Safety Management System Assessment (Based on SMS OTAC Issue 4)

Service Provider: **Date:**   **Conducted by:**

Question colour code: Green box questions must be attained before the granting of an approval/White box questions are to be attained within an agreed time scale after the granting of an approval to demonstrate a functioning system.		Yes/No/ Partially	Evidenced by	Service Provider further actions
1.0 Safety Policy				
1.1 Is there a Safety Policy? (see 6.1 also)				
1.2 Does the Safety Policy include…	…the organisation's commitment to safety?			
1.3 "	…endorsement by the Senior Manager(s)?			
1.4 "	…the provision of necessary resources to support the policy?			
1.5 "	…reference to the safety reporting process?			
1.6 "	…the types of behaviours deemed unacceptable and instances where disciplinary action would, and would not apply?			
1.7 Is the Safety Policy…	…signed by the Accountable Manager?			
1.8 "	…regularly reviewed?			
1.9 "	…accessible to staff?			
1.10 Are all staff aware of the Safety Policy have access to it and understand it?				

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2.0 Objectives				
2.1 Are there safety objectives? (see 6.2 also)				
2.2 Are the safety objectives…	…relevant to the operational hazards?			
2.3 "	…related to safety performance indicators and targets?			
2.4 Are staff aware…	…of the safety objectives?			
2.5 "	…of the latest measurements of the safety performance indicators?			
3.0 Management commitment				
3.1 Does the Accountable Manager know…	…the top 5 operational hazards?			
3.2 "	…the most recent incidents?			
3.3 "	…the results of significant investigations?			
3.4 "	…the safety objectives?			
3.5 "	…the current safety performance indicators (SPIs) and targets?			

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3.6 "	…the current progress towards the SPI targets?			
3.7 How does the Accountable Manager demonstrate commitment to the SMS?	(For example: support of the Safety Manager, openly encourages reporting, thanking staff who report, actively ensuring non-punitive reporting, actively ensuring Just Culture, engage with staff about their safety issues/ concerns, partake in staff safety training, feedback given to staff on safety actions)			
4.0 Safety accountabilities and responsibilities				
4.1 Is the Accountable Manager identified?				
4.2 Does the Accountable Manager have the power to direct/ obtain resources and/ or halt operations, if required?				
4.3 Are staff safety responsibilities and the designated safety risk level sign off* authorities to continue operations defined? (*Holds the power to allow ops to continue based on the level of the risk as assessed by the risk assessment)				
4.4 Is there a method for staff to be made aware of their own, and others designated safety risk level sign off authorities to continue operations?				

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5.0 Appointment of key safety personnel				
5.1 Has a Safety Manager been appointed who is responsible for the implementation and maintenance of an effective SMS?				
5.2 Does the Safety Manager have a direct link…	…to the Accountable Manager?			
5.3 "	…and regular contact with the Accountable Manager?			
5.4 Has the Safety Manager completed any safety management training?				
6.0 SMS Documentation				
6.1 Is the Safety Policy documented?				
6.2 Are the Safety Objectives documented?				
6.3 Are the Safety Management System requirements documented (OTAR references)?				
6.4 Are the SMS processes and procedures documented?	(Reporting, hazard identification/ management, incident investigation, safety meetings, SMS training, analysis of data, management of change)			
6.5 Are the Accountable Manager and staff safety/ SMS responsibilities documented?				

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6.6 Are the SMS outputs documented?	(For example: incident reports, investigation reports, safety statistics, SMS/ safety training records, safety meeting minutes, safety meeting actions completed, change management conducted, safety communications)			
7.0 Coordination of emergency response				
7.1 Have the emergency plans been reviewed with other organisations?				
7.2 Do the emergency plans complement those of other organisations?				
7.3 Are these regularly reviewed?				
8.0 Hazard identification				
8.1 Are there methods to reactively identify hazards?	(For example: accidents, incidents, near misses)			
8.2 Are there methods to proactively identify hazards?	(For example: audits, feedback, changes, observations, operational assessments)			
9.0 Reporting				
9.1 Is there a clear reporting process that is simple and easy for all staff to use?				

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9.2 Is there a process to review, analyse, and where necessary investigate reports?				
9.3 Does the reporting process feedback to the...	…reporter, where identified?			
9.4	…relevant staff when required?			
9.5 Does the reporting process support/ feed up to mandatory occurrence reporting (OTAR Part 13)?				
9.6 Is the reporting process conducted within the principles of a just culture?				
9.7 Do staff have confidence in the reporting process, as evidenced by number and the types of reports submitted?				
10.0 Risk assessment and mitigation				
10.1 Are hazards analysed to identify their associated risks?				
10.2 Are risks assessed…	… for impact/ severity?			
10.3 "	…for likelihood/ probability?			
10.4 "	…to calculate risk tolerance?			
10.5 Are risk mitigations put in place and actions tracked to completion?				
10.6 Is it more usual for multiple mitigations to be used against a risk rather than just one?				

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10.7 Are the risks correctly reassessed post mitigating actions?				
10.8 Is there feedback to staff regarding risk mitigations?				
10.9 Does the level of risk tolerability match the level of review and sign off by the management in the organisation?	(High level risks being reviewed by Senior Management, see 4.3)			
10.10 Are managers and staff involved in the risk assessment process and results?				
10.11 Is the risk assessment process recorded?				
11.0 Safety Assurance				
11.1 Are risk mitigations/ processes/ operations regularly checked (audited) for effectiveness?				
11.2 Is the SMS checked (audited) for effectiveness?				
11.3 Is a SMS summary report …	…regularly created?			
11.4 "	…reviewed by the Accountable Manager?			
11.5 "	…reviewed by the organisation's Managers?			
11.6 "	…available for review by all staff?			

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12.0 Management of change				
12.1 Is there a process to manage change?				
12.2 Is there a process to identify changes that triggers the management of change process?				
12.3 Does the management of change process…	…check **current identified hazards** with their associated risks?			
12.4 "	…identify **new hazards** with their associated risks?			
12.5 "	…assign actions that are tracked and recorded?			
12.6 "	…communicate to staff changes and their impact?			
12.7 "	…communicate changes and impacts to third parties?			
12.8 "	…involve third parties in the review of current identified hazards and identification of new hazards?			
13.0 Safety Promotion				
13.1 Do all staff receive SMS training to understand and participate in their SMS related responsibilities?				
13.2 Are staff with additional specialist SMS responsibilities trained in these?				

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13.3 Is there a SMS training syllabus for staff?				
13.4 Is there any recurrent SMS training for staff?				
14.0 Safety communication				
14.1 Is there a process to pass on safety critical information to all staff quickly?				
14.2 How does safety information usually get passed onto staff?				
14.3 Are there regular safety meetings?				
14.4 Do safety meeting records contain…	…those who should attend?			
14.5 "	…those who did attend?			
14.6 "	…the date, time and location of the meeting?			
14.7 "	…review of the last meetings records?			
14.8 "	…records of previous meetings' actions closed and those still open?			
14.9 "	…notes on what was discussed?			
14.10 "	…what was agreed?			

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14.11"	…what actions were agreed and who is responsible for the actions completion with timescales?			
14.12 Do staff attend any other organisation's safety meetings and is information from these shared within the organisation?				
15.0 Summary Comments				