of Finding:			
Supporting Details:			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771781	Process:	2(h)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component;
2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771786	Process:	2(d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(d) systems for identifying applicable:
(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and;
(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

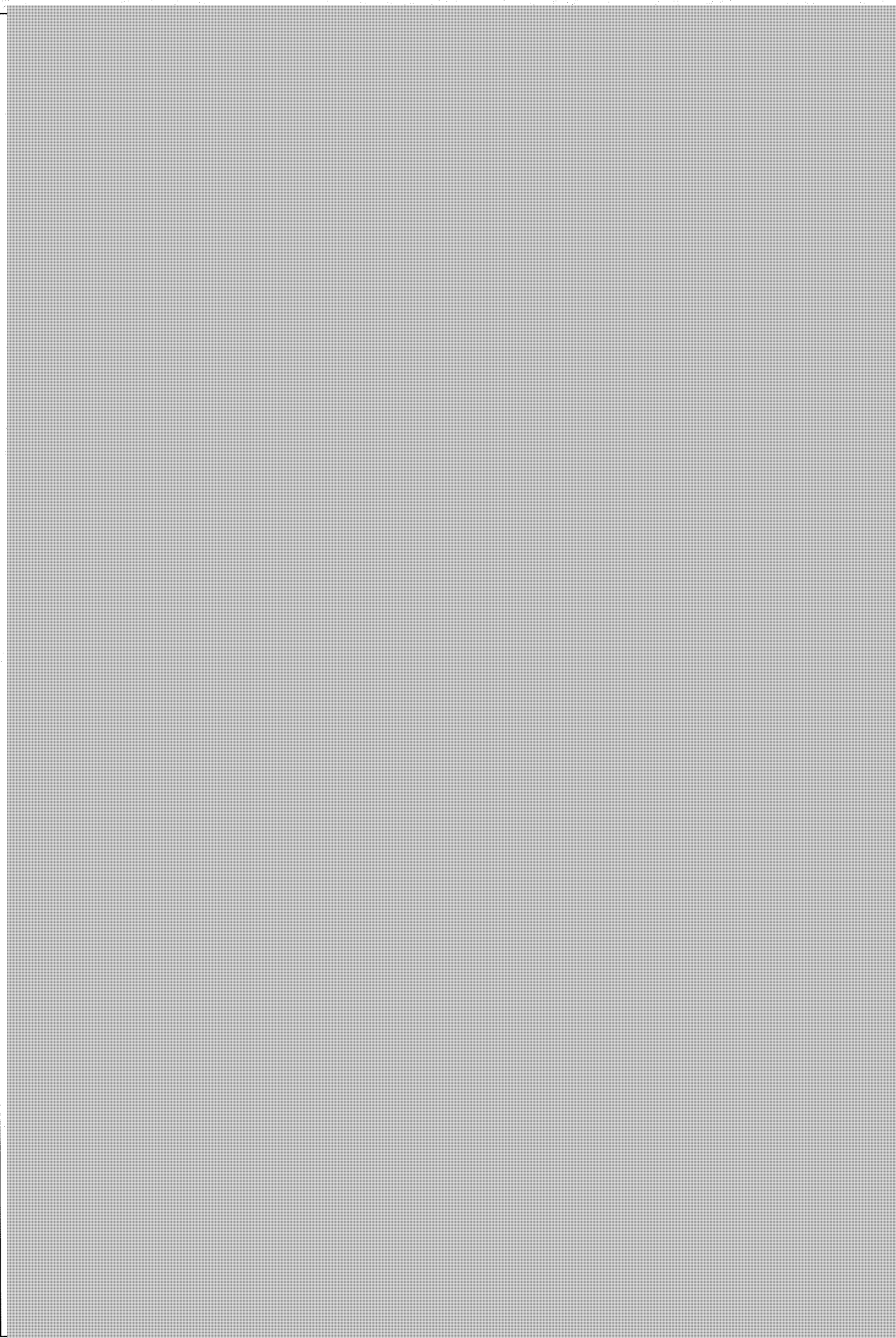
Description of Finding:

[REDACTED]

