



SYDNEY TRAMWAY MUSEUM

SAFETY PERFORMANCE AUDIT PROCEDURE

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SYDNEY TRAMWAY MUSEUM

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| 1.0 | 31/01/2007 | Initial issue |
| 1.1 | 19/12/2008 | Minor modifications |
| 1.2 | 21/11/2009 | Changed the name from Safety Audit Procedure |
| 1.3 | 31/12/2013 | Update procedure with changes and change name back to Safety Audits |
| 1.4 | 31/10/2014 | Minor modifications |
| 2.0 | 30/11/2014 | Major modifications to the procedure |
| 2.1 | 06/02/2015 | Variation to schedule definition |
| 2.2 | 28/02/2017 | Amended the procedure to improve the process and specify the skills of the auditors |
| 2.3 | 30/6/2017 | Minor modifications |
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Approved by **Signature & Date**

3. Distribution List

| Position | Date | Location of Documents |
|---------------------|------|--------------------------------------------------|
| Rail Safety Manager | | Original held on GOOGLE secure Website |
| STM WEB SITE | | Updated regularly and put onto the STM Web site. |
| STM Office | | STM Office Computer |

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1. Purpose

To provide direction for the planning and conducting of Safety Performance Audits of the Sydney Tramway Museum (STM) rail safety activities and to provide the review and follow up process for any required corrective actions. This Safety Performance Audit procedure is the practice and procedure used to ensure the procedures itemized in the Safety Management System are followed at the Sydney Tramway Museum.

2. Scope

This procedure shall apply to rail related procedures used at the Sydney Tramway Museum. This process applies to all Safety performance audits conducted by either internal or independent external auditors appointed by the Rail Safety Management Team to audit STM rail safety related activities.

The Rail Safety Manager produces or revises the audit schedule in December for the following two calendar years. The audit schedule will vary depending on the work at STM (e.g. a new tramcar may not arrive for many years). The aim is to cover all areas over 8 years.

The traffic operations are audited by the Operational Performance Audit procedure (STM6114) and the Operations Manager or his nominee conducts the Operations Performance Audit. However Safety Performance Audits will be conducted on the Traffic Staff to ensure that areas of significant risk are audited (e.g. Emergency procedures).

3. Responsibilities

3.1 The Rail Safety Management Team

- The Rail Safety Management Team shall be responsible for establishing or reviewing the biannual safety performance audit schedules, determining the scope of safety performance audits and any other safety performance audit requirements, appointing auditors, monitoring safety performance audit progress against safety performance audit schedules and reviewing and acting on safety performance 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 five-year basis.
- The Rail Safety Management Team is responsible for ensuring that persons selected to conduct safety performance audits have the relevant knowledge and experience to conduct allocated safety performance audits.
- The Rail Safety Management Team shall be responsible for documenting the scope (i.e. procedures to be audited) for each safety performance audit.

3.2 Auditors

- Appointed safety performance auditors are responsible for conducting safety performance audits in a timely manner and in accordance with the scope of safety performance audit defined by the Rail Safety Management Team.
- Appointed safety performance auditors will have the necessary skills and knowledge of the activities being audited. The auditors and the areas to be covered are:

| <u>Auditor</u> | <u>Area To Be Audited</u> |
|---------------------------------------|---------------------------------|
| Officers-in-Charge | Traffic Crews |
| Traffic Manager/Operations Manager | Officers-in-Charge |
| Chief Engineer or his nominee | Infrastructure Manager |
| Chief Engineer or his nominee | Overhead Supervisor |
| Chief Engineer or his nominee | Workshop Manager |
| Traffic Manager or his nominee | Crew Training/Assessment |

- Appointed safety performance auditors are responsible for issuing *Non-Conformance Reports (STM6008)* for non-conformances observed during safety performance audits.

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- Appointed safety performance auditors shall be responsible for submitting a *Safety performance Audit Report (STM6010)* if any non-conformances have been issued.

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 safety performance audit.
- STM members are responsible for timely action in relation to accepted safety performance 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 safety performance audit recommendations for which they are responsible until all actions are finalised (closed out).

4. References

- Non-Conformance Report (STM6008)
- Rail Safety Management Plan (STM6042)
- Safety Performance Audit Checklist (STM6009)
- Safety Performance Audit Schedule (STM6041)
- Safety Performance Audit Register and Status Log (STM6011)
- Safety Performance Audit Summary Report (STM6010)
- STM Safety Management System

5. Definitions

| | |
|-------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Internal Auditor | An auditor, appointed by the RSMT, from within STM, such as a manager, employee, member or volunteer. |
| Safety Performance Audit | 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. |
| Independent External Auditor | An auditor, with appropriate qualifications and training in audit procedures, appointed by the RSMT to conduct broad safety audits as determined by the RSMT. |
| Non-Conformance Report | A report issued by auditors and other managers within STM to report observed rail safety non-conformances to managers and the RSMT. |
| RSM | Rail Safety Manager |
| RSMT | Rail Safety Management Team |
| SMS | Safety Management System |
| STM | 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 biannual *Safety Performance Audit Schedule* (STM6041) with safety performance audits prioritised according to the level of risk. The RSMT will ensure that biannual safety performance audit schedules are prepared and all elements (eg the Rail Safety Management Plan and all associated procedures) of rail safety activities, including the safety performance audit program are audited at least once every five years or more frequently when circumstances indicate a requirement to do so. The RSMT will determine the scope of safety performance audits and any other audit requirements based on the standard *Safety Performance Audit Checklists* (STM6009).

