

## EASA Compliant Safety Management System Oversight Preparation Checklist

This Checklist has been prepared by Sofema Online (SOL) [www.sofemaonline.com](http://www.sofemaonline.com) with reference to EASA Management System Assessment Tool (MAST Tool) v.01 – 06 September 2017

Use this Checklist as a measure of the effectiveness of your Safety Management System and to identify where changes / Improvements can be made.

Consider each of the following elements and confirm that within your organisation you can meet the objective of the assessment/audit points.

Check Item	Comments / Observations / Notes
1/ Can the accountable manager demonstrate knowledge and understanding of the safety policy?	
2/ Does the Safety Policy meets EU Regulations?	
3/ Can all staff read and understand the Safety Policy – How to Demonstrate? (Read & Sign)	
4/ Sufficient resources including personnel, equipment and finances available – How to demonstrate?	
5/ Sufficient Competent Safety System Personnel – How to Demonstrate Competence	
6/ Safety Manpower Plan - Review planned manpower vs actual manpower.	
7/ Review how safety policy is communicated	
8/ Safety policy is clearly visible.	
9/ Can managers and staff demonstrate knowledge of the safety policy including familiarity with the key elements?	

<p>10/ Can we show evidence of senior management participation in safety meetings, training, conferences etc?</p> <p>11/ Can we demonstrate feedback from safety culture surveys.</p> <p>12/ How do we manage the relationships with regulators and other stakeholders? (What is the process / Procedure – Evidence)</p> <p>13/ Can we show evidence of just cultural principles being applied following an event?</p> <p>14/ Can we show evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual?</p> <p>15/ How are we monitoring reporting rates is this acceptable? (If not, what action is taken)</p> <p>16/ Is the number of aviation safety reports appropriate to the activities? (If not, what action is taken)</p> <p>17/ Can we demonstrate Safety Reports include the reporter's own errors and events they are involved in (events where no one was watching)?</p> <p>18/ Can we show feedback on just culture from staff safety culture surveys?</p> <p>19/Can we show that staff representatives confirm that they agree with just culture policy and principles?</p> <p>20/ Can we demonstrate staff awareness of just culture policy and principles?</p> <p>21/ Can we demonstrate that our safety objectives are appropriate and relevant?</p>	
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<p>22/ Are we able to show that our Safety Objectives are defined in a way that will lead to an improvement in processes, outcomes and the development of a positive safety culture?</p> <p>23/ How do we demonstrate how safety objectives are communicated throughout the organization?</p> <p>24/ Are our Safety objectives measured to monitor achievement through SPIs?</p> <p>25/ Can we show the AM has the authority to provide sufficient resources for relevant safety improvements?</p> <p>26/ Can we show evidence of decision-making on risk acceptability?</p> <p>27/ Can we demonstrate our SMS activities are being carried out in a timely manner and that the SMS is sufficiently resourced?</p> <p>28/ Can we show any activities which were stopped due to an unacceptable level of a safety risk?</p> <p>29/ Are all Staff aware of their Safety Roles &amp; Responsibilities – How is this evidenced?</p> <p>30/ Does the Leadership Team &amp; Senior Managers have awareness of the organisation's safety performance and its most significant risks?</p> <p>31/ Can we demonstrate evidence of managers having safety-related performance targets?</p> <p>32/ Can we demonstrate active participation of the management team in the SMS?</p> <p>33/ Can we show evidence of appropriate risk mitigation, action and ownership?</p>	
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<p>34/ Can we demonstrate the Levels of Management authorised to make decisions on risk acceptance are clearly defined? (Is the acceptance of risk aligned with authorisations.)</p> <p>35/ Can we demonstrate Safety Manager Credibility &amp; Status within the Organisation?</p> <p>36/ Has the SM received appropriate safety training</p> <p>37/ Can we demonstrate evidence of maintained competency related to the SM and other members of the Safety Team?</p> <p>38/ Can we demonstrate and Review how the safety manager gets access to internal and external safety information?</p> <p>39/ How effective is the SM communication and engagement process how can we demonstrate this?</p> <p>40/ Review how the safety manager communicates and engages with operational staff and senior</p> <p>41/ Can we show an acceptable level of Safety Manager workload / allocated time to fulfil role?</p> <p>42/ Can we show sufficient resources for SMS activities such as safety investigation, analysis, auditing, safety meeting attendance and safety promotion.</p> <p>43/ Can we show an acceptable time frame for the review of safety report action and closure timescales?</p> <p>44/ Can we AM &amp; SM succeed during a Regulatory Interview to provide all necessary answers to the questions in this audit assessment?</p>	
