Audit Schedule & Log

Document Status

Version	Date	Revision	Prepared	Reviewed	Approved
Draft	19 August 2012		SEC (K Moorhead)		

Revision Record

Revision	Date Issued:	Description of change:

Distribution

Hard Copy	Position Title	Electronic Controlled Copy
A-0	Management Committee	OTHR Website

OTHR Management Committee is responsible for establishing and managing the audit program. An Audit Subcommittee may be formed at the discretion of the Management Committee to assist with the audit program.

The Management Committee prioritises the audit program taking into account various factors including:

- Previous audit findings and recommendations
- Recent rail safety performance
- Status and importance of activities to be audited, with particular consideration in giving high risk activities priority

The program is run on a triennial basis, according to the prepared Audit Schedule. The Schedule is updated upon the completion of each audit.

This schedule may vary as a result of changes to audit priorities or if additional audit requirements are identified. The Audit Schedule makes provision for all rail safety related activity to be audited at least once in each three year period.

The audit program is monitored at meetings of the Management Committee, which inspects the audit log to make sure audits are proceeding according to schedule.

SMS Area	Item	Year Ended June 2013		Year Ended June 2014		Year Ended June 2015	
		Plan	*Act*	Plan	*Act*	Plan	*Act*
Safety Policy	Safety Policy	Aug 12	*2012-07-11*				
	Safety Culture	Aug 12	*2012-07-11*				
Governance & Management and Internal Control	Management, Accountabilities, Responsibilities and Authorities	Jul 12	*2012-07-11*				
	Regulatory Compliance	Jul 12	*2012-07-11*				
	Resource Availability	Jul 12	*2012-07-11*				
Document & Information Control	Document Control and Information Management					Oct 14	
	Internal Communications					Oct 14	
SMS Review & Audit	SMS Review					Mar15	
	Safety Performance Measures & Reports					Mar15	
	Safety Audit Arrangements					Mar15	
	Corrective Actions					Mar15	
	Management of Change					Mar15	
	Consultation and Internal Communications					Mar15	
Risk & Incident Management	Risk Management	Nov 12					
	Human Factors	Nov 12					
	Notifiable Occurrences	Nov 12					
	Security Management	Nov 12					
	Emergency Management	Nov 12					
Engineering & Operational Systems	Procurement & Contract Management			Oct13			
	Engineering & Operational Systems Safety			Oct13			
	Process Control			Oct13			
Infrastructure Interface	Asset Management			Apr 14			
	Safety Interface Coordination			Apr 14			
Rail Safety Worker Competence	Record of Quals & Comps, Training Matrix, Record of Training, Safety Inductions	May13					
Personnel Management	Drug & Alcohol Management					Jul 14	
	Fatigue Management					Jul 14	
	Health & Fitness					Jul 14	