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		Form Issued: August 2012			
<b>AUDIT REPORT FORM</b>					
Activity Audited: <b>GOVERNANCE &amp; SAFETY POLICY</b>			Date: <b>11-07-2012</b>		
			Page                      of		
Auditor: <b>Kylie Moorhead</b>					
Date Previously Audited: <i>February 2012 as part of ITSR Compliance Audit</i>					
<p>The audit was conducted using the relevant sections of the ITSR National Audit Tool 2008, downloaded from the ITSR website. The questions in the document are very involved, and consideration was made of the small scale and relatively low current risk profile of OTHR when the audit was conducted.</p> <p>The audit was based on the documents currently available on the OTHR SMS Docs website. The audit results comprise a document which is attached which has answers to the questions as well as comments on various points.</p> <p><b>Summary of Findings:</b></p> <p><b>General:</b></p> <p>1.0.2 The SMS is not readily accessible to our rail safety workers due to it's password restrictions and presentation.</p> <p><b>Safety Policy:</b></p> <p>2.0.1 OTHR is not compliant with regards to it's safety policy which hasn't been reviewed and signed off by committee for several years.</p> <p>2.0.4 Our communication policy (POL-008) doesn't cover communication specifically of our safety information.</p> <p>2.0.6 Human Factors is not evidenced anywhere in the SMS documentation examined.</p> <p><b>Governance:</b></p> <p>4.1.1 No documented procedures to ensure committee receive safety information. It is noted that there are procedures that currently occur, however they are not evidenced within the SMS docs.</p> <p>4.1.7 No documented procedures to ensure that safety decisions made at committee meetings are followed up until resolved. Again it is noted that the committee currently uses an outstanding actions list, however this isn't documented in the SMS.</p> <p><b>Safety Responsibilities, Accountabilities and Authorities:</b></p> <p>4.2.13 Human Factors have not been expressly considered in the SMS. No person has been allocated the responsibility for this area.</p> <p><b>Regulatory Compliance:</b></p> <p>5.0.1 The SMS does not contain a system to identify and review regulatory requirements of OTHR. A register of same could not be located. There is no specific change management process covering this.</p> <p>5.0.3 There is no documented process for the preparation and submission of OTHR's Safety Performance Report to the regulator.</p> <p>5.0.4 OTHR's accreditation conditions were not evidenced within the SMS documents.</p> <p><b>Safety Performance Measures:</b></p> <p>8.0.1 The SMS documents do not contain information of key safety management activities, safety performance objectives or safety performance indicators. We have collated and reported some measures within our previous Safety Performance Reports, however the SMS doesn't contain any procedures or policies specifically for this area. These measures are not reported to the committee or workers apart from in the ASPR.</p> <p><b>Safety Audit Arrangements:</b></p> <p>9.0.1 The SMS contains an Audit Policy and associated audit forms, however upon reading these documents there was no real procedure for conducting an audit available, no audit protocol or checklists. I could not find any evidence of previous internal audits which may have been conducted and filed.</p> <p>9.0.2 There was no detailed audit schedule or program evidenced for the current period which covered any type of audit. The Audit Policy POL-007 states that as a minimum at least one internal audit should be conducted on all areas of the SMS annually, and if only one audit is conducted it should be mid-way between external ITSR audits.</p>					
Signed: <b>Kylie Moorhead</b>			Non-Conformance Reports Issued:		
Date:                      11-07-2012			As per report attached.		

