



Asset Management Handover Requirements Standard

Asset Management

AM4-DOC-000940

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1. Introduction

The Department for Infrastructure and Transport (The Department) manages and operates the Adelaide Metropolitan Passenger Railway Network (AMPRN) under the Rail Accreditation assigned to The Rail Commissioner (RCom).

Rail Safety National Law (RSNL) (South Australia) Act 2012 requires RCom to have a structured and disciplined approach to management of the assets and their lifecycle.

2. Purpose

The purpose of this document is to define the requirements which ensure the efficient handover of assets to RCom and to prevent or minimise additional costs, delays and safety risks which could arise.

RCom is responsible for setting up requirements for the handover of RCom rail assets. Figure 1 shows the RCom’s Project and Program Management Framework gateways, with additional RCom systems engineering gates (4A-4F), and where in the lifecycle asset handover typically takes place (4F).

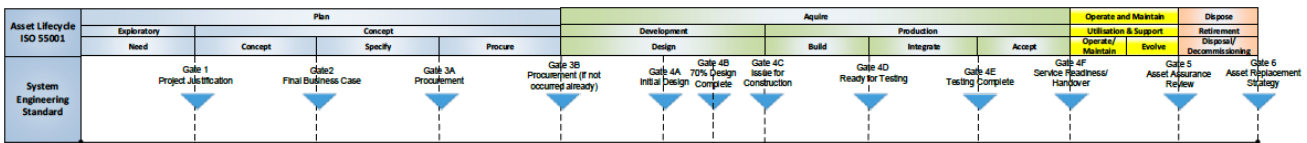


Figure 1 Asset Life-cycle aligned to Program and Project Management Framework (PPMF) and Systems Engineering Gateways

3. Scope

The principles and requirements set out in this standard apply to:

- Asset handover activity at any time in the asset life cycle
- All rail assets and associated asset information including asset Technical Documents, and Technical Records
- Works which have a staged handover
- RCom, its agencies and parties performing engineering work for RCom including contracted organisations (rail service providers)

It is acknowledged that the details of each asset handover are likely to vary depending on the specific asset, the organisations involved and relevant contractual obligations. The requirements set out in this document have been developed to provide a standard but flexible framework that facilitates the development and transfer of project specific handover arrangements. Participating organisations must provide evidence that have their own detailed procedures tailored to their involvement. These procedures must clearly define the roles and responsibilities of those delivering assets (contractor and/or projects), details of the escalation process, and reporting.

4. Supporting information

4.1. Acronyms

ACRONYM	EXPANDED ACRONYM
AHC	Asset Handover Certificate
AHN	Asset Handover Notification
AHP	Asset Handover Plan
AMPRN	Adelaide Metropolitan Passenger Rail Network
DynIT	Dynamic Integration Testing
ITC	Inspection, Testing and Commissioning
PMO	Project Management Office
RCom	The Rail Commissioner

RSNL	Rail Safety National Law
SFAIRP	So Far As Is Reasonably Practicable

4.2. Definitions

TERM	DEFINITION
Asset Information	Combined set of data required to support the management of assets over their life cycle.
Technical Document	A controlled, uniquely identified, reference document or drawing that describes or relates to the technical, physical and/or functional characteristics of an asset, including interfaces. It may include product design, realisation, verification, operation, maintenance and support documentation. It is subject to a review and approval process prior to acceptance. It must be version controlled to enable it, where necessary, to be subsequently reviewed, updated, re-approved and accepted in the event of any changes.
Technical Record	A uniquely identified reference document or drawing that describes or relates to the technical, physical and/or functional characteristics of an asset, including drawings, including interfaces. It may include product design, realisation, verification, operation, maintenance and support documentation characteristics of an asset and which may be subject to a review and approval process. It is not version controlled and once entered into the KNet cannot be updated.
The Delivering Party	The entity/ies delivering the asset to The Receiving Party (RCom)
The Receiving Party	The entity receiving the assets from the Delivering Party. The entity is RCom.

