# SAFETY MANAGEMENT SYSTEM (SMS) REQUIREMENTS OUTLINE

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| **FOR EXTERNALLY COMPLETED AUDITS ONLY**The following checklist is designed to assist the external auditor in verifying that all required components of a Rail Safety Management System (SMS) are included in the company SMS.  |

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| **Audited Company Name:** | Choose an item. |

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| **Audit Type:** | Choose an item. | **Audit Completion Date:** | Click here to enter a date. |

| **Check** | **REQUIREMENT** | **FINDING** *(note deficiencies only)* |
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| [ ]  | **Cover Sheet** – Company Key Points Overview |  |
| [ ]  | **Table of Contents** |  |
| [ ]  | **Section A - PROGRAM INTENT** |  |
| 1. Safety policy
2. Railway safety targets
3. Railway safety initiatives (safety/tailgate meetings, permits, bulletins, etc.)
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| [ ]  | **Section B - ORGANIZATIONAL STRUCTURE** |  |
| 1. Roles and Responsibilities (key positions / organizational chart)
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| [ ]  | **Section C – EMPLOYEE INVOLVEMENT** |  |
| 1. Management & employee involvement (development/review of SMS, General Operating Instructions (GOI), Investigations, etc.)
2. Inspection process
3. Communication process (for risk and safety)
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| [ ]  | **Section D – RISK / CONTROL** |  |
| 1. Rail specific hazard assessment and control
2. Indication of how the hazard assessment was conducted
3. Review process (change to operation, equipment, etc.)
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| [ ]  | **Section E - COMPLIANCE** |  |
| 1. Compliance monitoring process
2. Compliance verification schedule for:Legislation updates, track inspection, engine/car inspection(s), operating approval renewal, employee training, records retention (equipment maintenance, track inspections, training, medical assessments), SMS and GOI currency
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| [ ]  | **Section F - TRAINING** |  |
| 1. Rail training system (in-house, third party)
2. Employee rail training, competency verification process
3. Contractor orientation (GOI inclusive) process
4. Employee investigation training process and competency verification system
5. Communication process for SMS information to employees
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| [ ]  | **Section G - INSPECTIONS** |  |
| 1. Inspections types (track, engine (where applicable), rail car, ground resistance (DG only), automated crossing (where applicable) and frequency of completion
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| [ ]  | **Section H - INVESTIGATION** |  |
| 1. Investigator competency process
2. Position responsible for:
* participating in investigation(s)
* completing Alberta Transportation’s occurrence report (within 30 days)
* implementing corrective action
1. Process to ensure completion of corrective actions identified
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| [ ]  | **Section I – EMERGENCY PROCEDURES** |  |
| 1. Position responsible for reporting DG and rail incidents to Coordination and Information Center (CIC)
2. Process for notifying RTC if track is fowled (if applicable)
3. Emergency notification and communication process
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| [ ]  | **Section J - RECORDS** |  |
| 1. Records retention process and location for:
* Training
* Track inspection
* Engine inspection
* Incident investigation
* Maintenance
* Operating approval renewal
* Rail system audits, etc. as applicable
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| [ ]  | **Section K – GENERAL OPERATING INSTRUCTIONS (GOI)** |  |
| 1. GOI - safe rail operation instructions only (yard, industrial rail operating rules (IROR), safety rules, engine operation, emergency phone numbers (as applicable)
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| [ ]  | **Section L - MEDICALS** |  |
| 1. Medical fitness for duty assessment for employees occupying safety critical positions, OR
2. Exception Letter granted due to low risk nature of the operation
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| [ ]  | **Section M - MAINTENANCE** |  |
| 1. Maintenance program for locomotives and or rail car movers

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| **Locomotive** | **Rail Car Mover (RCM)** |
| * Pneumatic brake maintenance plan
* Annual maintenance check plan
* 90-day maintenance check plan
* Daily (pre-use, safety control device, brake test)
 | * Maintenance as per Manufacturer recommendations
* Daily (pre-use, safety control device, brake test)
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| **[ ]**  | **AMENDMENT RECORD** |  |