# OTHR - GOVERNANCE & MANAGEMENT AUDIT

[SECTIONS LIFTED FROM THE ITSr NATIONAL AUDIT TOOL 2008 Document ID: A126524](#)

1 GENERAL REQUIREMENTS		
1.0.1	<p>Does the rail transport operator have a SMS that provides for the following matters that are relevant to their railway operations in a level of detail that is appropriate having regard to the scope, nature and risks to safety of those operations, and the operator's general safety duty?</p> <ul style="list-style-type: none"> <li>• Safety policy and safety culture <a href="#">POL-001</a></li> <li>• Governance and internal control arrangements <a href="#">COM-006</a></li> <li>• Management, responsibilities, accountabilities and authorities <a href="#">COM-006</a></li> <li>• Regulatory compliance</li> <li>• Document control arrangements and information management <a href="#">POL-005</a></li> <li>• Review of the safety management system</li> <li>• Safety performance measures</li> <li>• Safety audit arrangements <a href="#">POL-007</a></li> <li>• Corrective action <a href="#">POL-007</a></li> <li>• Management of Change <a href="#">POL-006</a></li> <li>• Consultation and internal communication <a href="#">POL-008</a></li> <li>• Risk management <a href="#">RM-001</a></li> <li>• Human factors -</li> <li>• Procurement and contract management <a href="#">POL-009</a></li> <li>• Asset management - including general engineering and operational systems safety requirements and process control <a href="#">POL-010</a></li> <li>• Safety interface coordination ?</li> <li>• Management of Notifiable occurrences ?</li> <li>• Security management -</li> <li>• Emergency management -</li> <li>• RSW competence <a href="#">COM-002</a></li> <li>• Drug &amp; Alcohol Management <a href="#">POL-004</a></li> <li>• Fatigue Management <a href="#">POL-003</a></li> <li>• Health &amp; Fitness ?</li> <li>• Resource availability -</li> </ul>	<p>Very briefly covered - needs more detail</p> <p>Not mentioned in detail any of our policy docs</p> <p>Accreditation says review annually - no procedures?? KPI's - can't find any policies defining them for OTHR. Just in ASPR</p> <p>Mentioned - elevation of results etc in audit policy</p> <p>Pretty Vague</p> <p>No policy mentioning Human Factors</p> <p>Working on Interface agreements, but no docs in SMS</p> <p>We have an emergency contact list, form and emergency access plan in the Incident Management Section of the SMS</p>
1.0.2	Is the SMS in the form approved by the rail safety regulator?	

	<p>Is the SMS:</p> <ul style="list-style-type: none"> <li>• evidenced in writing? YES</li> <li>• set out and expressed in a way that its contents are readily accessible and comprehensible to persons who use it? NO</li> <li>• prepared in accordance with the regulations? NO</li> <li>• kept and maintained in accordance with the regulations? NO</li> </ul> <p>Does the SMS:</p> <ul style="list-style-type: none"> <li>• provide a comprehensive and integrated management system for all aspects of control measures adopted in accordance with the legislation? YES</li> <li>• state the persons responsible for the development of all, or all parts of, the safety management system? YES</li> </ul>	<p>we have work to do on the website - passwords too hard, no hyperlinks, menu hard to navigate etc</p> <p>Many examples of things required that aren't there</p> <p>Reviews in particular are not carried out as required.</p>
1.0.3	<p>Does the SMS include a Safety Management Plan that describes, and serves as a guide to, the safety management system?</p> <p>Does the safety management plan:</p> <ul style="list-style-type: none"> <li>• provide contextual information as to the organisation to which the safety management system applies, including organisational charts; YES</li> <li>• specify the scope and nature of the railway operations to which the safety management system applies. (Further information in relation to describing the scope and nature of railway operations is provided by the National Rail Safety Guideline for Accreditation of Rail Transport Operators ); YES</li> <li>• state the persons responsible for the implementation of the safety management system and the relationship between these persons. The plan should explain the framework for implementation of the safety management system and keeping the safety management system up to date; YES</li> <li>• include the rail transport operator's risk register; YES</li> <li>• list the elements of the safety management system and, where appropriate, explains the relationship between the elements of the safety management system; ??</li> <li>• provide a list of key standards and procedures and an indication of the safety management system elements to which they relate; NO</li> <li>• include documents explaining how standards or codes are to be applied in the context of the rail transport operator's railway operations, or information on where such documentation may be found. NO</li> </ul>	<p>Our scope is changing as we progress</p> <p>The SMS Overview document lists all the current documents that exist, however doesn't mention all the elements required of the SMS.</p>

