**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. **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? | | | |  |  |  |
| 1. **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? | | |  |  |  |
| 1. **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*?* | | |  |  |  |
| 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) | | |  |  |  |
| 1. **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? | | | |  |  |  |
| 1. **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? | | | |  |  |  |
| 1. **SMS Documentation** | | | | | | |
| * 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? | | | |  |  |  |
| 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) | | |  |  |  |
| 1. **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? | | | |  |  |  |
| 1. **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) | | |  |  |  |
| 1. **Reporting** | | | | | | |
| 9.1 Is there a clear reporting process that is simple and easy for all staff to use? | | | |  |  |  |
| 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? | | | |  |  |  |
| 1. **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? | |  |  |  |
| 10.5Are 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? | | | |  |  |  |
| 10.7Are 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? | | | |  |  |  |
| 1. **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? | |  |  |  |
| 1. **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? | |  |  |  |
| 1. **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? | | | |  |  |  |
| 13.3 Is there a SMS training syllabus for staff? | | | |  |  |  |
| 13.4 Is there any recurrent SMS training for staff? | | | |  |  |  |
| 1. **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? | |  |  |  |
| 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? | | | |  |  |  |
| 1. **Summary Comments** | | | | | | |
|  | | | | | | |