

# Industry Safety Culture Evaluation Tool and Guidance



**April 2019**

This paper was prepared by the Safety Management International Collaboration Group (SM ICG). The purpose of the SM ICG is to promote a common understanding of Safety Management System (SMS)/State Safety Program (SSP) principles and requirements, facilitating their application across the international aviation community. In this document, the term “organization” refers to a product or service provider, operator, business, and company, as well as aviation industry organizations; and the term “authority” refers to the regulator authority, Civil Aviation Authority (CAA), National Aviation Authority (NAA), and any other relevant government agency or entity with oversight responsibility.

The current core membership of the SM ICG includes the Aviation Safety and Security Agency (AESA) of Spain, the National Civil Aviation Agency (ANAC) of Brazil, the Civil Aviation Authority of the Netherlands (CAA NL), the Civil Aviation Authority of New Zealand (CAA NZ), the Civil Aviation Authority of Singapore (CAAS), Civil Aviation Department of Hong Kong (CAD HK), the Civil Aviation Safety Authority (CASA) of Australia, the Direction Générale de l'Aviation Civile (DGAC) in France, the Ente Nazionale per l'Aviazione Civile (ENAC) in Italy, the European Aviation Safety Agency (EASA), the Federal Office of Civil Aviation (FOCA) of Switzerland, the Finnish Transport Safety Agency (Trafi), the Irish Aviation Authority (IAA), Japan Civil Aviation Bureau (JCAB), the United States Federal Aviation Administration (FAA) Aviation Safety Organization, Transport Canada Civil Aviation (TCCA), United Arab Emirates General Civil Aviation Authority (UAE GCAA), and the Civil Aviation Authority of United Kingdom (UK CAA). Additionally, the International Civil Aviation Organization (ICAO) is an observer to this group.

Members of the SM ICG:

- Collaborate on common SMS/SSP topics of interest
- Share lessons learned
- Encourage the progression of a harmonized SMS/SSP
- Share products with the aviation community
- Collaborate with international organizations such as ICAO and civil aviation authorities that have implemented or are implementing SMS and SSP
  
- For further information regarding the SM ICG please contact:

• Claudio Trevisan	Sean Borg	Eugene Huang
• EASA	TCCA	FAA, Aviation Safety
• +49 221 89990 6019	(613) 990-5448	(202) 267-7577
• <a href="mailto:claudio.trevisan@easa.europa.eu">claudio.trevisan@easa.europa.eu</a>	<a href="mailto:sean.borg@tc.gc.ca">sean.borg@tc.gc.ca</a>	<a href="mailto:eugene.huang@faa.gov">eugene.huang@faa.gov</a>
•		
• Neverton Alves de Novais	Ash McAlpine	
• ANAC	CASA	
• +55 61 3314 4606	+ 07 3144 7411	
• <a href="mailto:Neverton.Novais@anac.gov.br">Neverton.Novais@anac.gov.br</a>	<a href="mailto:Ashley.Mcalpine@casa.gov.au">Ashley.Mcalpine@casa.gov.au</a>	
•		
- SM ICG products can be found on SKYbrary at: <http://bit.ly/SMICG>

To obtain an editable version of this document, contact [smicg.share@gmail.com](mailto:smicg.share@gmail.com).

## Contents

1	Introduction.....	6
1.1	Background .....	6
1.2	Safety Culture Assessment Guide .....	7
1.2.1	Limitations .....	7
1.2.2	Recognition .....	8
2	Safety Culture Framework .....	9
2.1	Safety Culture Definition.....	9
2.2	Safety Culture Characteristics .....	9
2.2.1	Commitment.....	10
2.2.2	Justness (“Just Culture”) .....	10
2.2.3	Information.....	10
2.2.4	Awareness.....	10
2.2.5	Adaptability.....	10
2.2.6	Behavior .....	10
2.3	Safety Culture Indicators.....	10
2.4	Safety Culture Maturity Levels.....	12
2.4.1	Reactive .....	13
2.4.2	Calculative.....	13
2.4.3	Proactive .....	13
3	Guidance on Conducting the Safety Culture Assessment.....	14
3.1	Introduction .....	14
3.2	Assessment Planning.....	15
3.3	Assessment.....	15
3.3.1	Pre-Brief .....	15
3.3.2	Interviews .....	15
3.3.3	De-Brief .....	16
3.3.4	Assessment Results.....	16
3.3.5	Training and Competency .....	16
4	Guidance for the Assessment Questions .....	17
4.1	Commitment .....	17
4.1.1	Management Commitment (Indicator 1) .....	17
4.1.2	Personal Commitment (Indicator 2) .....	18
4.1.3	Investment in Safety (Indicator 3) .....	18