## 2 SAFETY POLICY -

**The SMS must include:**

**A safety policy or policies that**

**\*align or aligns with other organisational policies and that is or that are, endorsed by the CEO and Board (or any other person or body controlling the rail transport operator).**

**\*that include an express commitment to safety, the development of a positive safety culture and the continuous improvement of all aspects of the safety management system.**

2.0.1	Does the organisation have safety management policy that includes a commitment to :		
	<ul style="list-style-type: none"> <li>• safety?</li> <li>• development and maintenance of a positive safety culture?</li> <li>• continuous improvement of all aspects of the SMS?</li> </ul>	<p>YES</p> <p>YES</p> <p>YES</p>	<p><a href="#">POL-001</a></p> <p>not updated each year</p>
	Does the policy align with other organisational policies (eg discipline policy)?	?	
2.0.2	Is the policy endorsed at the highest management level (eg, CEO and Board or equivalent)?	YES	Current policy hasn't been endorsed by current Board/President for several years
2.0.3	Is the general policy statement and arrangements reviewed following changes in the organisation (including changes in the Board, CEO or equivalent) or at least annually as part of the annual review of the SMS?	NO	
2.0.4	Are there documented systems and procedures for the communication of the rail transport operator's safety policy and safety objectives to all people who are to participate in the Implementation of the SMS? Is there evidence that the process is being followed and is effective?	NO	Not within that POL-001 itself Nothing specific mentioned in PO-008 Communications Evidence that policy is followed & effective????
2.0.5	Is consultation undertaken before the development / review of the safety policy?	NO	None evidenced
2.0.6	Does the organisations rail safety policy note the importance of the human within the system?	NO	no explicit mention of human factors in the policy
	Does the policy consider Human Factors as a domain of practice, in some instances requiring specialist skills?	NO	
<b>4 MANAGEMENT AND GOVERNANCE</b>			
<b>4.1 GOVERNANCE</b>			
The SMS must include systems and procedures to ensure that the CEO and Board (or any other person or body controlling the rail transport operator), or the people managing railway operations, have sufficient knowledge.			
The SMS must include systems and procedures to ensure that decisions and directions made by those controlling the rail transport operator, or managing the railway operations that affect safety are being implemented effectively			

4.1.1	<p>Does the SMS include systems and procedures to ensure that the CEO and board receive regular, documented briefings on the following:</p> <ul style="list-style-type: none"> <li>• the risk profile of the organisation, including high risk hazards faced by the organisation?</li> <li>• the level of compliance by the organisation with its duties and obligations under the Act and Regulations?</li> <li>• the safety performance of the organisation?</li> <li>• periodic SMS and risk management reviews?</li> <li>• full audit reports or summaries of audit findings or audits undertaken as appropriate?</li> <li>• outstanding corrective actions or hazard reports that have not been responded to and finalised.</li> </ul> <p>Are these systems and procedures complied with?</p>	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>YES</p> <p>NO</p> <p>NO</p>	<p>we include safety on the agenda, but this isn't documented into our policies</p> <p>Audit procedure exists, but no evidence that regular audits are occurring or findings reported to the board</p> <p>Action List exists, but isn't in formal policy.</p>
4.1.2	<p>Does the SMS include systems and procedures to enable the CEO and Board (or equivalent) to determine whether:</p> <ul style="list-style-type: none"> <li>• the SMS is working effectively?</li> <li>• risks to safety are being identified, assessed and managed SFAIRP?</li> <li>• controls used to monitor safety and to manage risks to safety are being regularly reviewed and revised?</li> </ul> <p>Are these systems and procedures complied with?</p>	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p>	
4.1.3	<p>Is there evidence that the board (or equivalent ie managing committee):</p> <ul style="list-style-type: none"> <li>• has accepted the risk management policies for the organisation?</li> <li>• is consulted/informed when decisions that could affect the safety performance of the organisation are made?</li> </ul>	<p>NO</p> <p>YES</p>	<p>Not the current committee. Last signed 2009.</p> <p>Safety items are brought to attention of meetings</p>
4.1.4	<p>Are the CEO and Board briefed on how assets are being managed, including future renewal and upgrading programs? Are the safety implications made clear?</p>	<p>NO</p>	<p>This has limited application to the current operations of OTHR. Nothing in place however to apply for future operations</p>
4.1.5	<p>Are the CEO and Board able to verify that:</p> <ul style="list-style-type: none"> <li>• sufficient resources are available for</li> </ul>	<p>NO</p>	<p>This is a problem</p>

