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# SYDNEY TRAMWAY MUSEUM

SAFETY OPERATIONAL PERFORMANCE AUDIT  
PROCEDURE

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SYDNEY TRAMWAY MUSEUM

# Document Control Record

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1.0	31/01/2007	Initial issue
1.1	19/12/2008	Minor modifications
<u>1.2</u>	<u>21/11/2009</u>	<u>Changed the name from Safety Audit Procedure</u>

**Approved by** \_\_\_\_\_ **Signature & Date** \_\_\_\_\_

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Rail Safety Manager		Y	1	

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## 1. Purpose

To provide direction for the planning and conducting of safety-operational performance audits of Sydney Tramway Museum (STM) rail safety activities and to provide the review and follow up process for any required corrective actions.

## 2. Scope

This process applies to all safety-operational performance audits conducted by either internal or independent external auditors appointed by the Rail Safety Management Team to audit STM rail safety related activities.

## 3. Responsibilities

### 3.1 The Rail Safety Management Team

- The Rail Safety Management Team shall be responsible for establishing biannual safety-operational performance audit schedules, determining the scope of operational performancesafety audits and any other operational performancesafety audit requirements, appointing auditors, monitoring operational performancesafety audit progress against operational performancesafety audit schedules and reviewing and acting on operational performancesafety audit findings.
- The Rail Safety Management Team shall be responsible for ensuring that all rail safety elements of STM rail activities are audited at least on a biannual basis.
- The Rail Safety Management Team is responsible for ensuring that persons selected to conduct operational performancesafety audits have the relevant knowledge and experience to conduct allocated operational performancesafety audits.
- The Rail Safety Management Team shall be responsible for documenting the scope (i.e. procedures to be audited) for each operational performancesafety audit.

### 3.2 Auditors

- Appointed operational performancesafety auditors are responsible for conducting operational performancesafety audits in a timely manner and in accordance with the scope of operational performancesafety audit defined by the Rail Safety Management Team.
- Appointed operational performancesafety auditors are responsible for issuing *Non-Conformance Reports (STM6008)* for non-conformances observed during operational performancesafety audits.
- Appointed operational performancesafety auditors shall be responsible for submitting a *Operational performanceSafety Audit Report (STM6010)*.

### 3.3 Managers and Staff

- STM members and staff are responsible for complying with an auditor request for all relevant information required to satisfy the scope of an assigned and authorised operational performancesafety audit.
- STM members are responsible for timely action in relation to accepted operational performancesafety audit recommended actions where these actions fall within their authority to action.
- STM members are responsible for providing accurate and timely information to the RSMT on accepted operational performancesafety audit recommendations for which they are responsible until all actions are finalised (closed out).

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## 4. References

- Non-Conformance Report (STM6008)
- ~~Safety~~ ~~Operational Performance~~ Audit Schedule (STM6041)
- ~~Operational Performance~~ ~~Safety~~ Audit Check List (STM6009)
- ~~Operational Performance~~ ~~Safety~~ Audit Log (STM6011)
- ~~Operational Performance~~ ~~Safety~~ Audit Report (STM6010)
- Rail Safety Management Plan (STM6042)
- AS4292.1 Standards Australia Railway Safety Management Standard
- Rail Safety Act [2008](#)
- Australian Standard AS 3911.1 Guidelines for Auditing Quality Systems

## 5. Definitions

<b>Internal Auditor</b>	An auditor, appointed by the RSMT, from within STM, such as a manager, employee, member or volunteer.
<b>Internal <del>Safety</del> <del>Operational Performance</del> Audit</b>	A systematic examination to determine whether the rail safety activities comply with documented procedures (i.e. all documentation that makes up the safety management system) and the management intent.
<b>Independent External Auditor</b>	An auditor, with appropriate qualifications and training in audit procedures, appointed by the RSMT to conduct broad safety audits as determined by the RSMT.
<b>Non-Conformance Report</b>	A report issued by auditors and other managers within STM to report observed rail safety non conformances to managers and the RSMT.
<b>RSM</b>	Rail Safety Manager
<b>RSMT</b>	Rail Safety Management Team
<b>SMS</b>	Safety Management System
<b>STM</b>	Sydney Tramway Museum: the trading name of South Pacific Electric Railway Co-Operative Society Limited for tram activities, therefore references to STM.