4.2	Justness .....	19
4.2.1	Evaluation of (Un)safe Behavior (Indicator 1).....	19
4.2.2	Perception of Evaluation (Indicator 2).....	19
4.2.3	Passing of Responsibility (Indicator 3).....	20
4.3	Information .....	20
4.3.1	Communication of Safety-Related Information (Indicator 1) .....	20
4.3.2	Safety Reporting System (Indicator 2) .....	21
4.3.3	Willingness to Report (Indicator 3).....	21
4.3.4	Consequences of Safety Reports (Indicator 4).....	22
4.4	Awareness .....	22
4.4.1	Awareness of Job-Induced Risk (Indicator 1).....	23
4.4.2	Attitude towards Unknown Hazards (Indicator 2) .....	23
4.4.3	Attention to Safety (Indicator 3).....	23
4.5	Adaptability .....	24
4.5.1	Actions after Safety Occurrences (Indicator 1).....	24
4.5.2	Proactiveness to Prevent Safety Occurrences (Indicator 2) .....	25
4.5.3	Employee Input (Indicator 3).....	25
4.6	Behavior .....	25
4.6.1	Working Situation (Indicator 1) .....	26
4.6.2	Employee Behavior with Regard to Safety (Indicator 2) .....	26
4.6.3	Mutual Expectations and Encouragement (Indicator 3) .....	26
5	Considerations for the Authority Using the Assessment Tool.....	27
6	Definitions .....	29
Appendix A. Safety Culture Evaluation Tool.....		A-1
Management Level Questions .....		A-1
Commitment.....		A-1
Justness.....		A-5
Information.....		A-8
Awareness .....		A-12
Adaptability .....		A-15
Behavior.....		A-17
Workforce Level Questions .....		A-20
Commitment.....		A-20
Justness.....		A-23
Information.....		A-26

---

Awareness .....	A-29
Adaptability .....	A-32
Behavior.....	A-34
Sample Summary Sheet .....	A-37

# 1 Introduction

## 1.1 Background

It has been recognized that the effectiveness of a Safety Management System (SMS) is largely dependent on the “Safety Culture” of an organization. As a result, there should be guidance and tools to help regulators understand, and furthermore assess, safety culture as part of their surveillance activities.

In order to allow comparison between sectors and to support the effectiveness of the stakeholder’s SMS, the Swiss Federal Office of Civil Aviation (FOCA) developed its own qualitative Safety Culture Evaluation Tool. It is intended to enable a dialogue between the regulator and organization by recognizing and articulating a qualitative estimation of safety culture aspects. This independent view on the potential strengths and weaknesses aims at raising the organization’s awareness of specific safety culture issues. For various reasons, safety culture assessments are not comparable to the traditional audit concept. For instance, no “findings” should be issued as typically done under compliance-based surveillance.

Some of the benefits of carrying out a safety culture assessment by the regulator are:

- It can improve the relationship between the Authority and the organization.
- It generates conversation between inspectors and employees that focus on safety rather than on compliance.
- It can support the State in promoting a positive safety culture (now required in ICAO Annex 19, 2<sup>nd</sup> Edition).
- It can give a greater understanding of the organizational factors that contribute to the overall safety performance of the organization.
- It can help identify underlying organizational factors where the outcomes have become evident through other surveillance activities.
- It can be used as a supplementary tool to assess the effectiveness of an organization’s SMS and used as an input for performance-based oversight.

After developing and trialing the Tool, the Swiss FOCA agreed to share it with the SM ICG for further development within the global community.

This Safety Culture Assessment Tool and Guide are the result of the SM ICG development work. It is meant to assist Authority inspectors in identification of cultural issues as part of its oversight activities.

## 1.2 Safety Culture Assessment Guide

This guide has been developed to support the SMS assessments by incorporating a qualitative assessment of the safety culture in an organization. It is based on previous academic research, but does not assess safety culture in a quantitative way.