4.3. Related documents

DOCUMENT NAME	DOCUMENT NUMBER
Asset Handover Certificate template	FO-EM-GE-1496
Certificate of Signalling Conditional template	FO-EM-SE-1228
Certificate of Signalling template	FO-EM-SE-1229
Certificate of System Safety Assurance	FO-RC-MC-1500
Engineering Notice procedure	PR-AM-GE-847
Asset Management Technical Data Requirements Specification	PTS-MS-05-AM-PRC-00000091
Punch List Management	PR-AM-GE-762
Engineering Authorities AMPRN	GL-EM-GM-1626

4.4. Referenced documents

- Rail Safety National Law (South Australia) Act 2012: Schedule 1 of the National RSNL Regulations 2012
- Office of the National Rail Safety Regulator Guidelines: Asset Management Guideline 2.0 Feb 2019
- Preparation of a Rail Safety Management System Guideline 2.1 April 2019
- Major Projects Guideline Effective Control and Management of Rail Operations Guideline 2.0 Sep 2020
- TS 01508:1.0 Asset Handover Requirements June 2023

5. Asset Handover requirements

Asset handover takes place in the context of the development and delivery of an asset. A project responsible for adding new or altered (including relocation) assets must have a strategy for the overall delivery. Design solutions will inevitably impact handover arrangements including methods of delivery. Therefore, planning for handover must start, during the planning stage of a project to allow adequate time for identification, thorough investigation, and risk assessment of any relevant interdependencies.

Error! Reference source not found. below shows illustrates the timeline for asset handover activities and shows that they can start as early as Gate 3.

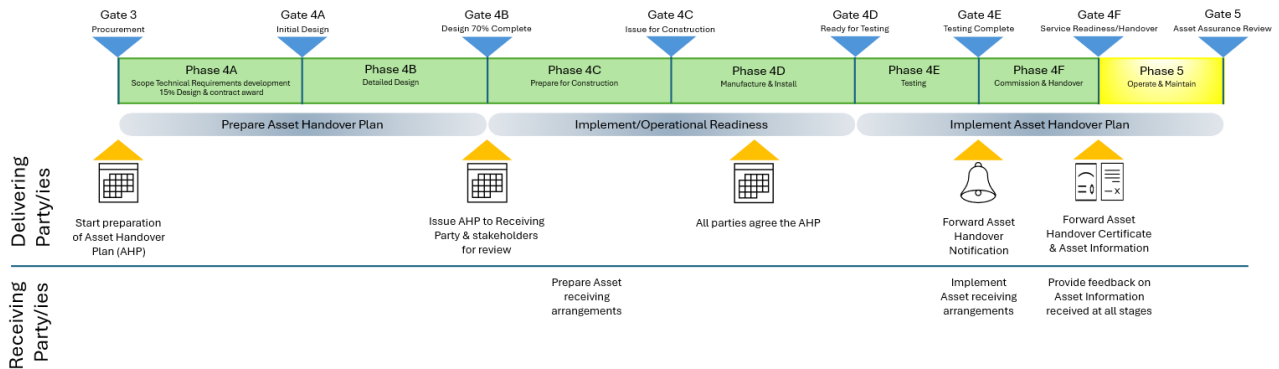


Figure 2 Typical timeline for asset handover planning

5.1. Asset Handover Plan

The delivering party must prepare and forward an Asset Handover Plan (AHP) to the receiving party and other relevant stakeholders for review and agreement at Gate 4B. The AHP must establish the following:

- a) Handover Events
 - o Number of asset handover events for the project
 - o Scope of each asset handover to include assets that will be handed over e.g., existing, new, altered (including relocated) or decommissioned assets
 - o Asset information that will be handed over at each asset handover event
 - o Agreed timeframes for delivery of Asset Handover Notifications (AHN) for each handover event or any other material from the delivering party to the receiving party
 - o System and Safety Assurance Documentation
 - o Inspection, Testing and Commissioning (ITC) test results and certificates
- b) Timing
 - o Timing and sequence of the asset handover events
 - o Description of any commissioning events that will precede a handover
 - o If any asset information and/or Technical Documents, and Technical Records are to be provided post commissioning
 - o Agreed timeframes for delivery of notifications or any other material from the delivering party to the receiving party
- c) Readiness
 - o Any other requirements before asset handover such as training of personnel and competence training
 - o That the system is maintenance ready
 - o That the system is operationally ready
 - o Roles and responsibilities for the asset handover
 - o Requirements for readiness and a program to ensure readiness is managed and achieved.

The amount of detail in the asset handover plan must be commensurate with the complexity of and risk posed by the handover. For high risk/complexity, a Contract Management or Project Engineering Management Plan may also be used to capture handover planning details.