	<p>establishing and maintaining the SMS?</p> <ul style="list-style-type: none"> <li>• employees with safety responsibilities are competent for their positions?</li> </ul> <p>...Such that the organisation retains its overall competence and capacity to meet its railway safety objectives.</p>	??	Problem for volunteer groups where you have to take what you can get, rather than get what you need.
4.1.6	Are there internal controls and review processes to be applied to the board to ensure appropriate governance of safety is being provided?	NO	
4.1.7	<p>Does the SMS include systems and procedures to ensure that decisions taken by the CEO, Board and Management</p> <ul style="list-style-type: none"> <li>• are clearly documented?</li> <li>• have follow up action identified?</li> <li>• have responsibility allocated to an appropriate individual?</li> <li>• subject to reporting processes and timeframes that have been identified?</li> <li>• are communicated to those responsible for implementation?</li> <li>• are noted on an issues log and followed up until complete or implementation is self-sustaining?</li> </ul> <p>Are these systems and procedures complied with?</p>	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p>	<p>Alot of this happens at our meetings, however it is not documented as a procedure anywhere in the SMS system.</p>
<b>4.2 SAFETY RESPONSIBILITIES, ACCOUNTABILITIES AND AUTHORITIES</b>			
<p>The safety management system must include:</p> <ul style="list-style-type: none"> <li>• Policies that indicate how safety responsibilities, accountabilities, authorities and interrelationships have been determined.</li> <li>• Documents that describe the responsibilities accountabilities, authorities and interrelation of the personnel who manage or carry out rail safety work, or who verify such work</li> <li>• Procedures for the reporting of risks to safety by personnel with safety responsibilities.</li> <li>• Documents that describe the authorities given to personnel with safety responsibilities to enable them to meet those responsibilities</li> </ul>			
4.2.1	Has the rail transport operator established policies that indicate how safety responsibilities, accountabilities, authorities and relationships have been determined?	YES	<a href="#">COM-006</a>
4.2.2	Is the interrelation between all personnel who		

	<p>manage, perform and verify work affecting safety clearly defined?</p> <p>Are there documents that describe the authorities given to personnel with safety responsibilities to enable them to meet their safety responsibilities?</p>	MAYBE	<p>The Org chart could do with some work to more clearly explain - there are positions which aren't listed, and ones which are that we don't have.</p> <p>Included in COM-006, although sketchy on authorities</p>
4.2.3	<p>Do these personnel have the authority and freedom to:</p> <ul style="list-style-type: none"> <li>• for managers in charge of sites, eg, Station Managers, Depot Managers, Workshop Managers, prohibit work being carried out by third parties until it is established that the work methods and outcomes are safe?</li> <li>• initiate action to prevent unsafe occurrences?</li> <li>• identify and record any railway safety issues?</li> <li>• initiate, recommend or provide solutions to railway safety issues through designated channels?</li> <li>• initiate action to learn from railway occurrences and to prevent any recurrence?</li> <li>• verify the implementation of solutions?</li> <li>• control further design, construction, commissioning, operation or maintenance activities so that any observable deficiency or unsatisfactory railway safety condition is corrected; and</li> <li>• identify internal verification requirements, provide adequate resources and assign trained and qualified personnel for verification activities.</li> </ul>		<p>Can't see where this is expressly indicated in any of the policies</p>
4.2.11	<p>Is there a process for managers to report performance indicators for safety management activities to senior management? Does senior management assess performance and address shortcomings?</p>	NO	<p>Other than a general question at each meeting "are there any safety issues"</p>
4.2.12	<p>Have individuals with the authority to approve waivers to company standards been identified? Has the extent of such authorities been defined and documented?</p>	NO	

