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# **SYDNEY TRAMWAY MUSEUM**

## **OPERATIONAL PERFORMANCE AUDIT PROCEDURE**

**FEBRUARY 2015**

**SYDNEY TRAMWAY MUSEUM**

# Document Control Record

**1. Document Details:**

**Name:** Operational Performance Audit Procedure

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Approved for Issue

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**2. Version History:**

Version Number	Date	Reason/Comments
1.0	14/09/2006	Initial issue
1.1	12/02/2008	Changed some form numbers
1.2	05/12/2008	Added the frequency of the audits & Dead man checks
1.3	15/04/2010	Changed the Operational Performance Audit name
2.0	31/12/2013	Rewrite procedure to reflect the audit of the Operations Staff
2.1	28/02/2014	Modified the procedure to conform to the amended report layout
2.2	06/02/2015	Correct procedure to align with the form (STM6115)

**Approved by** ..... **Signature & Date** .....

**3. Distribution List**

Position	Date	Copy Issued to (Yes/No)	Copy No.	Received
Rail Safety Manager		Y	1	

# SYDNEY TRAMWAY MUSEUM

## 1. Purpose

The purpose of this procedure is to describe the process of auditing and recording the performance of the STM Traffic staff.

## 2. Scope

This procedure shall apply to tramcar operations at the Sydney Tramway Museum. The Operations Manager or his delegated person produces the Operational Performance Audit Report (STM6115) whenever he audits any Traffic Staff. The audits will be conducted throughout the years so that over a 5-year period all Traffic Staff will have been audited.

## 3. References

STM6008 – Non-Compliance Report  
STM6080 – Non Compliance Status Report  
STM6115 – Operational Performance Audit Report  
STM6145 – Audit Performance Number Register  
STM6062B – latest version of the Tramway Operation Handbook

## 4. Definitions

An Operational Performance audit is the practice and procedure used to ensure the procedures itemized in the Tramcar Operation Handbook (STM6062B) are followed when tramcars, carrying passengers, operate on any of the museum lines.

Auditor is either the Operations Manager or his delegated person  
OPA - Operational Performance Audit  
NCR – Non-Compliance Record  
RSMT - Rail Safety Management Team  
T&A - Training and Assessment  
TOH - Tramcar Operation Handbook

## 5. Procedure

During the year the Auditor will audit the Operations staff during Traffic days to ensure that they are performing their duties as defined in the Tramway Operations Handbook.

The Auditor should advise the Officer-in-Charge and the Tram Crew that the audit is to be conducted. The Auditor should select a position on the tramcar where the actions of the driver, observer and conductor can be observed. This may require the observer to be repositioned during certain sections of the trip. At the turn around locations the Auditor is to leave the tram to observe the actions of the crew.

The results of the audit will be noted on the Operational Performance Audit Report (STM6115) and given to the Rail Safety Manager for recording and filing.

### 5.1 Completing Of The Report

The Audit Testing Criteria is shown on page 2 of the Operational Performance Report.

Details for completing the Operational Performance Audit Report (STM6115) are;

- a) Complete in the Audit Report Number. This number is made up of a six (6) digits. The first two digits are the sequence number for that year and the last 4 digits are the year number; i.e. for the second audit in 2014, the OPA number is 02/2014.

## SYDNEY TRAMWAY MUSEUM

- b) Enter the Date and Time of the Audit;
- c) Enter the Time of the tramcar trip selected;
- d) Enter the Tramcar number;
- e) Enter the Running Line on which the audit will be conducted;
- f) Enter the Weather Conditions;
- g) Enter the Driver's name;
- h) Enter the Observer's name;
- i) Enter the Conductor's name;
- j) Enter the Trainee's Name;
- k) At the completion of the trip, advise the crew of the audit result and record any deficiency;
- l) Enter the Deficiency category, as listed below: -
  - i. 'A' for a significant omission of the set criteria; or
  - ii. 'B' for a significant number of minor deficiencies; or
  - iii. 'C' for a single or isolated deficiency;
- m) With any deficiencies recorded, the details about the deficiencies should be noted in the Comments area;
- n) After the audit, the Auditor must record his name, membership number and sign off the comments; and
- o) Update the Operational Performance Audit Register (STM6145) with the details.

### 5.2 Following up On Deficiencies Recorded In The Report

Should there be any deficiencies they are to be discussed with the crew as soon as possible. The Auditor must record any actions taken to overcome the deficiencies. These actions must be recorded on the lower part of the form and the Auditor must record his name, membership number, date and sign the form.

Should the deficiency be serious enough, the crew member concerned may be relieved of duty for the remainder of the shift and the matter referred to the Training and Assessment (T&A) committee for further action. For deficiencies of a lesser nature, on the spot counseling may suffice. All deficiencies will be advised to the T&A committee for review and further action if necessary.

Should any serious deficiency be found to be serious, a Non Compliance Report must be completed (STM6008) and given to the Rail Safety Manager.

The Rail Safety Manger will then add the NCR Number and record the non-compliance on the Non Compliance Status Report (STM6080). This report will be included in the RSM report to the Board and the RSMT reports.

The Operation Performance Audit forms (STM6115) shall be filed in the office in the appropriate folder by the Rail Safety Manager.

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