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<p>45/ Review of the safety committee and meeting structure and Terms of Reference for the committee/meeting thing.</p> <p>46/ Do we have acceptable data concerning meeting attendance levels?</p> <p>47/ Do we have acceptable data concerning meeting records and actions?</p> <p>48/ Can we demonstrate outcomes are communicated to the rest of the organisation</p> <p>49/ Can we demonstrate evidence of safety objectives, safety performance and compliance being reviewed and discussed at meetings?</p> <p>50/ Are meeting participants able to challenge what is being presented when there is limited evidence?</p> <p>51/ Can we demonstrate that Senior management is aware of the most significant risks faced by the organisation and the overall safety performance of the organization? (How?)</p> <p>52/ Do we have an effective ERP – when was it exercised (How)</p> <p>53/ For ERP how will we coordinate with other organisations?</p> <p>54/ Who controls the ERP Distribution and how is it maintained currently?</p> <p>55/ do all key personnel have access to our ERP – can we demonstrate this?</p> <p>56/ Is the ERP sufficiently Robust? (How is it managed and measured for effectiveness)</p> <p>57/ When did we last review when the ERP was last reviewed and test and any actions taken as a result</p>	
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<p>58/ Do we have acceptable SMS Documentation and amendment procedures?</p> <p>59/ Are all documents cross-referenced where relevant &amp; required?</p> <p>60/ Do all our Staff have access to appropriate &amp; relevant SMS documentation (Can we demonstrate?)</p> <p>61/ Can we demonstrate supporting SMS documentation (hazard logs, meeting minutes, safety performance reports, risk assessments etc).</p> <p>62/ Can we show secure storage for safety records including version control</p> <p>63/ Can we show how Data protection and confidentiality rules have been defined and are consistently applied?</p> <p>64/ Can we show appropriate staff are aware of the records control processes and procedures?</p> <p>65/ How effective is our process for reviewing how hazards are identified, analyzed and recorded?</p> <p>66/ Are we able to consider hazards related to, possible accident scenarios, Human and organisational factors and business decisions and processes as well as Third party organisations?</p> <p>67/ What internal and external sources of hazards are considered for example Safety reports / audits/safety surveys/investigations/inspections/brainstorming / Management of Change activities / Commercial and other external influences etc. (More or less than mentioned? – If less – why?</p> <p>68/ Concerning Investigations of safety occurrences are we able to establish</p>	
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<p>causal/contributing factors (why it happened, not just what happened) and identify them?</p> <p>69/ Are we able to identify Human and organisational contributing factors? Hazards identified from occurrences are processed in compliance with Reg. (EU) 376/2014 Articles 4 and 5.</p> <p>70/ How effective is our reporting system related to access and ease of use.</p> <p>71 Do our staff trust the reporting system and can demonstrate familiarity with it and know what should be reported?</p> <p>72/ Can we demonstrate data protection and confidentiality?</p> <p>73/ Can we show a process to ensure feedback to a reporter, the organisation and third parties?</p> <p>74/ Does the volume and quality of reports including self-reporting meet our expectations – How is it measured?</p> <p>75/ Are our report closure rates acceptable – how is it measured?</p> <p>76/ Can our contracted organisations and customers make reports? – How is it evidenced?</p> <p>77/ Does our Safety System supports analysis and follow-up?</p> <p>78/ Do we have clearly defined responsibilities with regard to occurrence analysis, storage and follow-up?</p> <p>79/ Do all relevant staff understand which occurrences should be mandatory?</p> <p>80/ Can our Leadership &amp; Senior Staff engage with the outputs of the reporting system?</p>	
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81/ Is our chosen risk classification scheme and procedures acceptable for our needs? – how evidenced	
82/ Have we identified Severity and likelihood criteria	
83/ Is our Risk Register Layout acceptable – How effective is the Risk Register process?	
84/ How effective is the Hazard Identification Process is it clearly documented?	
85/ Where are the triggers for a risk assessment – Is the process acceptable	
86/ How do we classify issues when there is insufficient quantitative data available?	
87/ Have we clearly defined who can accept what level of risk – where documented	
88/ Risk Register Review and Management Process – How effective?	
89/ Can we show evidence of risk acceptability being routinely applied in decision-making processes?	
90/ Do our risk controls consider human and organisational factors?	
91/ Can we show evidence of risk controls being actioned and follow-up?	
92/ Do we have a process to Aggregate risk for additional consideration?	
93/ Are we able to show that risk controls have reduced the residual risk?	
94/ Are Risk controls clearly identified?	