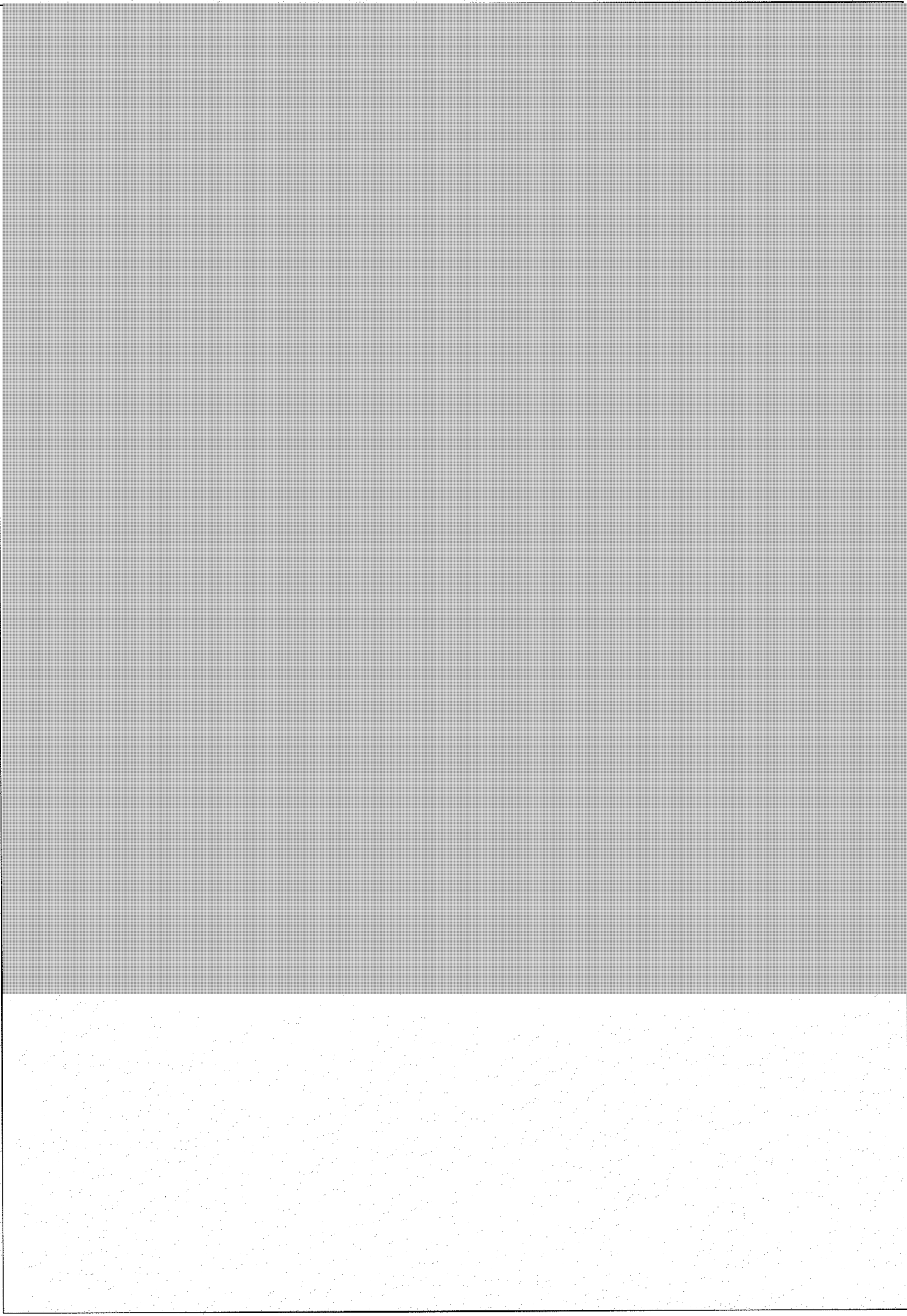
Supporting Details:

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

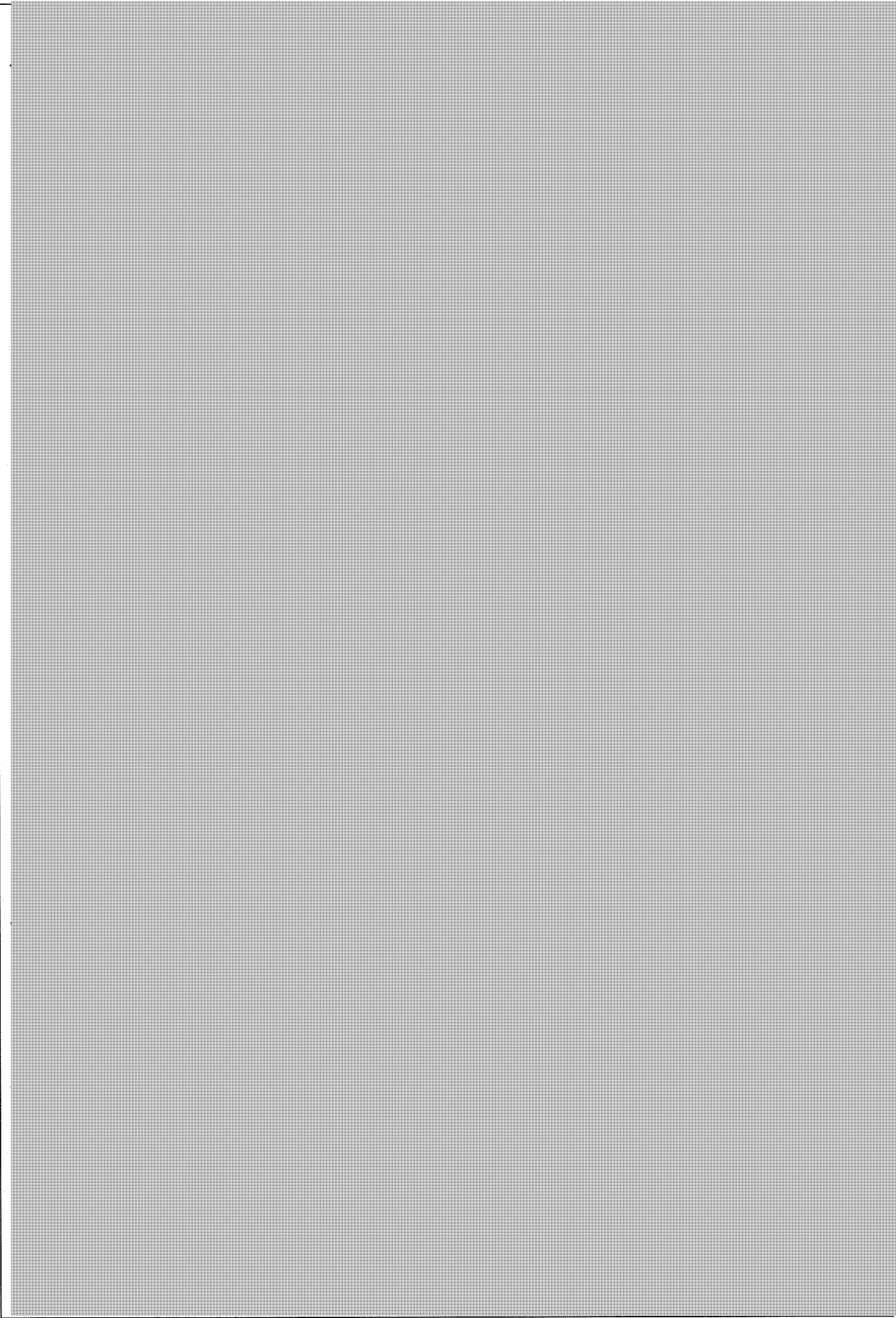
Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company.			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011): [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