Where an internal auditor is appointed to conduct a safety performance audit, the auditor shall be independent of the area being audited.

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The results of all safety performance audits shall be brought to the attention of the workers and managers having responsibility in the area audited. The manager, responsible for the area, shall take timely corrective action on any deficiencies found by the safety performance 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 safety performance 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 safety performance audit recommendations have been satisfactorily closed out (see section 6.8). Where safety performance 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 Safety Performance Audit Schedule

This is the first job in the safety performance audit process. The RSMT shall prepare a *Safety Performance Audit Schedule (STM6041)* prior to the start of every second STM financial year and may, on a progressive basis, further revise the schedule to either meet additional audit requirements or because a process may not have occurred during the period (e.g. no conductors are trained in the period).

The RSMT shall take into account performance trends, previous safety performance audit reports and any other pertinent factors when setting the priority for safety performance 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 8 years.

6.3 Audit Resources

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

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

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

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

6.4 Preparation for Safety Performance Audits

The RSMT or the Rail Safety Manager shall prepare the scope of each safety performance audit. Safety performance 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 Performance Audit Checklist (STM6009)*. *Standard Safety Performance Audit checklists are available and maybe tailored according to the area being audited.*

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

The manager or STM member responsible for the area to be audited shall be informed of the impending safety performance audit in advance of the safety performance audit being carried out.

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

6.5 Conducting the Safety Performance Audit

Safety performance 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 safety performance audit brief the person responsible for the area being audited on the scope of the safety performance audit and any special requirements such as the close out of non-conformances from previous safety performance audits.

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The auditor shall progress through the *Safety Performance Audit Checklist (STM6009)* addressing each of the items. The auditor shall record observations on the *Safety Performance 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 safety performance audit the auditor shall consider findings and evaluate evidence to ensure the validity of observations made during the safety performance audit and that where appropriate *Non-Conformance Reports* have been issued.

6.7 Safety Performance Audit Report

Auditors shall prepare a *Safety Performance Audit Summary Report (STM6010)* at the completion of each safety performance audit *if any non-conformances have been issued*. The report shall include following information where applicable:

- The area of the safety performance audit;
- The scope of the safety performance audit;
- The reference documents against which the safety performance audit was conducted;
- Summary of Findings and Conclusions which should include;
 - Safety performance 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 safety performance audits;
 - The number of the *standard* Safety Performance Audit Checklist.
- The signature, member name and member number of the auditor;
- The date the summary report was completed.

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

6.8 The RSMT Actions

The RSMT shall record the status (Completed – Yes/No) of the safety performance audit on the *Safety Performance Audit Schedule (STM6041)*, review completed *Safety Performance Audit Summary Report (STM6010)* with regard to the findings and conclusions, completed action items, and assign responsibility or take other appropriate action for outstanding action items.

The RSMT shall record all completed safety performance audits on a *Safety Performance Audit Status Log (STM6011)* and monitor progress of corrective actions on non-conformances.

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

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.

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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 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 Performance Audit Records

The Rail Safety Manager will also complete the details in the *Safety Performance Audit Register and log* (STM6011).

Safety performance audit records shall be retained in accordance with the *STM Safety Records Retention Schedule document* (STM6006).

6.11 Flow of Documents

The flow of the SPA documents is as follows:

- STM6041 – Prepare a SPA Schedule **every 2 years and revised annually**
- STM6009 – Check Standard Checklists **for any changes**
- STM6010 – Select a Standard Audit Summary Report
- STM6009 – Add comments during the audit
- STM6011 – Update the Safety Performance Audit Register and Status log with details of the audit
- Complete a Non Conformance Report (STM6008) if require

7.0 Safety Performance Audit Timetable

- a) In December each TWO Years prepare and review the planned *Safety Performance Audit Schedule (STM6041)* for the next year after reviewing the audits conducted during the year.
- b) During the 2 year audit period Audit the Safety Management System in the areas specified in the above schedule
NOTE: However some planned audits may change (added or deferred) as the process to be audited may not have been conducted (e.g. planned audit of conductor training deferred as not conductors to be trained).
- c) Steps for Each Safety Performance Audit
 - i. Select the Auditor;
 - ii. Select the scope of the audit based on the nominated *Safety Performance Audit Checklist (STM6009)* for the relevant area to be audited;
 - iii. Audit the selected area;
 - iv. Complete the *Safety Performance Audit Summary Report (STM6010)* for the selected audit if any non-conformances are found;
 - v. Complete the *Safety Performance Audit Status Log (STM6011)* for the selected audit;
 - vi. Complete the *Non Conformance Report (STM6008)* for any non conformances;
 - vii. Update *Safety Performance Audit Schedule (STM6041)* with the status (completed-YES/NO)
 - viii. Update the *Safety Performance Audit Status (STM6011)* with the audit results;
 - ix. Report any Non Conformances to the RSMT and the STM Board;
 - x. Report the audit results to the RSMT and STM Board.
- d) Repeat the above steps in c) for each audit.

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