

Circular 4

Guideline for the Inspection of Low Usage Locomotives (LUL) & High Usage Locomotives (HUL)

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Foreword

This Guideline was developed in consultation with the Province of Alberta's Railway Industry.

The objective of this Guideline is to provide railway companies with Alberta Transportation's expectations relating to locomotives that are designated as low usage locomotives (LUL) and high usage locomotive (HUL).

The responsibility of a railway is to ensure the safe operation of locomotives in service with their railway to ensure locomotives do not suffer catastrophic failures or other undesired events resulting in death, injury, environmental damage, property damage, or other loss.

Part A – General

0.1 - Definitions

"Calendar Year" means from January 01 to December 31.

"Annual Inspections" means the documented inspection conducted by a locomotive inspector utilizing the Ninety Two Day, and Annual Inspection form found on the Alberta Transportation Website.

"Forty Five Day Safety Inspections" means the documented inspection conducted by a locomotive inspector utilizing the Forty Five Day Safety Inspection form found on the Alberta Transportation Website.

"Ninety Two Day Safety Inspection" means the documented inspection conducted by a locomotive inspector utilizing the Ninety Two Day inspection form found on the Alberta Transportation website.

"Hour Meter" means an electric meter which records the running time of a locomotive.

"Locomotive" means a railway locomotive intended for the propulsion or control of railway cars or equipment.

"Locomotive Inspector" means a person deemed by a company to be competent as per the definition of "competent" as defined in the "Interpretation" section of the Alberta Industrial Railway Regulations. Also see Part C 2.4

"Log Book" means a document used to record the daily running hours of a locomotive.

"Low Usage Locomotive" means a locomotive with recorded running time of less than 1100 hours per calendar year.

"High Usage Locomotive" means a locomotive with a running time that exceeds 1100 hours per calendar year.

“Railway Administrator” means a person designated under section 51 of the *Railway (Alberta) Act* as the Railway Administrator.

“Railway Safety Officer” means a person designated under section 51 of the *Railway (Alberta) Act* and includes any person authorized by the Railway Administrator to carry out duties or functions on behalf, or in the place of, a Railway Safety Officer.

“Railway” means the railway as defined by the *Railway (Alberta) Act*.

“Running Time” means the time the locomotive engine runs.

“Safety Management System” means a document based on the Alberta safety management system guideline and required by the Railway Regulations AR177/2002

0.2 - Scope

The scope outlines the responsibilities of a railway when designating a locomotive to be either a low usage locomotive (LUL) or high usage locomotive (HUL).

0.3 - Railway Requirement

A railway is required to:

- a. Establish the type of inspection program to be used for a low usage (LUL) locomotive. A Locomotive must either be designated as LUL with less than 1100 hours of service per year or HUL with more than 1100 hours per year. The LUL or HUL designation must be documented in the inspection records for each locomotive.
- b. Inspect and repair of all locomotives to ensure safe operation. All components, appurtenances, and control apparatuses of all locomotives must be designed and maintained to perform their intended function.
- c. Ensure that locomotive inspectors are trained to perform inspections of locomotives. Locomotive inspectors must demonstrate a knowledge and ability concerning the inspection of railway locomotives to a railway company, by means of oral or written examination and on-the-job performance.
- d. On January 01 of every year a railway must designate each locomotive as either an LUL or HUL locomotive. The designation must be logged in the inspection records of each locomotive and the SMS Section “O”. **NOTE:** the hour meter should be zeroed at the start of each new year on January 01, when a meter cannot be zeroed the hours at the start (January 01) of the year must recorded in the locomotive cab hour log book.

The meter is only required on LUL locomotives. Locomotives designated a HUL do not require an hour meter.

0.4 - Application

This Guideline applies to a railway under the jurisdiction of the *Railway (Alberta) Act*.

0.5 - Responsibility

The railway is responsible for maintaining locomotives to ensure safe railway operations.

A railway is required to implement and maintain a safety management system (SMS) to manage safety of all aspects of railway operations. The low usage locomotive must form part of and be referenced in a railway's SMS as Section "O" Low Usage locomotive.