## 6. Actions

### 6.1 General

The RSMT shall develop a ~~operational performancesafety~~ audit protocol and a biannual ~~operational performancesafety~~ audit timetable with ~~operational performancesafety~~ audits prioritised according to the level of risk. The RSMT will ensure that biannual ~~operational performancesafety~~ audit schedules are prepared and all elements (eg the Rail Safety Management Plan and all associated procedures) of rail safety activities, including the ~~operational performancesafety~~ audit program are audited at least on a biannual basis or more frequently when circumstances indicate a requirement to do so. The RSMT will determine the scope of ~~operational performancesafety~~ audits and any other audit requirements.

Either internal auditors or independent external auditor(s) may conduct ~~operational performancesafety~~ audits. Where an internal auditor is appointed to conduct a ~~operational performancesafety~~ audit, the auditor shall be independent of the area being audited.

The results of all ~~operational performancesafety~~ audits shall be brought to the attention of the workers and managers having responsibility in the area audited. The manager responsible for the

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area shall take timely corrective action on any deficiencies found by the operational performancesafety audit. In circumstances where the deficiencies require action beyond the authority of the area's manager, or the auditor's recommendations are questioned, the issue shall be referred to the Manager for action or referral to the RSMT.

The results of operational performancesafety audits and reports of actions completed and outstanding shall be provided to the RSMT which will take appropriate action in relation to outstanding recommendations until such time as all accepted operational performancesafety audit recommendations have been satisfactorily closed out (see section 6.8). Where operational performancesafety audit recommendations are not accepted by the RSMT a record must be kept of the decision and the reasons for it, as well as any alternative action taken and why.

### **6.2 Audit Schedule**

The RSMT shall prepare a Operational PerformanceSafety Audit Schedule (STM6041) prior to the start of every second financial year and may further revise the schedule to meet additional audit requirements on a progressive basis.

The RSMT shall take into account performance trends, previous operational performancesafety audit reports and any other pertinent factors when setting the priority for operational performancesafety audits. Scheduling should be based on the importance of and risk associated with the activities to be audited.

Each activity relating to rail safety should be audited at least once every 2 years.

### **6.3 Audit Resources**

The RSMT shall ensure that internal auditors assigned to operational performancesafety audits are independent of the process being audited and have the appropriate skills to conduct such operational performancesafety audits.

Where external auditors are appointed to conduct operational performancesafety audits for STM, the RSMT shall ensure that selected auditors are appropriately qualified and have experience to conduct such operational performancesafety audits.

The RSMT shall monitor the effectiveness of the operational performancesafety audit process and shall maintain a record of approved auditors who may be engaged to conduct the operational performancesafety audits.

Potential sources for external auditors include other heritage organisations on a "swap" basis.

### **6.4 Preparation for Audits**

The RSMT or the Rail Safety Manager shall prepare the scope of each operational performancesafety audit. Operational performanceSafety audit scope should include an assessment of the effectiveness of the elements of the SMS being audited.

The auditor appointed by the RSMT shall prepare a Safety-Operational Performance Audit Checklist (STM6009).

Each operational performancesafety audit shall be individually numbered and all documentation related to the operational performancesafety audit shall be endorsed with the operational performancesafety audit number, date of the operational performancesafety audit and the auditor's name.

The manager or employee responsible for the area to be audited shall be informed of the impending operational performancesafety audit in advance of the operational performancesafety audit.

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Where information or documentation is required to be made available to the auditor at the commencement of the operational performancesafety audit the relevant manager shall arrange for such items to be made available.

### **6.5 Conducting the Safety-Operational Performance Audit**

Operational performanceSafety audits shall be conducted in such manner as to cause minimum disruption to the normal operation of the section under audit.

The auditor shall at the commencement of a operational performancesafety audit brief the person responsible for the area being audited on the scope of the operational performancesafety audit and any special requirements such as the close out of non-conformances from previous operational performance safety audits.

