

### **26.3 Audit Objectives And Techniques**

Internal safety audits provide a mechanism for determining the effectiveness of the System Safety Program Plan and an assessment of the implementation level for Program elements.

a) The objectives of the agency's internal safety audit program include:

- Verify safety programs have been developed/implemented in accordance with system safety program plan requirements
- Assess effectiveness of the agency's system safety programs
- Identify program deficiencies
- Identify potential hazards in the operational system and weaknesses in the system safety programs
- Verify prior corrective actions are being tracked for closure
- Recommend improvements to the system safety program
- Provide management with assessment of status and adequacy of system safety program
- Assure continuing evaluation of safety-related programs, issues, awareness and reporting

The internal safety audit program determines compliance with an agency's safety policies, rules, regulations, standards, codes, procedures, and assigned system safety activities and requirements as prescribed within the System Safety Program Plan.

b) The internal safety audit program encompasses all aspects of auditing including:

- Responsibilities
- Planning
- Scheduling
- Checklists
- Audit Performance
- Notifications
- Reporting
- Corrective action plans
- Closeout of findings

The safety manager usually performs the internal safety audit; however, this varies from agency to agency. The audit is performed in accordance with the System Safety Program Plan, procedures, Audit Plan, and checklist related to the safety elements to be audited. It is a process of examination of objective evidence to determine compliance

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with the system safety program plan, reference documents, and accepted federal, state and local criteria.

Utilizing the audit plan and checklist, the auditor evaluates data and information for compliance with the provisions of the system safety program plan and other reference documentation. This process should provide the auditor with sufficient facts and observations to identify discrepancies and provide recommendations as to corrective actions.

c) The major issues and activities involved in performing the internal safety audit include:

- Examination of documentation
- Analysis of safety data and information
- Observation of equipment, facilities and in-process tasks
- Evaluation of system operation and employee workplace
- Interviews with management and relevant staff

d) During the audit, the audit team should have authority to:

- Access records and facilities
- Issue reports
- Recommend corrective action plans

e) As part of the audit preparation, the safety manager should request the appropriate agency and department documents for developing the list of reference documentation for the audit plan and the checklist issues. In general, sufficient information and documentation should be gathered to make a reasonable determination of the safety issues being examined. The documentation to be evaluated during the internal safety audit falls into the following types: Agency, Departmental, Inter-Agency and Historical.

Examples of departmental type documentation include:

- Maintenance procedures
- Training manuals
- Proceedings of meetings
- Equipment specifications
- Rules/regulations
- Management program plans

Examples of agency-type documentation include:

- System Safety Program Plan
- Standard Operating Procedures
- Emergency Procedures
- Configuration Management Plan
- Hazardous Materials Management Plan
- Administrative Procedures
- Rule Book

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- Safety Rules
- Fire Codes
- Regulations
- Engineering Design Criteria
- Drug and Alcohol Abuse Program
- Hazard Identification Procedures
- Accident/Incident Procedure
- “As-Built” System Drawings
- Process Specifications

Examples of Inter-Agency documentation include:

- Fire and Rescue Agency Response Agreements
- Construction Safety Manual
- Contractor Safety Plan

Examples of Historical-type documentation include:

- Hazard Analysis
- Accident Investigations
- Audit Reports
- Surveys
- Test Results
- Log Books
- Files
- Maintenance Inspections/Repairs
- Material Safety Data Sheets
- Chemical Inventory