

Confirmation Checklist #1 PLANNING

➤ A safety planning group and safety manager have been designated	
➤ The planning group: <ul style="list-style-type: none"> – 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: <ul style="list-style-type: none"> – 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; <ul style="list-style-type: none"> – 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: <ul style="list-style-type: none"> – 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
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➤ 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	