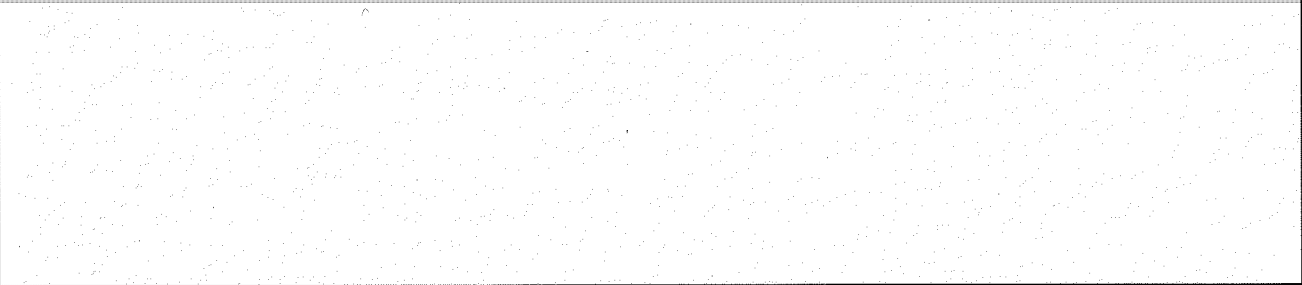
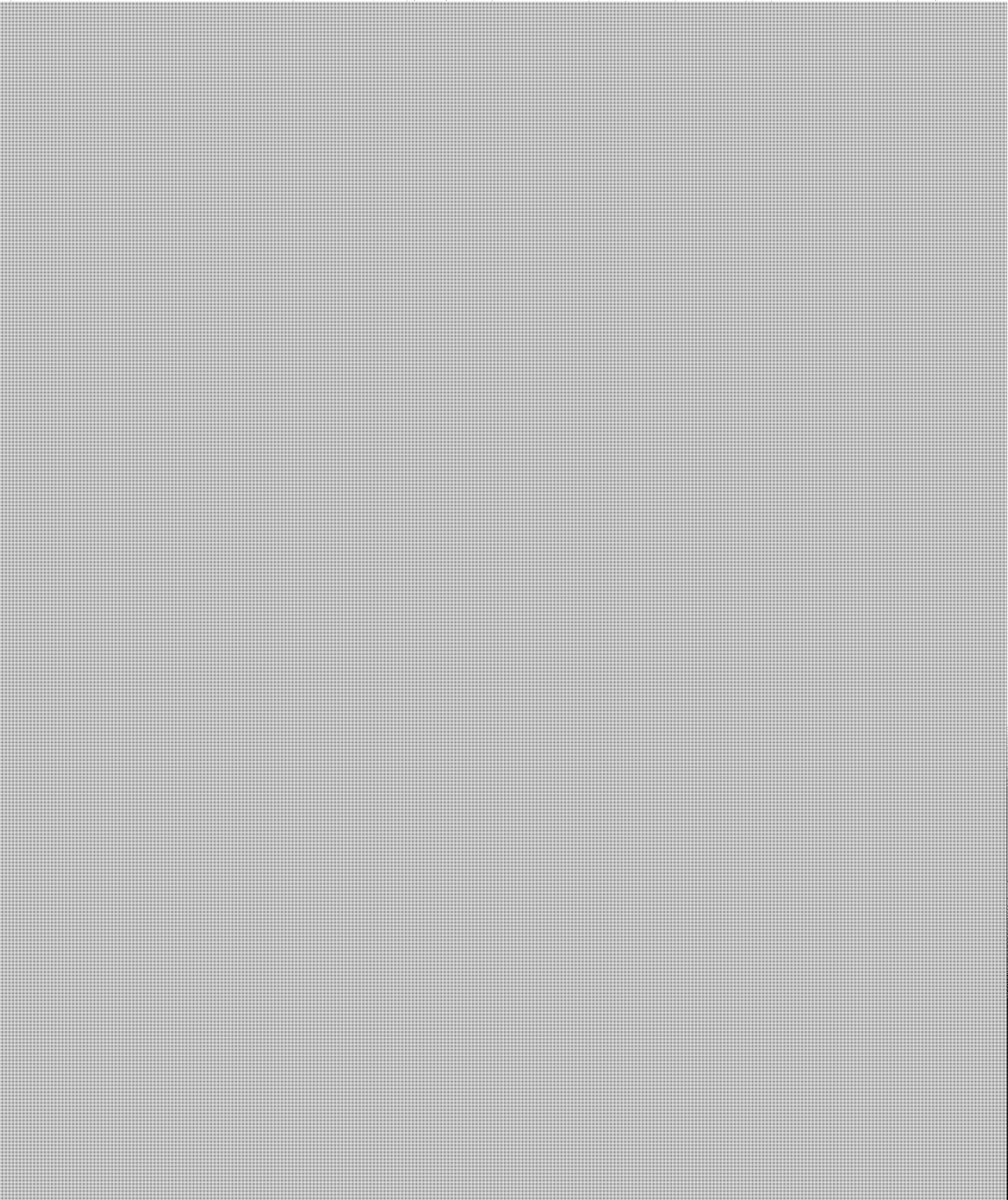
s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)



s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:

2(d) systems for identifying applicable

(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them; and

(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption.

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011)

Description of Finding:

Supporting Details:

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Audit Report

Railway: CP Rail

Railway SMS Representative: Keith Shearer
GM Regulatory & Operating Practices

Audit Dates: January 5, 2015 to March 6, 2015

Convening Authority: Stephanie Lines, Director, Operations Management

Audit Team Leader: Beata Hart, Safety Oversight and Audit Officer

Report date: XXXXXXXXXX, 2015

Executive Summary

An audit of the CP Rail (CPR) fatigue management plans (FMP) and in light of Safety Management System Regulations (SMS) was conducted by Transport Canada (TC) from January 5, 2015 to March 6, 2015. The objective of the audit was to evaluate and verify CPR's implementation of the Fatigue Management Plan, as defined by CP and submitted to Transport Canada.

This was accomplished through a systematic, detailed assessment of railway company FMP to ensure compliance to the WRR as well as their implementation as defined by the Railway. This assessment was carried out through record reviews and interviews with personnel.

The following provides an overview of the findings. Each one requires a corrective action:

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)




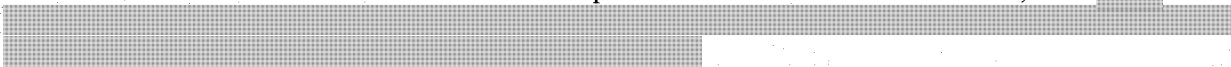
Introduction

Pursuant to the Railway Safety Act, TC has conducted a systematic, detailed assessment of CP's policies, processes and procedures to evaluate and verify their implementation of the Fatigue Management Plans, as defined by CP and submitted to Transport Canada, and to verify development, implementation and monitoring of fatigue management methodologies as required by "Work/rest rules for railway operating employees" and "Fatigue Management Plans Requirements and Assessment Guidelines".

In addition to above mentioned requirements, following components of the SMS Regulations were also used as basis of the audit:

- 2(b) Safety authorities, responsibilities and accountabilities
- 2(d) Compliance with applicable regulations, rules, standards and orders
- 2(e) Risk management process
- 2(h) Skills, training and supervision
- 2(i) Collection and analysis of safety performance data

The initial audit notification and the documentation request were sent to CPR on November 28, 2014. 


The on-site auditing activities began on January 5, 2015 and the opening meeting was held at CPR's corporate offices in Calgary. During that meeting, the audit team confirmed the scope of the audit and the proposed schedule. The audit team proceeded to review the records provided and interviewed selected members of CP

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

management team. Subsequently, TC visited CP corporate offices the week of January 26th and on March 6 to further verify records and to interview personnel.

Regional verification activities took place the week of January 19 (Vancouver) and March 3 (Calgary, Toronto and Vancouver). The purpose of these visits was to interview local Management and Operating employees to verify implementation of the FMP.

TC recognizes special circumstances that developed due to the work stoppage caused by the union strike activity the week of February 16. The auditing activities scheduled for that week were postponed and the audit commenced the week of March 2, 2015.

Closing meeting summarizing the audit activities was conducted as part of the wrap-up meeting on March 5 at the Calgary Agincourt facility. Next steps were presented but, due to the activities being performed at other facilities at the same time, no potential findings were communicated.

The audit team reviewed the following policies, processes and procedures, which were provided by CPR:

- General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011);
- Work/rest Rules for Railway Operating Employees, as published by Railway Association of Canada and provided by CPR.
- Specific Fatigue Management Plan, Emergency Situations (March 17, 2003)
- Specific Fatigue Management Plan, 64 hours in 7 days (March 17, 2003)
- Specific Fatigue Management Plan, Work Train Service over 12 hours (March 17, 2003)
- RAC Work/Rest Rules, Interpretation Document (Effective June 29, 2005)

A response to this audit is required within 30 days from the issue of this report, and must include a corrective action plan to address each of the findings from this audit. The corrective action plan should describe activities to be completed, identify personnel responsible, and outline timelines for implementation. CPR will be responsible for submitting evidence of implementation of planned corrective actions per the timelines outlined in their corrective action plan. TC must be notified of any changes to the corrective action plan.

Audit Scope

The scope of this audit was the implementation of the Fatigue Management Plans as defined by CP and in light of the requirements of "Work/rest rules for railway operating employees" and "Fatigue Management Plans, Requirements and Assessment Guidelines".

Following components of the Safety Management Systems Regulations were also applicable:

- 2(b) Safety authorities, responsibilities and accountabilities
 - 2(d) Compliance with applicable regulations, rules, standards and orders
 - 2(e) Risk management process
 - 2(h) Skills, training and supervision
 - 2(i) Collection and analysis of safety performance data (since fatigue is safety-related)
- All records providing evidence of compliance with the above processes and all policies processes and procedures developed in support of fatigue management, dating back to January 2010 to present.