4.2.13	<p>Has the organisation allocated responsibility for ensuring human factors, as a domain, is considered and addressed within the organisations Safety Management System?</p> <p>Who is responsible for implementing/managing Human factors issues? What qualifications does this person have?</p> <p>Does the position allow the incumbent the freedom to initiate, recommend, or provide solutions to risk associated with the limitations of humans within the system?</p> <p>Can the organisation provide examples where this has happened?</p> <p>How does the organisation identify and manage situations where issues cannot be resolved by expertise in house?</p> <p>Who signs off on projects which require input by human factors experts?</p>	NO	
4.2.14	<p>Has the rail operator appropriately defined knowledge, skills and qualifications required for those persons nominated within the management structure to enable them to perform their allocated tasks and discharge their allocated responsibilities?</p>	NO	<p>COM-006 defines the responsibilities but not the skills requirements</p> <p>COM-005 doesn't cover skills of all managers</p>
4.2.15	<p>Has the rail operator established arrangements to ensure that persons who are to participate in the implementation and management of the SMS have the knowledge and skills necessary to enable them to perform their allocated tasks and discharge their allocated responsibilities?</p>	NO	<p>In reality the SMS position was interviewed etc, however there is nothing written in policy to dictate what skills are needed.</p>
4.2.16	<p>Has the rail operator assessed the knowledge, skills and qualifications of those that have been allocated responsibilities and tasks for safety management within the organisation and through the SMS?</p>	NO	
4.2.17	<p>Has the organisation nominated a person who irrespective of</p>		



	other responsibilities is responsible for the implementation and management of the organisation's safety management system?	YES	
4.2.18	Has the organisation documented the specific tasks and responsibilities allocated to this person and their location in the organisational structure? Does the nominated manager have appropriate qualifications, experience and competence to discharge the responsibilities of the position?	YES  ?	We don't have any qualifications etc formally determined that I can find in the SMS
4.2.19	In addition to the matters in question 4.2.3 does the nominated person have the authority to ensure that the: <ul style="list-style-type: none"> <li>• rail operator produces and maintains railway safety documentation covering procedures and instructions?</li> <li>• railway safety documentation is effectively implemented?</li> <li>• railway safety system controls are effective and auditable?</li> <li>• control and accuracy of SMS documentation is properly monitored?</li> </ul>		The Authorities of the SMS person are not documented - only the responsibilities in COM-006  Authority is certainly implied and exists in actuality
<b>5 REGULATORY COMPLIANCE</b>			
The safety management system must include: <ul style="list-style-type: none"> <li>• systems and procedures for the identification of safety requirements under the Act and other safety legislation; and</li> <li>• systems and procedures to ensure compliance with those requirements.</li> </ul>			
5.0.1	Is a system used to identify and review regulatory requirements, applicable industry codes and external standards, to determine their impact on the organisation's overall safety management system now and in the future? Does the organisation keep a register of such requirements?	NO  NO	
5.0.2	Does the organisation's change management process recognise regulatory requirements?	NO	
5.0.3	Does the organisation have a documented		

