|  |
| --- |
| **Confirmation Checklist #1 PLANNING** |
| ➢ A safety planning group and safety manager have been designated  |       |
| ➢ The planning group: − Comprises an appropriate experience base; − Meets regularly with senior management; − Receives resources (including time for meetings)  |       |
| ➢ The planning group develops a realistic strategy and implementation plan for an SMS that will meet the organization’s safety needs  |       |
| ➢ Senior management endorses the plan  |       |
| **Confirmation Checklist #2** **SENIOR MANAGEMENT’S COMMITMENT TO SAFETY**  |
| ➢ Senior management is involved in, and committed to, the SMS  |        |
| ➢ Senior management is has approved the organization’s safety policy and safety objectives, the SMS implementation plan and operational safety standards  |        |
| ➢ There are communicated to all staff, with visible endorsement by senior management  |        |
| ➢ The safety policy has been developed by management and staff and signed by the CEO. The safety policy: − Enjoys the commitment and involvement of all staff  |        |
| −  | Aligns with other operational policies  |  |
| −  | Provides direction for implementing the policy  |  |
| −  | States the responsibilities and accountabilities for directors, managers and employees  |  |
| −  | Is reflected in the actions and decisions of all staff  |  |
| −  | Has been communicated to all staff; and  |  |
| −  | Is reviewed periodically  |  |
| ➢ Safety objectives and goals are practical and achievable, and they are regularly reviewed for relevance  |        |
| ➢ Performance standards (including deadlines) are established  |        |
| ➢ Responsibilities for actions are clearly understood  |        |
| ➢ Managers follow through and hold those responsible to account for their progress towards the safety goals  |        |
| ➢ Appropriate resources are allocated to support the safety manager  |        |
| ➢ Senior management commits resources to correct hazards posing unacceptable risks   |        |
| ➢ Senior management has established an appropriate reporting chain for safety issues  |        |
| ➢ Senior management actively encourages participation in the various safety programmes of the SMS  |        |

|  |  |  |
| --- | --- | --- |
| ➢  |  Senior management promotes a positive safety culture whereby: Safety information is actively sought;  |        |
| −  | Personnel are trained for their safety responsibilities;  |  |
| −  | Safety is a shared responsibility;  |  |
| −  | Safety-related information is disseminated to all affected personnel;  |  |
| −  | Potential system failures and hazards lead to prompt managerial inquiries and any necessary reforms;  |  |
| −  | A format programme is in place to regularly assess safety performance; and  |  |
| −  | New ideas related to safety are welcomed  |  |
|  | **Confirmation Checklist #3 ORGANIZATION**  |
| ➢ The organization structure facilitates: − Lines of communication between the SM and CEO and with the line managers; − A clear definition of authorities, accountabilities and responsibilities, thereby avoiding misunderstanding, overlap and conflict (e.g. between the SM and line management); and − Hazard identification and safety oversight  |        |
| ➢ An SM (with appropriate competencies and capacity) has been appointed  |        |
| ➢ The roles and responsibilities of the SM (and any staff) are clearly defined and documented  |        |
| ➢ A safety committee meets regularly to review safety results and make recommendations to senior management  |        |
| ➢ The SM (and any staff) has (have) received appropriate safety training  |        |
| ➢ Staff and management understand and support the roles of the SM, and the SM receives the CEO’s support  |        |
| **Confirmation Checklist #4** **HAZARD IDENTIFICATION**  |
| ➢ Formal mechanisms (such as safety assessments and safety audits) are in place for the systematic identification of hazards)  |        |
| ➢ An occurrence reporting system is in effect, including a voluntary incident reporting system  |        |
| ➢ Management has provided adequate resources for hazard identification  |        |
| ➢ Staff receive necessary training to support the hazard identification programmes  |        |
| ➢ Competent personnel administer the hazard identification programmes, keeping them relevant to current operations  |        |
|  ➢ Staff involved in any recorded or reported incidents are aware that they will not be penalized for normal errors; and non-punitive (just) environment is fostered by management   |        |
| ➢ All identified hazard data are systematically recorded, stored and analysed  |        |
| ➢ Security measures are in place to protect sensitive material  |        |

