



SYDNEY TRAMWAY MUSEUM

CHANGE MANAGEMENT PROCEDURE

~~DECEMBER 2008~~ JUNE 2009

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1. Purpose

To provide a procedure to review a proposed change in rolling stock, infrastructure, operations or other areas of the Sydney Tramway Museum (STM) rail safety activities. In the process of reviewing the change the risks are identified and assessed with the details recorded in the STM Safety Management System.

2. Scope

This process is to be applied to all proposed changes to:

a) **Rolling stock including:**

- Commissioning of new rolling stock (i.e. new to the STM);
- Commissioning of restored rolling stock;
- changes to rolling stock standards; and
- Commissioning of major overhauled rolling stock, where changes have been made to the structure or operating performances, or from an initial design;

b) **Infrastructure including:**

- Commissioning of new track work or infrastructure;
- Major alterations to existing track work;
- Major alterations to existing infrastructure;
- changes to infrastructure standards;
- Signalling, operational systems and telecommunications infrastructure; and
- Changes to the infrastructure maintenance activities..

c) **Operations including:**

- The driving or operation of trams;
- Controlling the movement of trams;
- Large events; and
- Safe working systems and procedures.

d) **Other Areas where the proposed changes may affect the safety of STM activities or impact on the safety of other parties including:**

- Organisational Structure including:
 - Creation or deletion of positions; and
 - Changes to organisation hierarchy.
- changes to other standards;
- Job roles and responsibilities
- equipment and non-rail infrastructure including roadways;
- interface with other engineering and operating systems;
- personal workplace safety; and
- temporary or unplanned changes.

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3. Responsibilities

The Board will determine who will be responsible for safety validation sign off.

The RSMT will review all of the risks associated with the types of changes specified in the scope above and perform the risk assessments. This review, which will be managed by the RSM, could be performed by an onsite meeting or by e-mail amongst the RSMT members.

All STM members are encouraged to suggest changes and make continuous improvement suggestions to the Rail Safety Manager.

4. References

Rail Safety Act

Australian Standard AS 4360 Risk Management

STM6006 – Safety Record Retention Schedule

STM6169 - Change Request Form

STM6170 – Change Register

[Form8 Notification of Change To Railway Operations \(an ITSRR form\)](#)

5. Definitions

RSM Rail Safety Manager

RSMT Rail Safety Management Team

STM Sydney Tramway Museum the trading name of South Pacific Electric Railway Co-Operative Society Limited for tram activities, therefore references to STM.

The Board refers to the South Pacific Electric Railway Co-Operative Society Limited Board of Directors

6. Actions

6.1 General

The Board will collectively and as individuals ensure that no changes to STM infrastructure, rolling stock, procedures, processes and systems, organisational structure or job roles and responsibilities occur unless the processes described in this procedure are followed.

All changes need to be recorded on the Change Request Form (STM6169). All changes need to be assessed as to the impact (if any) on the level of risk to the Museum, and to persons in contact with the Museum.

[The Rail Safety \(General\) Regulation 2008 includes as a prescribed condition of accreditation the mandatory notification by accredited rail transport operators of certain decisions, events or proposed changes relating to their railway operations.](#)

[Section 7 defines the proposed decisions, events or changes that must be notified to ITSRR within the timeframe specified.](#)

6.2 Types Of Change

The various types of change are:

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- Change which is planned, but must take into account any unintended consequences in related areas;
- Unavoidable, unplanned or unintended changes, including ‘creeping’ or ‘incremental’ change where the impact at any time may seem minor, but over a period can significantly increase risk;
- Temporary changes; and
- Emergency or abnormal changes which may be required within a short timeframe and therefore may require different treatment.

6.3 Requirements

Any proposed change which could affect safe operations shall require the following:

- A risk assessment, conducted in accordance with the STM Risk Management Process;
- The identification of suitable controls;
- Consultation with affected internal and external stakeholders, including relevant rail safety workers;
- A check that the proposed change conforms with relevant legislation;
- Documentation of the change and a record of the change will be placed in the Change Register (STM6170); and

The preparation and lodgement with the rail safety regulator of an application for variation of accreditation if a material change is to be made.