A railway must, as part of their annual audit, conduct a review of section "O".

Part B – Locomotive Safety Assurance

1.0 – Inspection Requirement for Low Usage Locomotives (LUL)

As part of their ongoing maintenance, a locomotive designated as an LUL by a railway must:

- a. Conduct pre-use inspections;
- b. Conduct 45 day safety inspections;
- c. Conduct annual inspections;
- d. Equip each LUL with an electric hour meter;
- e. Equip the hour meter with a tamper evident tape or witness wire;
- f. Use a log book to record the daily running time;
- g. Audit the inspection reports as part of the SMS audit requirement;

1.1 – Inspection Requirement for High Usage Locomotives (HUL)

As part of their ongoing maintenance, a locomotive designated as HUL by a railway must:

- a. Conduct pre-use inspections;
- b. Conduct 45 day safety inspections;
- c. Conduct 92 day inspection;
- d. Conduct annual inspections; and
- e. Audit the inspection reports as part of the SMS audit requirement.

1.2 - Exceeding 1100 Hours in Less Than One Calendar Year

When a LUL designated locomotive exceeds 1100 hours in a calendar year the locomotive will automatically revert to operating under HUL inspection guidelines for the remainder of the calendar year.

1.3- Switching Designations between LUL and HUL

A locomotive designated as an LUL locomotive can only switch to an HUL locomotive once during any calendar year.

Part C – Out of Service LUL and HUL Locomotives

2.0 - Out of Service – More Than 30 Days

A locomotive removed from service for more than 30 consecutive calendar days must undergo, at a minimum, a 45 day safety inspections and a brake test prior to being place back into service.

Part D - Clean, Oil, Test, and Stencil (COTS) Credit

3.0 – COTS Credit

A clean oil, test, and stencil (COTS) out of service time credit (more than 30 days) is available as referenced in the COTS out of service amended bulletin found at: http://www.transportation.alberta.ca/content/doctype521/production/COTS_Out_of_Service_Amendment_Bulletin_Dec_2011.pdf

Part E – Alberta Transportation

4.0 – Responsibility

The Alberta Transportation Railway Administrator and a Rail Safety Officer(s) is responsible for the administration of the *Railway (Alberta) Act*.

4.1- Directions

In accordance with the *Railway (Alberta) Act* a Railway Safety Officer may issue a direction as per Section 37(1).

If, in the opinion of the Rail Safety Officer, a locomotive is found to be non-compliant with the applicable Locomotive Inspection and Safety Rules and the Guideline for Alberta Railway Inspection of Locomotive Designated to be Low Usage Locomotives (LUL) a Railway Safety Officer may issue a direction, or order the cessation of use.

4.2 – Additional Inspections

In addition, if a Rail Safety Officer has reason to believe additional inspections are required, a direction maybe issued.

APPENDIX A – LOGBOOK

The following format is required for documenting the hours of service for LUL units in a log book. The log book is to be retained in the cab of the locomotive.

COMPANY NAME

UNIT NUMBER - 4569		UNIT TYPE - SD-40		YEAR - 2017	
Date	Meter Start Hour Reading	Meter End Hour Reading	Total Daily Time logged	Previous Time Logged	Total Time Logged
July 1	250	251	1	2	3
July 4	251	254	3	3	6
July 10	254	255	1	6	7
July 14	255	257.5	2.5	7	9.5
July 20	257.5	260.5	3.0	9.5	12.5

APPENDIX B – SMS SECTION “O”

The following information must be added to Section “O” in the railway SMS:

- 1) List the locomotive unit numbers and designation of either low usage locomotive (LUL) or high usage locomotive (HUL) for each locomotive.
- 2) Provide the instruction of what happens if a LUL exceeds the 1100 hour annual limit.
- 3) State each locomotive must be designated as either a LUL or HUL at the beginning of each calendar year.
- 4) List the inspection requirements for LUL.
- 5) List the inspection requirements for HUL.
- 6) State the inspection requirements for locomotives that have been out of service for more than 30 calendar days.
- 7) State the position in the company responsible for monitoring the hours of a LUL unit.