Other Issues

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)

Audit Findings

The audit findings listed below require corrective actions. The Railway is required to provide a corrective action plan in response to each audit finding.

Finding ID:	771571	Process:	2(d)
Regulatory Requirement:			
<p>A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:</p> <p>2(d) systems for identifying applicable</p> <p>(i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and</p> <p>(ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;</p>			
Railway Commitment:			
<ul style="list-style-type: none"> - Work/rest rules for railway operating employees, TC O 0-140, February 2011 - [REDACTED] 			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771765	Process:	2(b)
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(b) clear authorities, responsibilities and accountabilities for safety at all levels in the railway company

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

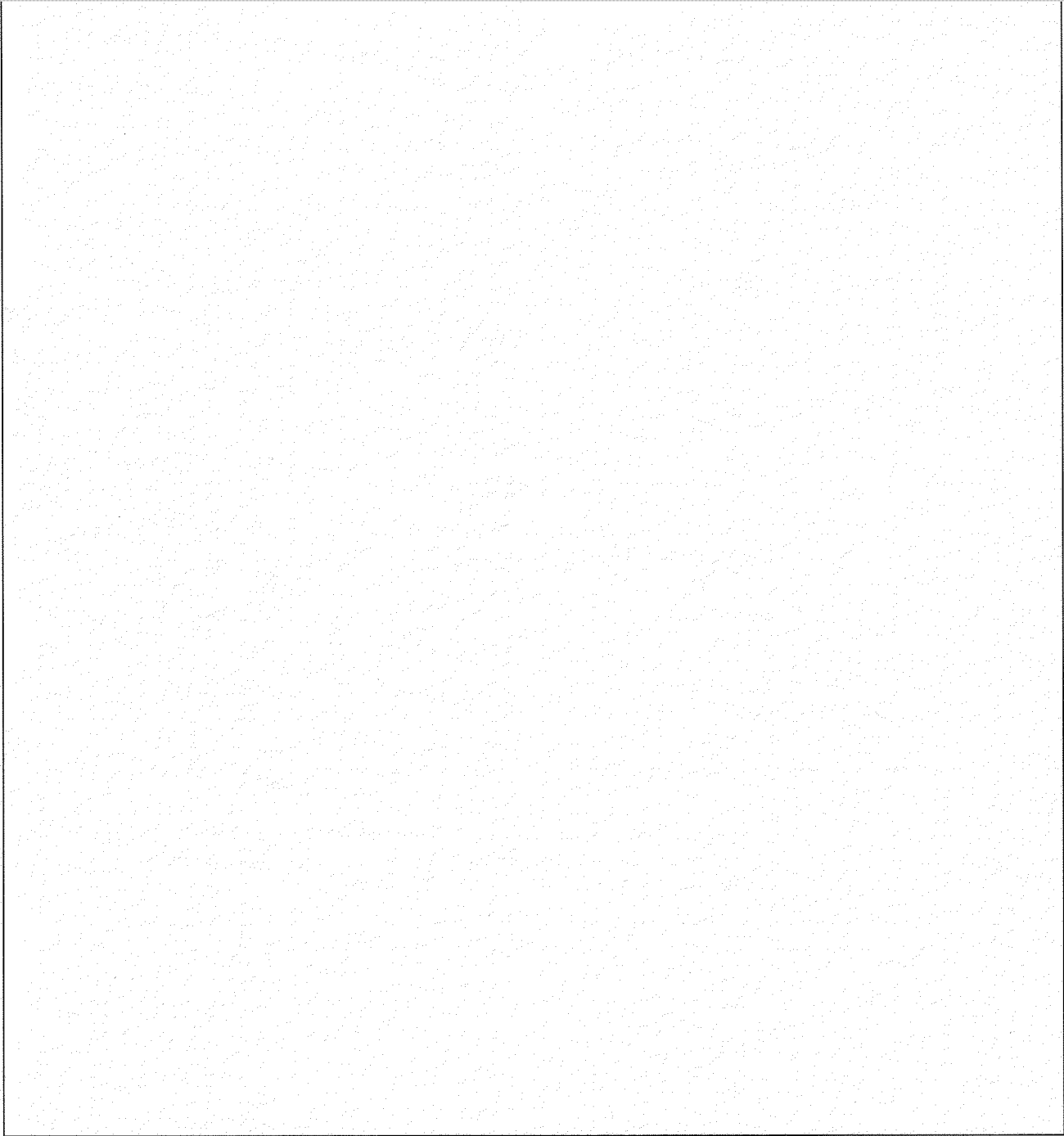
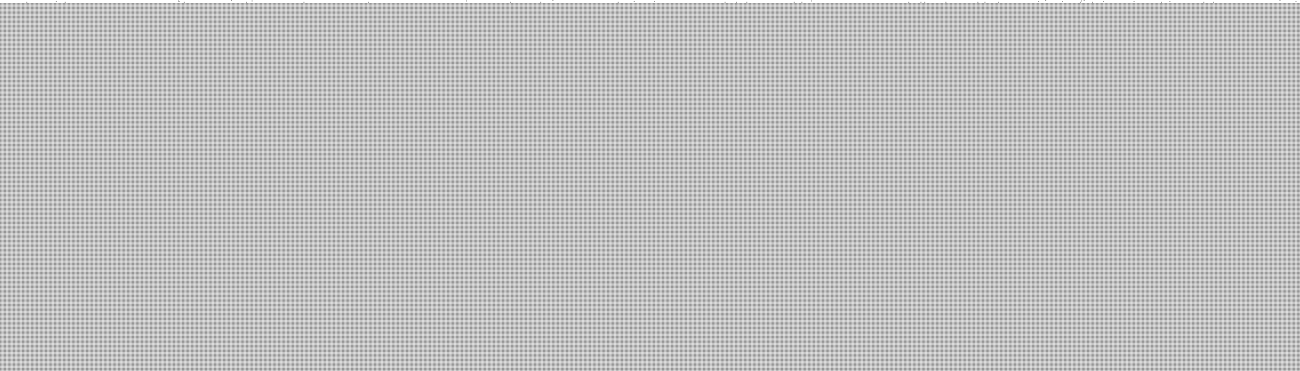
[REDACTED]