6.4 Sign Off

- Safety Validation shall only be undertaken by people who have the skills, knowledge and experience in the areas affected by a proposed change.
- The Rail Safety Management Team will determine who will be responsible for the Safety Validation sign off. In some cases more than one person may need to sign off the safety validation.
- No change shall be introduced before the Safety Validation is complete and approved by the Rail Safety Management Team.

6.5 Completion of Change Request Form

The Change Request Form (STM6169) must be raised for all changes at the STM. The person requesting the change must also sign the request.

The first page of the form is to be completed by the person requesting the change. The approvals for the change will only be those managers whose area is affected by the change. However the Rail Safety Manager must also sign off all changes.

The second page of the form must be completed by the Rail Safety Manager in consultation with the the person requesting the change.

The third page of the form needs to be completed by the Rail Safety Manager.

The fourth page of the form must be completed by the Rail Safety Manager in consultation with the Rail Safety Management Team. Any new identified risks must be added to the Risk Register (STM6003).

The Rail Safety Manager includes all changes, and their current status, in his monthly report to the Board.

6.6 Change Register

The RSM will record all of the Change Requests in the Change Register (STM6170). The register will show the status of all of the changes in progress.

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A copy of the Change Register will be forwarded to the Board each month for review. The Rail Safety Manager includes all changes, and their current status, in his monthly report to the Board.

6.7 Filing and Archiving of Change Requests

All Change Requests will be filed in a folder in the Main Office and retained as per the Safety Record Retention Schedule (STM6006).

The change Register (STM6170) will also be filed in the same folder.

6.8 Changes to Procedures, Forms, etc

All changes to documents must follow the process as explained in the Rail Safety Management Plan (STM6042) section 2.6 “Document and Data Control”.

6.9 The Checklist for Updating Procedures & Documents

When changing a **procedure** the following needs to be performed:

- 1) Ensure that “*Track Changes*” option is set on in Microsoft Word (Under the *Tools* option);
- 2) *Accept all* of the previous changes;
- 3) Save the document as the **next** version in the “*Documents in Draft*” folder;
- 4) Change the *Date* of the first page;
- 5) Change the *Version Number* on page 2;
- 6) Change the *Document Status* – from *Approved* to *Draft*
- 7) Add the details into the *Version History*;
- 8) Change the *Version No.* and *Date* at the footer;
- 9) Make the necessary modifications to the body of the document; and
- 10) Save the document.
- 11) If it is a **new document** add the details in the latest form *STM6001 Document Register* in both the *Numeric* sheet and the *Alphabetic* sheet. Also update the *Cross Reference Sheet*.
- 12) Open the latest *STM6036 – Document Control Record – Issue Register* to record the latest *Version No.* and *Date of the procedure* in sheet called *Documents*.
- 13) Also in *STM6036 – Document Control Record – Issue Register* record on sheet *TBP (To Be Printed)* with the *date* indicate if the document is to be *Printed* (Column F=Yes) and loaded onto the *Web* (Column G=Yes). NOTE: this sheet is linked back to the *Documents* sheet.
- 14) When the document has been approved:
 - a. Change the *Document Status* – from *Draft* to *Approved*;
 - b. Move the old document to the “*Archived Documents*” folder;
 - c. Move the new document to the “*Current Documents*” folder;
 - d. Print out the document for the Rail Safety Manager to sign; and
 - e. File the printed document in the SMS folder.

When changing a **form** the following needs to be changed:

1. Ensure that “*Track Changes*” option is set on in Microsoft Word (Under the *Tools* option);
2. *Accept all* of the previous changes;
3. Save the form as the **next** version in the “*Documents in Draft*” folder;
4. Change the *Version Number* on page 1;
5. Change the *Document Status* – from *Approved* to *Draft*
6. Add the details into the *Version History*;
7. Change the *Version No.* and *Date* at the footer;
8. Make the necessary modifications to the body of the form; and
9. Save the form.
10. If it is a **new form** add the details in the latest form *STM6001 Document Register* in both the *Numeric* sheet and the *Alphabetic* sheet. Also update the *Cross Reference Sheet*.
11. Open the latest *STM6036 – Document Control Record – Issue Register* to record the latest *Version No.* and *Date of the form* in sheet called *Documents*.