This Safety Culture Assessment Guide is developed to support Regulatory Inspectors in recognizing and assessing different levels of safety culture maturity in the course of surveillance activities. It will also inform them on the concept of safety culture and how to use the SM ICG Safety Culture Assessment Tool.

It is important for the user to recognize that perceptions of safety culture will vary between management and the workforce. The assessment questions have been tailored to assess the views of management and a corresponding question for that of the workforce. Focusing on these two organizational levels in safety culture assessments provides valuable information for identifying potential mismatches between their perceptions.

The assessment questions mainly serve as guidance for the safety culture interviews. For this reason these questions should not strictly be used one after another during an interview, but preferably be used to develop a dialogue between the interviewer and the interviewee. The responses from the interviews should be recorded and may be supplemented by expert knowledge or impressions of the interviewers. All of this information should be analyzed to produce a picture of the strengths and weaknesses of an organization's safety culture.

Section 2 describes the safety culture framework, which provides the basis of the safety culture assessment scheme. Section 3 describes how the assessment is carried out. Section 4 provides the generic classification scheme and information on the assessment questions.

### 1.2.1 Limitations

The assessment of safety culture is subjective and will also be limited to the views of a small sample of individuals in an organization. It only reflects a single moment in time and is sensitive to temporary conditions such as organizational changes. It can also be influenced by the assessor in the way that questions are asked and how the answers interpreted during the interviews.

Regulators should be able to compare the results of the safety culture assessment with other surveillance activities. This will support, supplement, and validate the results of assessment. Regulators

should also, when possible, integrate the results of other surveillance activities and culture assessments in terms of the effects of safety culture in the context of safety performance.

### 1.2.2 Recognition

The Safety Culture Assessment Tool and Guide are based on the original guide developed by Swiss FOCA in cooperation with the Air Transport Safety Institute (NLR-ATSI) of the National Aerospace Laboratory in the Netherlands lafob OCI GmbH.

## 2 Safety Culture Framework

### 2.1 Safety Culture Definition

For the purpose of this tool, the SM ICG defines safety culture as the set of enduring values, behaviors and attitudes regarding safety, shared by every member at every level of an organization.

In a positive safety culture there is a sense of shared responsibilities towards achieving the organization's safety objectives. Accountability for safety is promoted and everyone is continuously striving to preserve and enhance safety. People are willing and able to adapt when facing safety issues and are also willing to communicate safety issues.

A positive safety culture relies on a high degree of trust and respect between the workforce and management. This is why the safety culture assessment process needs to listen to the views and perceptions of both managers and the workforce.

An effective SMS empowers a positive safety culture and a positive safety culture empowers an effective SMS.

### 2.2 Safety Culture Characteristics

The definition of safety culture is founded on six high-level characteristics, which provide a framework for analysis. Figure 1 shows the six characteristics of an organization's safety culture.



Figure 1: Six Characteristics of Safety Culture

Each of the six characteristics represents a cornerstone on which an organization's safety culture is built.

### 2.2.1 Commitment

The extent to which every level of the organization has a positive attitude towards safety and recognizes its importance. Top management should be genuinely committed to maintaining a high level of safety and motivating the workforce to do so as well.

### 2.2.2 Justness ("Just Culture")

The extent to which safe behavior and reporting of safety issues are encouraged or even rewarded and unsafe behavior is discouraged.

### 2.2.3 Information

The extent to which information is distributed to the right people in the organization. Work-related information must be communicated in the right way to the right people.

### 2.2.4 Awareness

The extent to which the workforce and management are aware of the risks for themselves and for others implied by the organization's operations. The workforce and management should be constantly maintaining a high degree of vigilance with respect to safety issues.

### 2.2.5 Adaptability

The extent to which the workforce and management are willing to learn from past experiences and are able to take whatever action is necessary in order to enhance the level of safety within the organization.

### 2.2.6 Behavior

The extent to which every level of the organization behaves to maintain and improve the level of safety. From the management side, the importance of safety should be recognized and everything needed to maintain and enhance safety should be put in place.