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771781	Process:	Training
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Regulatory Requirement:

A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component:
2(h) systems for ensuring that employees and any other persons to whom the railway company grants access to its property, have appropriate skills and training and adequate supervision to ensure that they comply with all safety requirements;

Railway Commitment:

General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]

Description of Finding:

[REDACTED]

Supporting Details:

[REDACTED]

[REDACTED]

s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

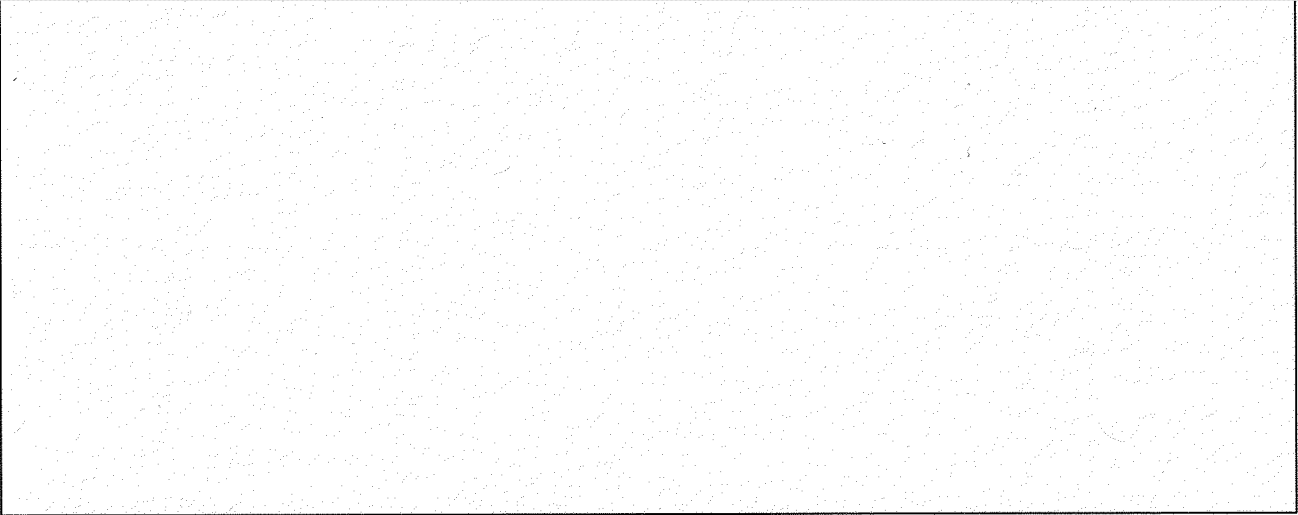
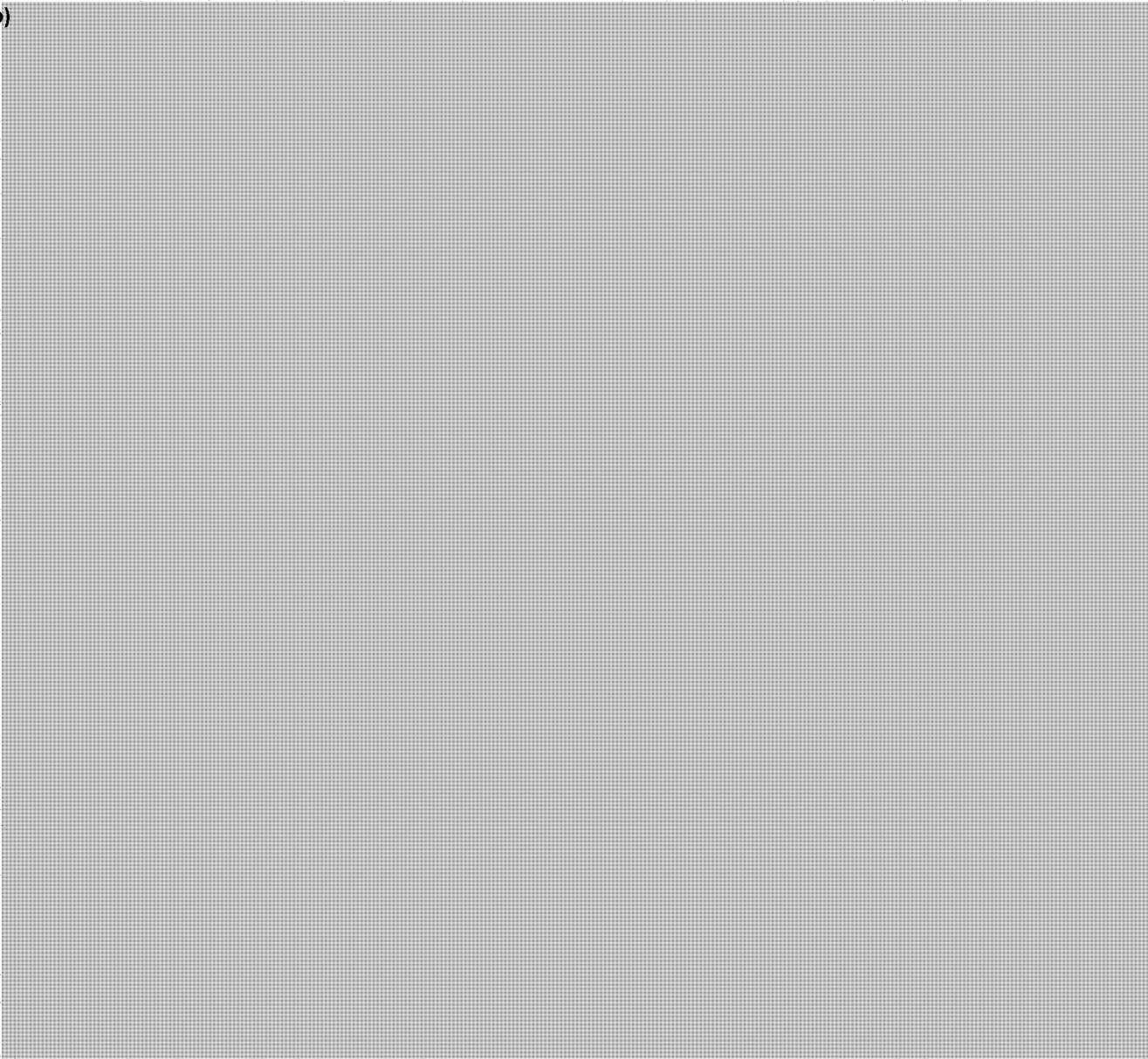
Finding ID:	771786	Process:	2(d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011), [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