<p>95/ How effective are our risk controls that rely solely on human intervention?</p> <p>96/ Can we show our risk controls are assessed for effectiveness (eg. audits, surveys, reviews).</p> <p>97/ Can we show evidence of risk controls applied by our contracted organisations / third parties being assessed?</p> <p>98/ How is Information from safety assurance and compliance monitoring activities fed back into the safety risk management process.? Is it evidenced – how?</p> <p>99/ Can we show an example of where risk controls have been changed as a result of the assessment?</p> <p>100/ Can we show evidence that SPIs are based on reliable sources of data?</p> <p>101/ Can we demonstrate when Safety performance indicators were last reviewed?</p> <p>102/ Can we show the defined SPIs and targets are appropriate to our organisation’s activities, risks and safety objectives?</p> <p>103/ Can we show that SPIs are focused on what is important rather than what is easy to measure?</p> <p>104/ Do we have any State SPIs to consider?</p> <p>105/ Do we have a process to ensure action has been taken when an SPI is indicating a negative trend (reflecting a risk control or an inappropriate SPI).?</p> <p>106/ Can we show evidence that the results of safety performance monitoring are discussed at the senior management level?</p>	
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<p>107/ Can we show evidence of Safety feedback provided to the accountable manager?</p> <p>108/ Can we show that Key stakeholders are involved in the feedback process?</p> <p>109/ Have we documented the initiator for the triggers related to the process?</p> <p>110/ Can we demonstrate a review of recent changes that have been through the risk assessment process?</p> <p>111/ Can we show that Change is signed off by an appropriately authorised person.?</p> <p>112/ Regarding Change can we show that transitional risks are being identified and managed?</p> <p>113/ Can we show a review to ensure follow-up actions such as whether any assumptions made have been validated?</p> <p>114/ Can we show a review to ensure follow-up actions where there is an impact on previous risk assessments and existing hazards?</p> <p>115/ Can we show whether consideration is given to the accumulative effect of multiple changes?</p> <p>116/ Can we show that business-related changes have considered safety risks (organisational restructuring, downsizing, IT projects etc.)</p> <p>117/ Do we have evidence of Human Factors issues being addressed during changes?</p> <p>118/ Can we show the impact of change on training and competencies?</p> <p>119/ Can we show that the Information and safety data used for management decision-making for continuous improvement is effective – How?</p>	
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<p>120/ Can we show Evidence of:</p> <ul style="list-style-type: none"> <li>• Lessons learnt being incorporated into SMS and operational processes;</li> <li>• Best practice being sought and embraced</li> <li>• Surveys and assessments of organisational culture being carried out and acted upon.</li> <li>• Data being analysed and results shared with Safety Committees.</li> <li>• Evidence of follow-up actions.</li> <li>• Feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, and safety data analysis all contribute towards continuous improvement of the SMS.</li> </ul> <p>121/ Have we reviewed the SMS training programme including course content and delivery method?</p> <p>122 / Due are training records correlate with the Safety Training Program</p> <p>123/ How are we managing the competence of the instructor? How we measure</p> <p>124/ Can we show our Training considers feedback from external occurrences, investigation reports, safety meetings, hazard reports, audits, safety data analysis, training, course evaluations etc?</p> <p>125/ Can we show how training is assessed for new staff and changes in position?</p> <p>126/ Can we show evidence of training evaluation to include human and organisational factors?</p> <p>137/ Are all our staff comfortable with their own understanding of their role in the organisation's SMS and their safety duties?</p>	