## 2.3 Safety Culture Indicators

The six characteristics are broken down into more detailed indicators. These indicators are used within the Safety Culture Assessment Tool and Guide to assess and analyze the level of safety culture of organizations and/or their different departments. It is considered essential to use such a hierarchical

structure ([1] definition, [2] characteristics, [3] indicators) in order to be able to determine where improvements can be made to assist the organization in improving its safety culture. Table 1 lists the characteristics and their underlying indicators.

The safety culture framework of characteristics and indicators as stated below in Table 1 guided the development of the questions for the qualitative assessment of an organization’s safety culture.

*Table 1. Safety Culture Indicators*

Characteristic	Indicators
Commitment to Safety	<ul style="list-style-type: none"> <li>• Management commitment</li> <li>• Personal commitment</li> <li>• Investment in safety</li> </ul>
Justness	<ul style="list-style-type: none"> <li>• Evaluation of (un)safe behavior</li> <li>• Perception of evaluation</li> <li>• Passing of responsibility</li> </ul>
Information	<ul style="list-style-type: none"> <li>• Communication of safety-related information</li> <li>• Safety reporting system</li> <li>• Willingness to report</li> <li>• Consequences of safety reports</li> </ul>
Awareness	<ul style="list-style-type: none"> <li>• Awareness of job-induced risk</li> <li>• Attitude towards unknown hazards</li> <li>• Attention to safety</li> </ul>
Adaptability	<ul style="list-style-type: none"> <li>• Actions after safety occurrences</li> <li>• Proactiveness to prevent safety occurrences</li> <li>• Employee input</li> </ul>
Behavior with Respect to Safety	<ul style="list-style-type: none"> <li>• Working situation</li> <li>• Employee behavior with regard to safety</li> <li>• Mutual expectations and encouragement</li> </ul>

## 2.4 Safety Culture Maturity Levels

For the qualitative evaluation of an organization's safety culture, the three intermediate safety culture maturity levels of Hudson's safety scale are used: Reactive, Calculative, and Proactive.<sup>1</sup> It is expected that organizations active in the aviation industry have safety cultures that range between the reactive and proactive level. Figure 2 presents these safety culture maturity levels.

