

Audit and Review

Corrective Actions



AR-003-01

Corrective Actions Procedure

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1. Purpose

The purpose of the Corrective Action Procedure is to ensure, so far as is reasonably practicable, that corrective actions taken to manage non-conformances identified following inspections, testing, internal and external audits, investigations or notifiable occurrences are effectively managed.

2. Scope

The processes described apply to all activities undertaken by the OTHR Management Committee, Managers, Members, and contractors on the OTHR area of operations.

3. Associated Documents

Rail Safety National Law National Regulations 2012 Rail Safety National Law

OTHR Notice of Accreditation

EM-004-01 Process Control

EM-005-01 Procurement and Contract Management

AR-002-01 Safety Audit arrangements.

MR-002-01 Management of Notifiable Occurrences

RM-001-01 Risk Management

AR-003-02 Corrective Actions Register

MR-002-04 Notifiable Occurrences Register

4. Definitions

ONRSR Office of the National Rail Safety Regulator

RSNL Rail Safety National Law (SA) Act 2012 Corrective

Action: Measures taken to rectify conditions adverse to Rail Safety.

5. General Requirements

This procedure details the process for ensuring that action required to rectify non-conformances are documented and monitored until completed.

The Procedure requires that OTHR will:

- Register all corrective actions that have been completed;
- Register all corrective actions that are outstanding;

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- Prioritise corrective actions on a risk basis;
- Assign responsibility for implementation of corrective actions; and
- Review the effectiveness of the corrective action

All Nonconforming products or services (except for purchaser supplied products) either supplied or manufactured/or in the process of manufacture shall be treated in accordance with *EM-005-01 Procurement and Contract Management*.

All non-conformances identified from audits of the Safety Management System shall be treated through the issuance of non-conformance reports as detailed in *AR-002-02 Safety Audit Arrangements*.

6. Identifying Corrective Actions

Corrective action is actions that will be required when any non-conformances are identified following;

- Workplace inspections;
- Testing, inspecting, and monitoring of plant and equipment;
- Non-conformances from audits;
- Notifiable occurrences;
- Reported by Members and contractors;
- Investigation of hazard reporting and the causes of incidents;
- Addressing any non-conforming product prior to purchase and use; and
- Supervision of contractors, service providers, and members.

7. Consultation and Prioritisation

Where more than one corrective action is identified (e.g. following an investigation of the cause of an incident), the corrective actions should be assigned a priority rating to ensure that those actions representing the highest risk are addressed first.

The use of the Hierarchy of Risk Controls (refer to *RM-001-02 Risk Management Procedure*) shall be referenced, to identify the most appropriate controls to be implemented, consistent with the level of risk.

Where it is necessary to give priority to corrective actions the Safety Manager shall submit a report to the OTHR Management Committee who shall determine the order of priority giving priority to those matters that represent the greatest safety risk.



8. Responsibilities

Responsibility, authority and accountability for managing corrective actions are designated as follows:

- When assigning corrective actions, the competency of the person to whom the action is assigned must be considered. Advice should be sought from personnel with specific expertise as appropriate;
- Managers are responsible for corrective actions relating to their assigned department;
- Managers or nominated responsible persons are responsible for ensuring all corrective actions relating to their department are completed; and
- Corrective actions that cannot be completed in a timely manner must be reported to the OTHR Management Committee.

Consultation must occur with affected Members and contractors prior to implementation.

9. Register of Non-conformances

The Safety Manager shall be responsible for monitoring to ensure that any corrective actions are implemented and providing progress reports to the Management Committee.

The Safety Manager shall maintain a master corrective actions register of all outstanding corrective actions.

Whenever a non-conformance Report is issued by or to OTHR for corrective actions in response to any non-conformances that are identified following reports from inspections, others, testing, audits, investigations or notifiable occurrences the Safety Manager shall:

- Record the reported corrective action within the OTHR Document and Data Control system;
- Record all corrective actions reported during routine Inspection or Maintenance cycles by reference to the inspection or maintenance cycle check sheet identifying number as retained in the OTHR Document and Data Control system;
- Ensure that the corrective action is listed when reporting to the next Management Committee meeting;
- Investigate the cause of the problem;
- Initiate controls to mitigate the level risk to As Low as is Reasonably Practicable by using the Hierarchy of Risk Controls (refer to *RM-001-02 Risk Management Procedure*) to identify the most appropriate action to be taken consistent with the level of risk.
- Where the application of controls to ensure that effective corrective actions are taken to manage the non-conformance will involve additional cost, ensure that approval is obtained from the Management Committee or an alternative control is implemented;

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- Implement and record changes in supporting documentation where applicable, as a result of implementing the corrective action;
- All corrective actions must be transferred to the corrective actions register by the responsible Manager for tracking purposes; and
- A report of all current outstanding corrective actions shall be reported to each meeting of the OTHR Management Committee by the Safety Manager.

10. Review and Monitoring

The responsible Manager shall;

- Arrange to review the corrective action within a period of not less than 3 months to ensure that it is effective;
- Advise the Rail Safety Manager of any outstanding corrective action review prior to the monthly OTHR Management Committee meeting by email for inclusion in the master corrective action register; and
- Non-conformances and effectiveness of implemented control measures are assessed as being effective by re-testing plant and equipment or reinspecting worksites and reviewing incident statistics.