

# Safety Management System Modules

## Element 11 – Corrective Action

### What and Why

'Corrective Action' is the term given to any action that is identified as a weakness or deficiency in a Safety Management System.

Corrective actions can be identified from a number of sources, including but not limited to:

- Audits – internal and external
- Document /SMS review processes
- Incident Reports
- Investigation findings
- Risk Assessments
- Routine maintenance inspections of infrastructure and individual items of rolling stock
- Suggestions from people who work with the SMS or specific procedures.
- Anything that has occurred outside the organisation but could have an impact on the operations.

These are all items that require attention to improve or even maintain safety and should be tracked to make sure that they are resolved.

A register of corrective actions is an important tool to keep track of them, who will fix them and by when.

### How

A Corrective Actions procedure should be developed and included in the SMS. The procedure should include details of:

- How Corrective Actions are identified – the source of the information such as audit or reports;
- How these actions are recorded;
- Who is authorised to enter information into the register;
- Where the register or a list of Corrective Actions can be found;
- How these actions are prioritised – and definitions of those priorities, for example:
  - High – Work has ceased until Action Item resolved
  - Medium – Work is ongoing with interim controls in place
  - Low – Work continues with increased vigilance;
- Priorities should include timeframes for resolution (i.e. High – within 1 month);
- The frequency of reviews of the register;
- How information on Corrective Actions is reported to the Executive Committee/Board for their information;
- The information about corrective actions that are included in the SMS review.

### Who

Position /Role descriptions may include management of Corrective Actions as a responsibility of a specific role.

Corrective actions could be a standing agenda item at regular management meetings.

The Executive Committee/Board and management team should review Corrective Actions are part of the SMS Review.

All persons including volunteers and contractors should report any identified action areas to their supervisor or manager.

## When

Corrective actions are indicative of a weakness in the SMS and should be treated seriously. Priorities defined in procedures should be complied with.

## List of relevant documents (internal)

Element 4 – Governance and Internal Controls

Element 8 – Safety Audit Arrangements

Element 11 – Example Corrective Action Register

Element 13 – Consultation

Element 20 – Process Control

## Links (external)

[ONRSR – Guideline – Small isolated line heritage operations – Safety Management System \(SMS\)](#)

[ONRSR Website – Guideline - Safety Management System](#)

[ONRSR Website – Rail Safety National Law](#)

## Appendices

A. [Example Corrective Action Register](#)