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12. Also in *STM6036 – Document Control Record – Issue Register* record on sheet *TBP* with the date indicate if the document is to be *Printed* (Column F=Yes) and loaded onto the *Web* (Column G=Yes). NOTE: this sheet is linked back to the *Documents* sheet.
13. When the form has been approved:
 - a. Move the old form to the “*Archived Documents*” folder;
 - b. Move the new form to the “*Current Documents*” folder;
 - c. Print out the form filing in the SMS folder.

6.10 Three (3) Monthly Procedure for Creating Various CD copies

Every three (3) months it is recommended that the following process takes place with regard to:

- 1) Notifying ITSRR of all of the SMS changes that have taken place;
- 2) Providing details to the STM Web Master of all of the changes the SMS documentation that has taken place and will need to be uploaded onto the STM Web site;
- 3) Providing a disk for the printers to print all of the new and changed documents; and
- 4) Providing OFF-SITE backup of the SMS procedures to the RSMT members.

The process is to create 7 CD's. On each separate CD's take:

- 1) A copy of the folder (*STM SMS Documents*) for ITSRR and a copy of *STM6036 Document Control Record* which shows all of the changes made in the past 3 months. Write the details (*Sydney Tramway Museum SMS Documents and the date*) on the CD with a texter and to post it to them.
- 2) A copy of the folder (*Safety Management System*) ITSRR and a copy of *STM6036 Document Control Record* which shows all of the changes made in the past 3 months, for each of the following RSMT members, writing the details (*STM SMS Documents and the date*) on the CD with a texter:
 - a. David Rawlings (RSM and RSMT member);
 - b. Geoff Graham (RSMT member);
 - c. Richard Clarke (RSMT member); and
 - d. Ian Saxon (RSMT Member).
- 3) A copy of the folder (*Archive Files*) for a backup, write the details (*STM SMS Archived Documents and the date*) on the CD with a texter and store the CD with the SMS backup.
- 4) A copy of the following folders from folder (***STM6036 Document Control Record – Issue Register***) to be given to the STM Web Master (*Peter McCallum*): and
The list of the various forms, procedures, etc that have been changed in the past 3 months can be found in the latest version of ***STM6036 Document Control Record – Issue Register***. This spreadsheet should have been updated whenever a document, procedure, etc was changed.
Write the details (*STM SMS Document Changes and the date*) on the CD with a texter and give it to the Web Master.
It is recommended that the process is:
 - a. Create a Folder on the CD called “*Changed Documents Folder*”;
 - b. Copy the various SMS files that need to be updated on the STM Web site; and
 - c. Save the file to the CD in the “*Changed Documents Folder*”.
- 5) A copy of all of the forms, procedures, standards, etc that have been changes in the past 3 months. This will be used to give to the printers for printing the various documents for placing in the STM hard copy files that are held in the STM office.

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The list of the various forms, procedures, etc that have been changed in the past 3 months can be found in the latest version of *STM6036 Document Control Record – Issue Register*. This spreadsheet should have been updated whenever a document, procedure, etc was changed.


Write the details (*STM SMS Document Changes and the date*) on the CD with a texter and organise for the documents to be printed.

It is recommended that the process is:

- a. Create a Folder on the CD called “Print Folder”;
- b. Open up the various SMS files that need to be printed (usually the forms are OK);
- c. Turn “Track Changes” option off (*the reason is to stop the changes being printed in the columns of the documents*);
- d. Follow the process below (*How do I check a document for tracked changes and comments and remove them*);
- e. Save the file to the CD in the “Print Folder”; and
- f. Close the original file without saving it.

How do I check a document for tracked changes and comments and Remove them?