	<p>process for preparation and submission of the organisation's safety performance report to the Regulator?</p> <p>Does the process for the rail operator 's annual safety report cover the following requirements:</p> <ul style="list-style-type: none"> <li>• Comply with any requirements prescribed by the Rail Safety Act and supporting Regulations?</li> <li>• outline Safety initiatives proposed to be undertaken in relation to the railway operations in the succeeding reporting period?</li> <li>• review significant developments relating to the Safety of those railway operations during that period?</li> <li>• describe and assess the Safety performance of the railway operations for which the person was accredited during the preceding reporting period?</li> </ul> <p>Does the process include processes for validation of the accuracy and completeness of information provided within the report?</p>	NO	ASPR has been done with regard only to looking at past attempts. There are no process.
5.0.4	<p>Is the organisation aware of their conditions of accreditation? How does the organisation ensure compliance with their conditions of accreditation?</p>	??	We are aware, however there is no system to ensure compliance and there is no system to ensure new people are aware of accreditation conditions
5.0.5	<p>Does the SMS include procedure/s for creating and reviewing procedures and work instructions, that checks rail safety legislation?</p> <p>Do the rail operator's procedures and work instructions make reference to rail safety legislation and reflect the requirements of such legislation?</p> <p>Do changes in legislation and applicable standards generate a review of existing procedures?</p>	<p>NO</p> <p>NO</p> <p>NO</p>	<p>very very limited reference</p> <p>no procedure in place</p>
<b>8 SAFETY PERFORMANCE MEASURES</b>			
<p>The safety management system must include systems and procedures to ensure:</p> <ul style="list-style-type: none"> <li>• that the safety management system is effective by using key performance indicators to measure safety performance and to determine the effectiveness of the safety management system;</li> </ul>			

• the collection, analysis, assessment and dissemination of safety information held by the rail transport operator.			
8.0.1	Have key safety management activities, based on controls identified in the risk management process been identified?	NO	Only work hours and injury statistics are recorded and reported
8.0.2	Have safety performance objectives for key safety management activities been defined?	NO	Only defined via what is required in ASPR
8.0.3	Have safety performance indicators for key safety management activities been defined?  Are they measurable?  Do they measure outcomes rather than processes?  Is there a process for identifying trends?	NO	Only work hours and injury statistics are recorded and reported because they are required in the Annual Safety Performance Report
8.0.4	Is information about the safety performance of the rail transport operator collected, analysed, assessed and disseminated within the rail transport operator?	NO	
8.0.5	Is the information provided to rail safety workers as well as to management?  Is the information provided in a form that rail safety workers can readily understand?	NO	
8.0.6	Does the organisation use indicators which take into account factors such as error, contributing factors, near misses?  How does the organisation review and analyse this data?  How does the organisation consult with affected stake-holders?	NO NO NO	
8.0.7	Does the process for reviewing safety performance levels and identifying trends allow the effectiveness of safety management activities within the SMS to be assessed?	NO	
<b>9 SAFETY AUDIT ARRANGEMENTS</b>			
9.0.1	Is there a documented system for conducting		<a href="#">Audit Policy</a> <a href="#">F-005 Internal Audit Form</a>

	unbiased, independent and comprehensive audits of the organisation's safety management system, which includes: • current and comprehensive organisation charts which demonstrate that all parts of the organisation which have railway safety functions are covered by the audit plan? • procedures for conducting audits? • an audit plan?  • audit protocol and/or checklists?	NO          NO  NO	<a href="#">F-013 Audit Checklist</a>  <a href="#">F-014 Audit Nonconformance</a> <a href="#">F-016 External Audit</a>   Policy states board to set plan annually F-013 is a blank template with no checklist
9.0.2	Does the organisation have an audit program that provides a schedule and frequency of audits? Are safety management system audits part of the audit program? Is priority given within the audit schedule to those matters that present the greatest safety risk?	NO   NO	
9.0.3	Is the audit system itself subject to audit to ensure its effectiveness?	NO	
The safety management system must include documented audit procedures to ensure there is a process for the collection of information to determine whether the railway operations comply with the safety management system and to determine the effectiveness of the safety management system			
9.0.4	Does the SMS include systems and procedures to ensure that regular audits are carried out to verify whether the railway operations comply with the safety management system and to determine the effectiveness of the safety management system? Are these systems and procedures complied with? Have appropriate performance measures been developed?	   NO  NO	
9.0.5	Does the audit system documentation include procedures to ensure that auditors: • have the skills and knowledge to undertake audits? • are independent from the area being audited to the maximum extent that is practicable?	 NO  YES	   <a href="#">Audit Policy POL-007</a>

