Transport HeritageNSW

Purpose

The purpose of this document is to describe the procedure to create, revise and approve SMS documents for publishing.

Scope

The scope of this document relates to the creation, revisiion and preparation of SMS documents for publication.

Process flow

Process

5.1 Identify document need

5.1.1 Complete a Document Change Form

5.1.2 Review the change request

5.1.3 Accept the change request

5.1.4 Reject the change request

5.2 Develop new document

5.2.1 Initiate draft document

5.2.2 Engage stakeholders

5.2.3 Approve documents

Figure 1 Process flow for create and approve SMS documents

Operating Procedure: Manage SMS Documents
Doc No. SMS-05-OP-1002
Version No. 2.0

Approver: Chief Executive
Custodian: Rail Safety & Operations Manager
Issue Date: 20/01/2017

Procedure

Unless otherwise specified, the activities in this Operating Procedure are to be performed by a manager.

5.1: Identify document need	All THNSW workers will be encouraged to identify the need for change within the SMS. The need for a new or revised SMS document may arise from:

- audits, investigations and/or system reviews

- changes to legislation, new codes of practice or other standards

- changes to business requirements (e.g. operations, systems, assets, technology etc.)

- user feedback.

5.1.1: Complete a Document Change Form	Where the need for a new or amended SMS document is identified, the proposer will complete the following procedure.

Procedure

1. Complete a SMS-05-FM-1006 Document Change Form when sure that:

   - the new or amended document will improve the SMS and the management of risk; and

   - no existing SMS documentation serves the purpose; or

   - no existing documents can be easily modified to serve the purpose of the proposed new document.

2. Review the SMS for current versions of any related documents that may need to be altered as a consequence of introducing the new SMS document and record the document numbers on the Document Change form.

3. Send the Document Change form and any relevant background information to the Rail Safety & Operations Manager for consideration.

Note

Background documentation may include: audits and investigation reports; details regarding new technology or new items of mobile plant to be introduced to the workplace.

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5.1.2: Review the Change

The Rail Safety & Operations Manager is responsible for the following procedure.

Procedure

1. Review the request for a new document and either:

   - accept the request to create a new or midify an existing document (refer to 5.1.3); or

   - reject the request to create or change a document (refer to 5.1.4). Reject the change request when the proposed document will not improve the SMS or the management of risk or when the existing SMS documents adequately satisfy the identified need.

5.1.3: Accept the Change

The Rail Safety & Operations Manager is responsible for the following procedure.

Procedure

1. Obtain a document number from the SMS Master Document Register.

2. Review and confirm the list of related documents and add to the list, if required.

3. Review the potential for impact on existing SMS training modules and note any impacted modules on the Document Change Form.

4. Identify an appropriate Document Approver and Document Custodian.

5. Coordinate acceptance of the role by the Document Approver and Document Custodian.

6. Send the Document Request Form and background documentation to the Document Custodian to initiate document development and filing in the Consultation Folder (refer to step 5.2.2).

5.1.4: Reject the change request

The Rail Safety & Operations Manager is responsible for the following procedure.

Procedure

1. Notify the proposer that no further action is required together with a short explanation for the decision.

2. Retain a copy of the Document Change Form.

5.2: Develop new document

Create the new or amended SMS document.

Consult with SMEs and stakeholders in the document development

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5.2.1: Initiate draft document

The Document Custodian is responsible for the following procedure.

Procedure

1. Develop an initial draft document using the current template and in accordance with SMS-05-GD-1010 SMS Style Guide.

2. Open the current version of the document template.

3. Save a copy as a new document using correct naming conventions and version control.

4. Insert a DRAFT watermark.

5. Review SMS-01-RG-1148 Legal Requirements Register to identify any relevant compliance requirements to be satisfied by the document.

6. Follow the instructions in the template to complete the draft.

7. Resave the document.

8. Proceed to Step 5.2.2 Engage Stakeholders in this document.

5.2.2: Engage stakeholders

This step requires the Document Custodian to engage with SMEs and stakeholders in a consultation process. The document reviewers will review the document and advise the Document Custodian of their feedback.

Procedure

1. Create a list of SMEs and other stakeholders to review the document.

   - Consider if any existing SMS training courses may be impacted by the new SMS document.

   - Review the Responsibilities, Accountabilities and Authorities (RAA) Matrix (SMS-02-RG-1058) if the responsibilities are impacted together with a review of the SMS Traceability Matrix (SMS-01-RG-1025) if legislation requirements are changed.

2. Invite reviewers to participate in the document review process.

3. Gather all feedback from reviewers.

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5.2.2: (continued)

Prepare a Consultation Folder

Prepare a Consultation Folder as evidence of consultation. Keep all copied of feedback as evidence of consultation.

Procedure

1. Prepare a hard copy Consultation Folder.

2. Insert into the folder copies:

   - the completed Document Change Form

   - the list of SMEs and other stakeholders invited to consult/review the

   - feedback from Reviewers as they are received.

Compile feedback and finalise draft

The Document Custodian is responsible for the following procedure.

Procedure

1. Compile feedback as received from the Document Reviewers.

2. Consider the Reviewers' feedback and make the necessary changes to the draft document.

3. Complete the draft document.

4. Approve the document by by completing the Document Change Form.

5. Retain the Consultation folder to the Document Custodian ready for publishing.

5.2.3: Approve documents

Publish the document

The Document Custodian is responsible for the following procedure.

Procedure

1. Finalise the document by updating the Version Control block ready for publishing and remove the DRAFT watermark.

2. Publish the document in PDF format on P: drive.

3. Withdraw any identified obsolete documents from P: drive.

Responsibilities

Rail Safety & Operations Manager	• Receive and review Document Change Form
	• Accept or reject proposed draft document
Document Custodian	• Compile feedback as received from the Document Reviewers
	• Develop an initial draft document.
	• Engage with SMEs and stakeholders in a consultation process.
	• Finalise and publish doecument.

References

SMS-02-RG-1058 RAA Matrix

SMS-01-RG-1025 SMS Traceability Matrix

SMS-01-RG-1148 Legal Requirements Register

SMS-05-GD-1010 SMS Document Style Guide

Version Control

Version	Change from previous	Date	Comment
1.0	First release of SMS		
2.0	Changes to organisation structure	30/04/2017	