Office Word 2007 provides a feature called *Document Inspector* that allows you to check any document for tracked changes, comments, hidden text, and other personal information. To check a document:

1. Open the document you want to inspect for tracked changes and comments.
2. Click the **Microsoft Office Button**  (top left hand corner of the screen), point to **Prepare**, and then click **Inspect Document**.
3. In the **Document Inspector** dialog box, click **Inspect**.
4. Review the inspection results. If Document Inspector finds comments and tracked changes, you are prompted to click **Remove All** next to **Comments, Revisions, Versions, and Annotations**.
5. Click **Close**.

7. Notification To ITSRR of Changes to Tramway Operations

The following proposed decisions, events or changes must be notified to ITSRR within the timeframe specified:

<u>Decision, event or change</u>	<u>When notification must be given</u>
<u>A decision to design or construct, or to commission the design or construction of rolling stock or new railway tracks.</u>	<u>As soon as reasonably practicable after the decision is made.</u>
<u>The introduction into service of rolling stock of a type not previously operated by the operator, or the re-introduction into service of rolling stock not currently operated by the operator.</u>	<u>At least 28 days before the date the operator intends to introduce or re-introduce the rolling stock into service.</u>
<u>A change to a safety critical element of any existing rolling stock.</u>	<u>At least 28 days before the date the operator intends to bring the change into operation.</u>
<u>A change to one or more of the classes of railway infrastructure used in the operator’s accredited operations.</u>	<u>At least 28 days before the date the operator intends to introduce the new class of rail infrastructure into service.</u>
<u>A change to a safety standard for the design of</u>	<u>At least 28 days before the date the operator</u>

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<u>railway infrastructure and rolling stock.</u>	<u>intends to adopt the change.</u>
<u>The decision to adopt a new safety standard for the design of rail infrastructure or rolling stock.</u>	<u>At least 28 days before the date the operator intends to adopt the new standard.</u>
<u>A change to the frequency of or procedures for the inspection or maintenance of railway infrastructure and rolling stock.</u>	<u>At least 28 days before the date the operator intends to bring the change into effect.</u>
<u>A change to any safeworking system rule or procedure relating to the conduct of the operator's railway operations.</u>	<u>At least 28 days before the operator intends to bring the change into effect.</u>
<u>A decision to introduce a new safeworking system rule or procedure relating to the conduct of the operator's railway operations.</u>	<u>As soon as is reasonably practicable after the decision is made.</u>
<u>The replacement of the person nominated in the safety management system (SMS) as the contact person for dealing with queries in relation to the SMS of the operator.</u>	<u>As soon as is reasonably practicable after it is known that the replacement will occur.</u>

If it is not possible to comply with the specified notification timeframe because of an emergency, the operator must provide the required information as soon as reasonably practicable after the decision is made or the event or change occurs.

What if I need to vary my accreditation in order to implement a proposed change?

In order to carry out railway operations rail transport operators are required either to be accredited in relation to those operations, or exempt from the requirement to be accredited under the *Rail Safety Act 2008*.

Where a proposed change would result in the rail transport operator conducting railway operations for which they are not accredited, the operator will need to apply to ITSRR for a variation of accreditation. The proposed change cannot be implemented until a variation to accreditation has been granted.

If you have applied for a variation of accreditation in relation to a proposed change, you are not required to also notify ITSRR of the change under the *Rail Safety (General) Regulation 2008*.

How do I notify ITSRR of changes to railway operations and what information must be included in a notification?

Notifications of change must be made in writing and include:

- details of the persons consulted about the change;
- when and how they were consulted; and
- the results of the consultation.

To lodge a notification, complete an **ITSRR Changes to Railway Operations Notification Form** and submit it to ITSRR by post, fax or email. The form is located at:

http://www.transportregulator.nsw.gov.au/publications/forms/Form8_Notification_of_Change.pdf

When can a notified proposed change be implemented?

Provided the proposed change will not result in the rail transport operator conducting railway operations for which they are not accredited (in which case a variation to accreditation must be applied for), the operator can implement the change once the notification timeframe has passed, unless ITSRR advises otherwise.

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