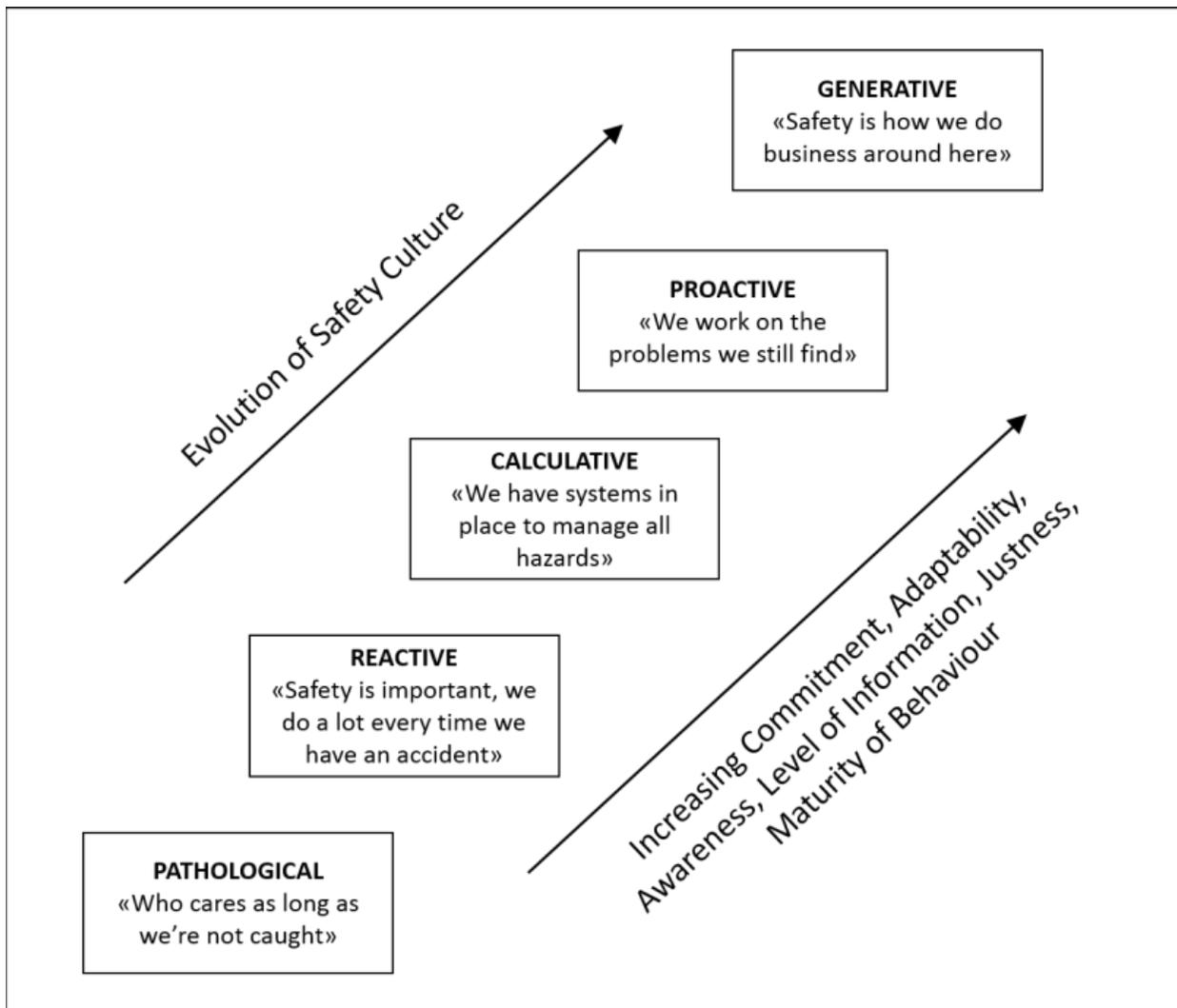


Figure 2: Safety Culture Maturity Levels<sup>1</sup>

<sup>1</sup> P. Hudson, Implementing a safety culture in a major multi-national, Safety Science, 2007, 697-722.

The following definitions have been developed by Montijn and de Hong for the three intermediate levels.<sup>2</sup>

#### 2.4.1 Reactive

In a reactive safety culture, safety is generally regarded as a burden that is imposed by the Authorities. Action is taken only to satisfy the regulations, or after a safety event and often consists of identifying and punishing the responsible person(s). Only in the case of significant events does it become a topic of communication and actions are taken to prevent recurrence.

Managers perceive that the majority of accidents are solely caused by the unsafe behavior of front-line staff. Unsafe behavior is accepted to get the job done.

#### 2.4.2 Calculative

In a calculative safety culture, safety is considered as a factor that has to be accounted for. Safety is taken into account in management's decision making, but in itself safety is not a core value. Managers recognize that a wide range of factors cause accidents and the root causes often originate from management decisions.

A safety reporting system is installed to meet legal requirements and is only used for gathering information. There is a general awareness of the safety risks induced by the operation, and the organization is willing to take action if these become too large. There are situations in which unsafe behavior is accepted to get the job done, but in general there is a mutual expectation of safe behavior.

#### 2.4.3 Proactive

In a proactive safety culture, safety is considered a core value. Safety plays an important role in decision making at management level as well as in day-to-day operations. The safety reporting system is not only used for detecting significant safety issues, but also for issues with less or no obvious impact on safety.

The operations are regularly assessed and safety actions are evaluated after implementation. After a safety event, the main objective of management is to prevent recurrence. There is a general awareness of the safety risks associated with the operation, and action is taken to reduce them as much as possible.

---

<sup>2</sup> Montijn, H. de Jong, Safety Culture in Air Transport: Definition, Characteristics, Indicators and Classification Scheme, NLR Memorandum ATSF-2006-150, 2006.

## 3 Guidance on Conducting the Safety Culture Assessment

### 3.1 Introduction

It is important for regulatory inspectors to recognize the subjective nature of safety culture. The purpose of this document is to provide the necessary guidance to assess the safety culture of an organization against a safety culture maturity framework.

It is important to recognize that the Safety Culture Assessment Tool is used to carry out interviews with various individuals and is not intended to be used as a self-assessment questionnaire.

The purpose of the assessment is to identify the cultural issues when conducting SMS surveillance.

Inspectors should be familiar with the SM ICG Safety Culture Assessment Guide and the contents of the questionnaire.