At Gate 4B, The AHP will be reviewed to assess:

- Its suitability given the complexity of the project
- How risks have been identified and managed

- How readiness has been planned
- How potential impacts that the handover arrangements could have on the rail network and its customers have been considered
- How potential impacts on other stakeholders has been resolved

5.2. Asset Handover Responsibilities

Asset handover planning consists of both preparing to deliver assets and preparing to receive assets. For this reason, all parties delivering or receiving assets must contribute to the development of plans for asset handover.

5.2.1. Responsibilities of The Delivering Party

The Delivering Party/Parties must:

- Prepare an AHP that supports and describes one or multiple staged handovers after engagement with The Receiving Party (RCom)
- Update the AHP throughout the course of the project when changes are required and obtain agreement from the receiving party or parties on any updates
- Provide the AHP to RCom
- Provide a complete, and accurate set of asset information, Technical Documents, and related Technical Records to RCom in accordance with *Asset Management Technical Data Requirements Specification PTS-MS-05-AM-PRC-00000091 and Master Specification RW60*.
- Discuss and agree project specific handover arrangements with RCom
- Agree the lead times (determined by project complexity and risk) for AHNs for each handover event with RCom during the development of the AHP
- Notify RCom of each forthcoming handover event by issuing an AHN
- Sign the AHNs (signed the responsible person/s for The Delivering Party)
- Prepare and sign the Asset Handover Certificate (AHC) *FO-EM-GE-1496 KNet#11288622* (signed by the responsible person/s for The Delivering Party)
- Provide the AHC to RCom prior to handover within the timeframe agreed with RCom
- Formally notify RCom as soon as it becomes aware of a possible delay to the planned handover event
- Address and resolve issues arising
- Advise RCom that action has been taken to resolve issues that they raised where practical and reasonable
- Seek assurance from RCom that it is ready to accept the asset/s and keep records of any confirmation requested.

5.2.2. Responsibilities of The Receiving Party (Rcom)

RCom must:

- Review and provide timely feedback on proposed handover arrangements to The Delivering Party
- Agree the lead times (determined by project complexity and risk) for AHNs for each handover event with The Delivering Party during the development of the AHP
- Make arrangements to accept the assets,
- Confirm receipt of the asset information, Technical Documents, and Technical Records provided by The Delivering Party
- Sign the AHN

- Receive and sign the AHC prior to handover within a timeframe agreed with The Delivering Party
- Provide feedback to The Delivering Party for issues related to the asset information, Technical Documents, and Technical Records.
- Ensure that the assets are ready to maintain

5.3. Staged Handovers

In some cases, for example with Dynamic Integration Testing (DynIT), detailed in *Guidelines for Inspection, Testing and Commissioning of Assets for Rail Projects PTS-AR-10-PM-GUD-00000098*, asset handovers will need to be staged i.e., take place over several handover events because of limited access to the network.

The submissions required to obtain authority to conduct DynIT, if staged over several events, must be made well in advance of the planned whole of system testing and commissioning.

5.4. Asset Handover Certificate

The AHC (*FO-EM-GE-1496 KNet#11288622*) must show evidence, with detail and prior to handover, that items listed have been submitted and accepted in accordance with contractual obligations.

An AHC must include the following:

- Time and date of asset handover
- Contact information of the responsible person in The Delivering Party
- Details of authorisation of the change, and transfer of responsibility from the Delivering Party, or to RCom.

The AHC must show that the handover deliverables, including but not limited to the following list, if applicable, have been supplied at or before handover in accordance with *Asset Management Technical Data Requirements Specification PTS-MS-05-AM-PRC-00000091*:

- Delivering Party/Parties deliverables list
- Defect list
- As-built drawings
- Punchlist has been submitted with outstanding actions and activities
- *Certificate of Signalling form QPF-401-8*
- Track inspection records
- *Certificate of Train/Tram Running Infrastructure form*
- *Certificate of Train/Tram Running Overhead form*
- *Certificate of System Safety Assurance*
- *Hazard(s)/Control(s) Transfer Forms*
- Assurance Documentation
- Engineering Notices
- Employee Notices
- Clearly identified, appropriately specified conditions, limitations, and rectification details.

5.5. Post Handover

Any work required post Asset Handover must be carried out in accordance RCom standards, processes and procedures.

APPENDIX 1 - ASSET HANDOVER PROCESS FLOW ALIGNED TO PPMF GATE REVIEWS/HOLD POINTS AND ITC FLOW