## F-013 Audit Checklist

Policy states board to set plan annually  
F-013 is a blank template with no checklist

9.0.2	Does the organisation have an audit program that provides a schedule and frequency of audits? Are safety management system audits part of the audit program? Is priority given within the audit schedule to those matters that present the greatest safety risk?	NO NO
9.0.3	Is the audit system itself subject to audit to ensure its effectiveness?	NO

The safety management system must include documented audit procedures to ensure there is a process for the collection of information to determine whether the railway operations comply with the safety management system and to determine the effectiveness of the safety management system

9.0.4	Does the SMS include systems and procedures to ensure that regular audits are carried out to verify whether the railway operations comply with the safety management system and to determine the effectiveness of the safety management system?	
	Are these systems and procedures complied with?	NO
	Have appropriate performance measures been developed?	NO

9.0.5	Does the audit system documentation include procedures to ensure that auditors:		<a href="#">Audit Policy POL-007</a>
	• have the skills and knowledge to undertake audits?	NO	
	• are independent from the area being audited to the maximum extent that is practicable?	YES	

9.0.6	<p>Does the audit system documentation include procedures for:</p> <ul style="list-style-type: none"> <li>• communicating the results of audits to those people who are responsible for the oversight of the railway operations in the area audited for review, and where appropriate for corrective action? YES</li> <li>• where appropriate the registration and effective implementation of recommendations for action identified by audit? NO</li> <li>• the review of the effectiveness of the audit program? NO</li> </ul> <p>(see also element 10 Corrective Action)</p>
9.0.7	<p>Do line managers perform an independent monitoring function by inspection and supervision? Is this documented? Is this reviewed as part of the audit program? NO</p>



## Resolutions of the Governance & Management Audit Meeting

11<sup>th</sup> July 2012 at 7.30 pm

### Call to Order

Present Tim Arnison, Graham Parker, Ian Davis, Marjorie Webb, Peter Culley,  
Kylie Moorhead, Shane Moorhead  
Minute Secretary: Lyndle Hawkes

Apologies

### 1. General Requirements

Discussion: 1.0.2 The SMS is currently perceived as inaccessible and hard to manage via the current SMSdocs website. It would be easier and more available if it were not password protected.

Resolution: Kylie Moorhead moved that SMS documents available only by password access be moved across to publicly available website access in PDF form. Seconded Graham Parker . Carried

Actions:	Item	Person	Deadline
	<b><i>Carry out the above process</i></b>	<b><i>Kylie</i></b>	<b><i>31/8/12</i></b>

### 2. Safety Policy

Discussion: Annual reviews & updates have not been done on the SMS as required by our accreditation conditions. Discussion was had on why this has not been done, the exact requirements of a 'review' and the lack of resources available.

Actions:	Item	Person	Deadline
	<b><i>Create Annual Schedule to set out items to be included in committee meetings throughout the year including general policy reviews &amp; updates.</i></b>	<b><i>Kylie &amp; et al</i></b>	<b><i>31/8/12</i></b>
	<b><i>Include the responsibility for the establishment and maintenance of the annual schedule in COM-006 against the Secretary in consultation with the Systems Manager.</i></b>	<b><i>Ian Davis</i></b>	<b><i>31/8/12</i></b>
	<b><i>Define responsibility for updating details in policy documents (current committee, contacts, site notices, etc) Communicate to Document Controller.</i></b>	<b><i>Ian Davis</i></b>	<b><i>31/8/12</i></b>

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### 3. Management & Governance

Resolution: 4.1. Insert on the top of Tool Box meeting forms a procedure for referring reportage of safety issues/incidents to allow a stronger process for receiving safety related information. This is also addressed by the question 4.2.11.