Before the assessment, inspectors should review the SMS Manual and other approved manuals of the organization. This will provide an understanding of the organizational structure that will help identify which individuals and areas are selected to sample across the organization. This should also include reviewing previous audits, occurrence reports, and investigations as this will enable an assessment of the attitudes and behaviors towards safety.

If the inspectors involved in the safety culture assessment are not familiar with the organization, they should liaise with the assigned inspectors to gather any intelligence about the organization and its activities.

Inspectors should ask the questions in the assessment tool but may customize how they phrase the question. The inspector should avoid leading the interviewee to give the answers they are looking for. It is important to make brief notes of dialogue during or immediately after each interview. There are no right or wrong answers and it is most important to establish a confidential atmosphere during any discussions.

Not every question in the assessment tool needs to be asked if sufficient information has been gathered from the discussions. The questions are intended to stimulate a conversation. Although a sampling of the individual questions may be used, it should be recognized that this may not give a full picture of the safety culture.

The interviews should take place in a confidential environment where names are not recorded to avoid any action being taken against individuals based on their comments.

## 3.2 Assessment Planning

When the assessment is planned, it is important to notify the organization of the schedule and that individual managers and workforce personnel will be interviewed. In addition, suitable rooms for where the interviews will take place to ensure confidentiality and a relaxed environment.

## 3.3 Assessment

### 3.3.1 Pre-Brief

A pre-brief meeting should be held with senior managers in the organization to introduce the assessment.

This should include the inspector briefly explaining the purpose of the evaluation and its principles. It should be emphasized that the evaluation is subjective and is intended to be an assessment of the safety culture within the organization. It is also an opportunity to highlight the importance of being open and honest during the assessment.

The assessment should be carried out in a way that does not create a negative impact on the safety culture of the organization. The organization should be briefed that the names of individuals will not be recorded to maintain confidentiality. The intent is to provide feedback to the organization rather than produce a rating or a score.

### 3.3.2 Interviews

Before each interview, the inspector should explain why the interview is being done, the importance of being open and honest, and that the interview notes will be kept confidential. It should be reinforced that there are no right or wrong answers and that they are looking for examples of their experiences wherever possible.

The names of the workforce individuals being interviewed should not be recorded. However, it may be useful to identify the role of individuals as long as this does not identify the individual (i.e., the role should not be recorded if there is only one person in that role).

### 3.3.3 De-Brief

When all interviews are completed and before the de-brief, inspectors should complete the questionnaire and review the results. They can then be formally presented at the de-brief, which will normally include the various heads of the area or section assessed. The de-brief is extremely important and inspectors must be careful to present their results thoroughly, clearly, and conscientiously.

Ideally, the de-brief should be attended by the accountable executive and the relevant senior managers. Representatives of the workforce may also attend if they wish.

### 3.3.4 Assessment Results

As well as a verbal de-brief it is recommended a summary of the assessment is provided. The following should be considered:

- How and when the results of the assessment will be delivered to the organization;
- Providing a summary sheet and report rather than the full assessment tool as this could include sensitive information; and
- The organization should consider the value in sharing the results of the assessment with its staff.

### 3.3.5 Training and Competency

This safety culture assessment tool should only be used by inspectors trained on the tool and its use. In addition, the following competencies are prerequisites:

- SMS and safety culture knowledge;
- SMS principles and assessment techniques;
- Safety culture and the key characteristics;
- Familiarization and understanding of the safety culture assessment questions;
- Organizational culture (different types and how they affect performance);
- Human and organizational factors (linked to the organizational culture);
- Interviewing (including competency in the language being spoken by interviewees);
- Investigation techniques;
- Ability to communicate effectively (including listening);
- Interpersonal skills (ability to relate to diverse groups of people); and
- Ability to handle difficult conversations (to avoid conflict).

## 4 Guidance for the Assessment Questions

This section provides a short description of the safety culture characteristics and indicators, together with their corresponding assessment questions. As stated before, the questions will mainly serve as guidance for the safety culture interviews. For this reason, these questions should not strictly be used one after another during an interview, but preferably be used to develop a dialogue between the inspector and the interviewee.

Word pictures have been developed to assist the inspector in determining the culture maturity. For some questions there is a secondary set of word pictures that further supports the understanding of each level. Inspectors should not expect to see the exact detail in the word picture but they should assist them in making their judgement.

