## COMMON ISSUES IN SMS REVIEW AND VALIDATION

- 1. Does the SMS cover the entire company?
- 2. Are all 12 elements and their major processes accounted for? (Suggest drawing up a "map" or correlation matrix of the documentation before commencing a detailed review if the documentation is not in the same format as the framework).
- 3. What responsibilities are given to operational/line managers (e.g. flight ops, maintenance, ground services, etc.)? The system should be management driven rather than focused on the safety officer/safety department. Look for directions regarding involvement of management including top management (e.g. CEO, COO, SVPs, Division Managing Directors, etc.) in:
  - policy,
  - safety risk management,
  - safety assurance (particularly management reviews element 3.1.10).
- 4. Are the safety risk management and safety assurance functions focused on the safety office/safety department of are they driven by managers of line organizations (managers who can allocate resources and direct employees' activities)?
- 5. Are there a good set of checks and balances between line management and oversight activities of the safety officer/safety department (e.g. auditing and evaluation by both line managers/organizations and the safety officer/organization, access to and accountability of top management)?
- 6. Does the SRM process look at all levels of risk? SRM should be included in:
  - Strategic decision making and system/process design,
  - Change management,
  - Operational control/supervision,
  - Line operations (crew/team/individual employee activities).
- 7. Are there clear, practical instructions on how to use and interpret risk assessment tools such as risk matrices?
- 8. Does the reporting system allow for reporting potential hazards in operations or in the workplace as well as reporting events?
- 9. Is there a path from data collection to analysis, to assessment, to control or problem resolution? (Data must be used to have value in decision making. This is fundamental to the idea of a "system.")
- 10. Do the analysis functions look across reports and data sources to identify patterns and trends or is the system limited to looking at each event, report, or finding independently?
- 11. Is there a method of tracking hazards and problems in and between SRM and SA processes as well as tracking progress on resolution (e.g. hazard database, action log)?
- 12. Is hazard status, progress toward mitigation and resolution of problems reviewed periodically? (Must be part of the process and not something "pushed uphill" by the safety officer/safety organization).