Actions:	Item	Person	Deadline
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<i>Change Tool Box form &amp; communicate to doc controller the procedure</i>	<i>Ian Davis</i>	<i>31/8/12</i>
<i>4.1.7 - Changes to COM-006 to include outstanding actions &amp; more detailed description of committee responsibilities etc</i>	<i>Ian Davis</i>	

#### 4. Safety Responsibilities, Accountabilities & Authorities

Discussion: 4.2.3 - Change COM-006 to include authority for personnel, refer to list shown at 4.2.3 to ensure that managers etc have appropriate safety authority

Actions:	Item	Person	Deadline
	<i>Change COM-006 to include authority for personnel, refer to list shown at 4.2.3 to ensure that managers etc have appropriate safety authority</i>	<i>Ian</i>	<i>31/8/12</i>
	<i>4.2.13 - Find out how to include 'Human Factors' into our SMS. Research with Jim Hawkes and ARHS Paperwork &amp; Systems.</i>	<i>Kylie / Ian</i>	<i>31/8/12</i>
	<i>4.2.2 - Update the Org Change in COM-006 as proposed in the meeting, including a sub-manager until "infrastructure" for Track Manager. Include listings of all required committees.</i>	<i>Kylie / Ian</i>	<i>31/8/12</i>

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#### 5. Regulatory Compliance

Resolution: 5.0.1 Set up register on website of ITSR Safety notices which are emailed to exec committee members.

5.0.4 A copy of OTHR accreditation on the OTHR website will ensure that everyone is aware of the conditions of accreditation by making it readily available to the committee and rail safety workers alike.

5.0.5 We need to clarify exactly what a 'review' involves and what proof of a review is required to satisfy the requirements. New SMS doc writes and updates need to include more detailed reference to rail safety act. The ITSR/act information speaks of a general review, whilst the finding at our last ITSR compliance audit speaks of specific review & update for each document.

Actions:	Item	Person	Deadline
	<i>Website register of ITSR safety notices</i>	<i>Kylie</i>	<i>31/7/12</i>
	<i>Put copy of OTHR accreditation on website</i>	<i>Kylie</i>	<i>31/7/12</i>
	<i>5.0.1 Set up a register of regulatory requirements, applicable codes and standards etc which is reviewed as part of the annual review</i>	<i>Kylie / Ian</i>	<i>31/8/12</i>
	<i>5.0.5 Research required about the extent and form of the required annual review.</i>	<i>Ian Davis</i>	<i>31/7/12</i>

## 8. Safety Performance Measures

Resolution: Review Peter Anderson's documentation to ascertain safety KPIs. We currently have only the statistics required to be reported in our Annual Safety Performance Report. Suggestions included the *Severity of the Injury*.

Actions:	Item	Person	Deadline
	<i>Safety KPIs – review documentation in hand*</i>	<i>Ian</i>	<i>31/8/12</i>
	<i>Policy inclusion defining Safety KPI's needs to be written and approved by committee and integrated into annual review and safety performance report procedure.</i>	<i>Ian</i>	<i>31/8/12</i>

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## 9 - Safety Audit Arrangements

Discussion: OTHR has an audit policy POL-007 and associated forms currently in the SMS however it doesn't really address the requirements by providing comprehensive procedures for audit, checklists and protocols.

Actions:	Item	Person	Deadline
	<i>Research is required to develop audit procedures and protocols.</i>	<i>Ian</i>	<i>31/8/12</i>
	<i>Audit policy and forms need to be reviewed to make them more effective by providing detailed instruction</i>	<i>Ian</i>	<i>31/8/12</i>
	<i>Audit schedule needs to be established each year as part of the Annual Schedule of Items to be addressed at Committee Meetings.</i>	<i>Kylie</i>	<i>31/8/12</i>

Meeting  
Closed

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