The auditor shall progress through the Safety-Operational Performance Audit Checklist (STM6009) addressing each of the items. The auditor shall record observations on the Operational PerformanceSafety Audit Checklist and where necessary issue *Non-Conformance Reports* (STM6008) for items requiring attention. Any non-conformance requiring urgent action shall be brought to the attention of the Manager.

### **6.6 Evaluation of Results**

Upon completion of the operational performance safety audit the auditor shall consider findings and evaluate evidence to ensure the validity of observations made during the operational performance safety audit and that where appropriate Non-Conformance Reports have been issued.

### **6.7 Safety-Operational Performance Audit Report**

Auditors shall prepare a Safety-Operational Performance Audit Report (STM6010) at the completion of each operational performancesafety audit. The report shall include following information as applicable:

- The scope and objectives of the operational performance safety-audit
- Details of the operational performancesafety audit
- The reference documents against which the operational performancesafety audit was conducted
- operational performanceSafety audit observations and non-conformances
- The auditor's judgement of the extent of compliance with related documentation
- Verification of corrective action performed as a result of prior operational performancesafety audits and
- The completed Operational PerformanceSafety Audit Checklist.

The auditor may review the findings with the relevant manager/employees to verify findings prior to submitting the report to the RSMT.

### **6.8 The RSMT Actions**

The RSMT shall record the status of the operational performancesafety audit on the Safety-Operational Performance Audit Schedule (STM6041), review operational performancesafety audit findings and completed action items, and assign responsibility or take other appropriate action for outstanding action items.

The RSMT shall record all completed operational performancesafety audits on an Operational PerformanceSafety Audit Log Form (STM6011) and monitor progress of corrective actions on non-conformances.

A record of all approved corrective actions shall be recorded and retained on the operational performancesafety audit file. Outstanding corrective actions shall be reviewed at each RSMT meeting, until such items are closed out.

A record of all rejected corrective actions shall be recorded and retained on the operational performancesafety audit file, along with the reasons why the recommended actions were not accepted.

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### **6.9 Corrective Actions**

The RSM will record all *Non-Conformance Reports (STM6008)* in the *Non-Compliance Status Report (STM6080)* to keep track of their progress. A copy of the *Non-Compliance Status Report (STM6080)* will be submitted to the Board each month for review.

Auditors shall record non-conformances on *Non-Conformance Reports (STM6008)* in accordance with section 6.5. Auditors shall provide all Non-Conformance Reports to the relevant manager and the RSMT. The manager shall review Non-Conformance Reports and record approved recommended actions, the name of the person responsible to implement the corrective action, and the required timeframe in section two of the Non-Conformance Report.

The manager shall report to the RSMT any recommended actions unable to be resolved on local authority or within a short time frame. The RSMT will then take appropriate action which may include assigning responsibility to a particular person, releasing additional resources, or other action considered necessary.

A copy of all Non-Conformance Reports shall be retained on the audit file and a copy shall be issued to the person allocated responsibility for actioning the RSMT's recommendations.

The person allocated responsibility for the corrective actions shall progress such actions through to close out of each non-conformance. Each person allocated responsibility for non-conformance corrective actions shall provide regular updates on the status of each action in time for scheduled RSMT meetings.

Non-conformances shall be reviewed at RSMT meetings, until each non-conformance has been satisfactorily closed out. The RSMT shall ensure that the corrective action has been effective in overcoming the problem that gave rise to the non-conformance.

The person having responsibility for non-conformance actions will complete section two of the Non-Conformance Report when actions have been satisfactorily completed and provide the form to the auditor for completion of section three. Completed forms shall be retained on the safety-operational performance audit file.

The auditor who issued the Non Conformance Report shall, where possible, review the satisfactory implementation of the corrective action before signing section three.

### **6.10 Safety-Operational Performance Audit Records**

Safety-Operational performance audit records shall be retained in accordance with the STM document storage and retention procedures in section 2.6.6 *the Rail Safety Management Plan (STM6042)*.