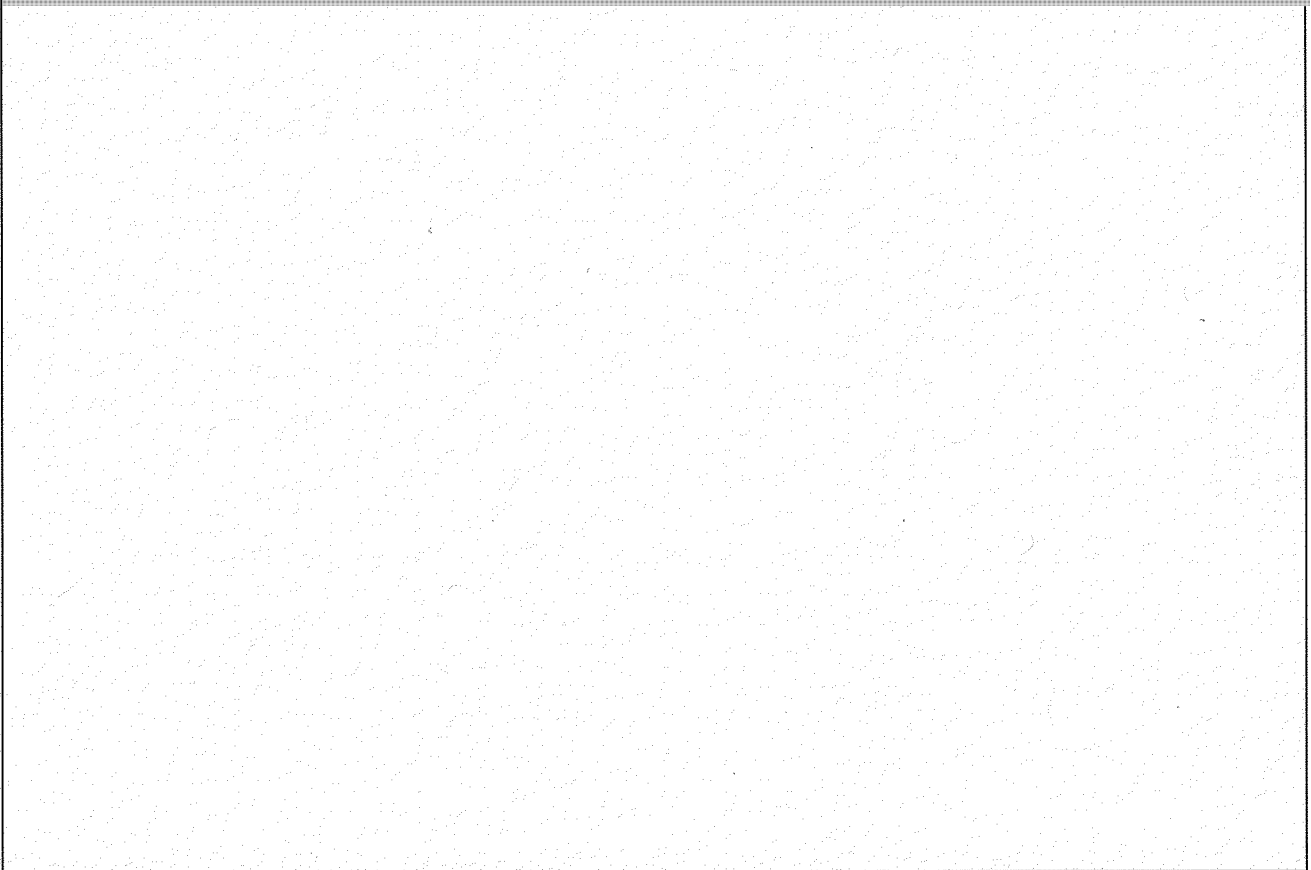
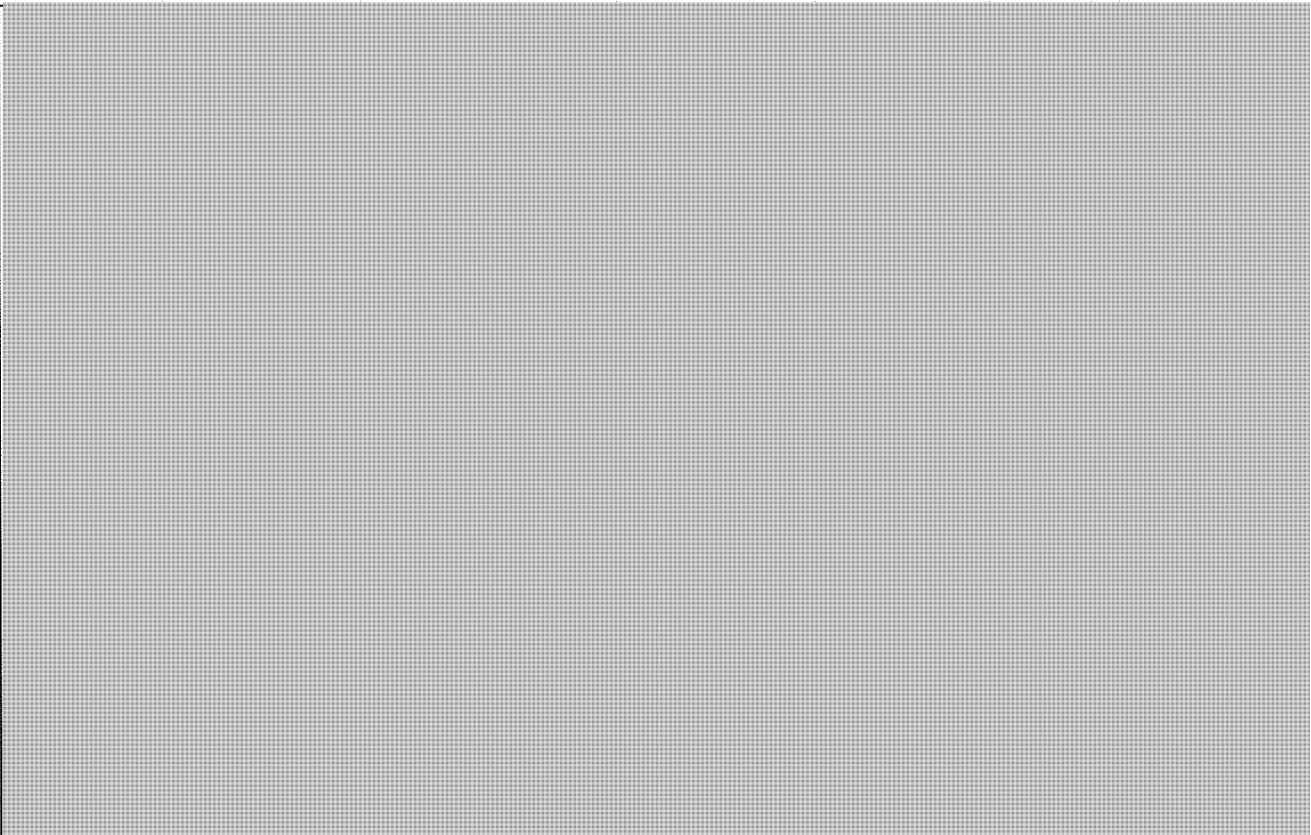
Finding ID:	771831	Process:	2(i)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(i) procedures for the collection and analysis of data for assessing the safety performance of the railway company			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

s.20(1)(b)

s.20(1)(c)

s.20(1)(d)

s.21(1)(b)



s.20(1)(b)
s.20(1)(c)
s.20(1)(d)
s.21(1)(b)

Finding ID:	771875	Process:	2 (d)
Regulatory Requirement:			
A railway company shall implement and maintain a safety management system that includes, at a minimum, the following component: 2(d) systems for identifying applicable (i) railway safety regulations, rules, standards and orders, and the procedures for demonstrating compliance with them, and (ii) exemptions and the procedures for demonstrating compliance with the terms or conditions specified in the notice of exemption;			
Railway Commitment:			
General Fatigue Management Plan for Canadian Pacific and the Teamsters Canada Rail Conference Operating Employees (November 2011) [REDACTED]			
Description of Finding:			
[REDACTED]			
Supporting Details:			
[REDACTED]			

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**is withheld pursuant to sections
est retenue en vertu des articles**

21(1)(b), 20(1)(c)

**of the Access to Information Act
de la Loi sur l'accès à l'information**

Pages 239 to / à 240
are withheld pursuant to sections
sont retenues en vertu des articles
20(1)(b), 20(1)(d), 21(1)(b), 20(1)(c)
of the Access to Information Act
de la Loi sur l'accès à l'information