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<p>138/ Can we show that all Staff have been briefed on compliance?</p> <p>139/Can we demonstrate the sources of information used for safety communication? (How can we show it is sufficient?)</p> <p>140/ Can we show the effectiveness of the methods used to communicate safety information e.g., meetings, presentations, emails, website access, newsletters, bulletins, posters etc. (How to measure?)</p> <p>141/ Can we show the means for safety communication is reviewed for effectiveness and material used to update relevant training?</p> <p>142/ Can we show that significant events, changes and investigation outcomes are being communicated?</p> <p>143/ Can we show an appropriate level of accessibility to safety information?</p> <p>144/ Are staff aware of the most recent safety communication.?</p> <p>145/ Do we have a process to de-identify whether information from occurrences is communicated to all relevant personnel (internal and external) and it has been appropriately disidentified?</p> <p>146/ Can we show how safety interfaces have been documented, to provide evidence that:</p> <ul style="list-style-type: none"> <li>• Safety critical issues, areas and associated hazards are identified;</li> <li>• Safety occurrences are being reported and addressed;</li> <li>• Risk control actions are applied and regularly reviewed;</li> <li>• Interfaces are reviewed periodically</li> </ul>	
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<ul style="list-style-type: none"> <li>• The organisation's SMS covers hazard identification for external services and activities and internal interfaces.</li> <li>• Training and safety promotion sessions are organized with relevant external organisations.</li> <li>• External organisations participate in SMS activities and share safety information.</li> </ul> <p>147/ Regarding Safety Can we show how the compliance monitoring manager interact with:</p> <ul style="list-style-type: none"> <li>• Senior management,</li> <li>• Line managers</li> <li>• The safety management staff</li> </ul> <p>148/ Can we show evidence that senior management takes action on compliance monitoring results?</p> <p>149/ Can we show that the number of staff involved in compliance monitoring is appropriate</p> <p>150/ Can we show clear evidence of (compliance) direct reporting lines to the accountable manager?</p> <p>151/ Can we demonstrate how the independence of the audit function is achieved?</p> <p>152/ Can we confirm the contents of the audit programme meet all regulatory requirements?</p> <p>153/ Can we show how risk and performance are used to determine the depth and frequency of monitoring activities?</p> <p>154/ Can we show what drives the assessment leading to a change in the programme?</p> <p>155/ Can we show no conflict of interest</p> <p>156/ Can we show an acceptable process for causal analysis – how measured?</p>	
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<p>157/ Ref Q156/ Can we show the consistent application of the use?</p> <p>158/ Can we show a process to review any repeat findings or where actions have not been implemented or overdue? – How managed?</p> <p>160/ Can we demonstrate timely implementation of required actions</p> <p>161/ Can we demonstrate awareness of senior management of the status of significant findings and related CA/Pas?</p> <p>162/ Can we show appropriate personnel participate in the determination of causes and contributing factors?</p> <p>163/ Can we demonstrate consistency between internal audit results and external audit results?</p>	
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