|  |
| --- |
| **Confirmation Checklist #5 RISK MANAGEMENT** |
| ➢ Criteria are established for assessing risks  |        |
| ➢ Risks are analysed and ranked by competent personnel (including experienced staff representatives)  |        |
| ➢ Viable risk control measures are evaluated  |        |
| ➢ Management takes action to reduce, eliminate or avoid the risks  |        |
| ➢ Staff are aware of the actions taken to avoid or eliminate identified hazards  |        |
| ➢ Procedures are in place to confirm that the actions taken are working as intended  |        |
| **Confirmation Checklist #6 INVESTIGATION CAPABILITY** |
| ➢ Key operational staff have received format training in safety investigations  |        |
| ➢ Each hazard and incident report is evaluated with further safety investigation as necessary  |        |
| ➢ Management supports the acquisition and analysis of safety information  |        |
| ➢ Management takes an active interest in investigation findings and applies risk management procedures for identified hazards  |        |
| ➢ Safety lessons learned are widely disseminated  |        |
| ➢ The regulatory authority is apprised of significant safety concerns potentially affecting other operators or requiring action by the regulatory authority  |        |
| **Confirmation Checklist #7** **SAFETY ANALYSIS CAPABILITY**  |
| ➢ The SM is experienced or has received training in analytical methods, or has access to competent safety analysis  |        |
| ➢ Analytical tools (and specialist support) are available to support safety analyses  |        |
| ➢ The organization maintains a credible safety database  |        |
| ➢ Other information sources are accessible  |        |
| ➢ Hazard information and performance data are routinely monitored (trend analysis, etc)  |        |
| ➢ Safety analyses are subject to a challenge process (peer review)  |        |
| ➢ Safety recommendations are made to management, and corrective actions are taken and tracked to ensure that they are appropriate and effective  |        |
| **Confirmation Checklist #8** **SAFETY PROMOTION AND TRAINING**  |
| ➢ Management recognizes that all levels of the organization require training in safety management and that the needs vary across the organization  |        |
| ➢ Job description reflect competency requirements  |        |
| ➢ All personnel receive safety indoctrination training and participate in specific ongoing training for safety management  |        |
| ➢ The organization has an effective programme for the timely promotion of safety issues  |        |
| ➢ Staff are aware of their role in the elements of SMS pertinent to  their duties  |        |
| ➢ Additional safety awareness training is provided when the operating environment changes (seasonal changes and changes in operational conditions, regulatory requirements, etc)  |        |
| ➢ Staff understand that safety management has nothing to do with attributing blame   |        |
| **Confirmation Checklist #9** **SAFETY MANAGEMENT DOCUMENTATION AND INFORMATION** **MANAGEMENT**  |
| ➢ Management supports the need for careful documentation and data control  |        |
| ➢ The SMS is well documented in a safety management manual  |        |
| ➢ Documents are updated regularly and are readily available to those who need them  |        |
| ➢ Credible measures have been taken for the protection of sensitive safety information  |        |
| ➢ Appropriate equipment and technical support are available for managing safety information  |        |
| ➢ Safety databases are used to support safety analyses and performance monitoring  |        |
| ➢ Appropriate staff have access to safety databases  |        |
| ➢ Staff have received the necessary training for using and maintaining the safety information management system  |        |
| **Confirmation Checklist #10** **SAFETY OVERSIGHT AND SAFETY PERFORMANCE MONITORING**  |
| ➢ Safety performance indicators are agreed upon and realistic safety targets established  |        |
| ➢ Adequate resources are allocated to the safety oversight and safety performance monitoring functions  |        |
| ➢ Staff input is sought and provided without fear of repercussion  |        |
| ➢ Regular safety audits are conducted in all operational areas of the organization (including the activities of contracting agencies)  |        |
| ➢ Safety oversight includes the systematic review of all available feedback, for example, safety assessments, quality assurance programme results, safety trend analyses, safety surveys, and safety audits  |        |
| ➢ Findings are communicated to staff, and reform measures are implemented as required to strengthen the system  |        |