There is a comments section for each question in the tool for the inspector to record any notes and observations during the interviews. This will assist in the analysis and feedback to be given at the end of the assessment.

### 4.1 Commitment

Commitment reflects the extent to which every level of the organization has a positive attitude towards safety and recognizes its importance. Top management shall be genuinely committed to keeping a high level of safety and give the workforce motivation and means to do so as well.

#### 4.1.1 Management Commitment (Indicator 1)

A good safety culture starts with management being genuinely committed to safety. Therefore, one of the most important goals of (top) management shall, apart from making profit, be to keep a high level of safety for the operations, the customers, and the workforce.

The commitment to safety expresses itself in management being willing to release job pressure if safety risks become unacceptable, and also in management accepting setbacks and human errors as inevitable, putting reasonable measures into place to minimize not only the chance of such errors occurring but also the consequences should errors occur. Management commitment to safety shall furthermore be visible to the workforce, who, in a good safety culture, has confidence in management doing everything possible to keep high safety records.

Assessment tool questions related to management commitment:

Management	Workforce
CoM01: How do you demonstrate your personal commitment to safety to the workforce? Please give examples.	CoW01: How does your management demonstrate they are personally committed to safety? Please give examples.
CoM03: What actions do you, as a manager, take to assure safety? Please give examples.	CoW03: What do the managers of your company personally do to assure safety? Please give examples.

#### 4.1.2 Personal Commitment (Indicator 2)

Management commitment to safety will reflect on the personal commitment to safety of the other members of the organization. Like management, the workforce should consider safety as a core value and be aware that a high level of safety is essential for the continuity of the operations. This means that the role of safety in decision making should always be comparable to the importance of efficiency and profit, and that safety issues, however small, should be considered seriously.

Assessment tool questions related to personal commitment:

Management	Workforce
CoM04: How would you describe your workforce's attitude towards safety? What is this based on? Please give examples.	CoW04: How would you describe your colleagues' attitude towards safety? What is this based on? Please give examples.

#### 4.1.3 Investment in Safety (Indicator 3)

The prioritization of safety is reflected by the amount of money and effort that is invested to maintain and improve the level of safety. Investments may consist of the establishment of a safety department, or the development and implementation of safety requirements and procedures. The safety department should have the necessary authority to be taken seriously. In the case of an incident or accident, the organization should use all possible means to prevent recurrence.

Assessment tool questions related to investment in safety:

Management	Workforce
CoM02: What normally triggers action to improve safety? Please give examples.	CoW02: What normally triggers action to improve safety? Please give examples.
CoM05: What level of importance is given to financial planning for safety? Please give some examples.	CoW05: What is your impression on availability of funds for safety? Please give examples.

## 4.2 Justness

Justness reflects the extent to which safe behavior and reporting of safety issues are encouraged or even rewarded, and unsafe behavior is discouraged.

### 4.2.1 Evaluation of (Un)safe Behavior (Indicator 1)

Safety-related behavior should be treated in a consistent and just manner. Safe behavior should be rewarded and errors and mistakes shall not lead to punishment. To prevent the recurrence of such errors and mistakes it is important that the workforce feels free to report unsafe situations or errors without the risk of being punished. The distinction between unintentional errors and reckless behavior should always be made. Use of the reporting system should not have negative consequences for the reporter, except in cases of reckless behavior or gross negligence.

Assessment tool questions related evaluation of (un)safe behavior:

Management	Workforce
JuM03: What is the focus of your incident or accident investigations? Please give examples.	JuW03: What is the focus of incident or accident investigations? Please give examples.

### 4.2.2 Perception of Evaluation (Indicator 2)

The treatment of safe and unsafe behavior shall be perceived as just by everyone in the organization. The workforce should not be concerned with any negative consequences when reporting occasional mistakes. It should be clear to the workforce when they can expect to be rewarded or punished.

Assessment tool questions related to perception of evaluation:

Management	Workforce
JuM01: How does your company recognize safe behavior? Please give examples.	JuW01: How does your company recognize safe behavior? Please give examples.

#### 4.2.3 Passing of Responsibility (Indicator 3)

Management should recognize that accidents or incidents are often caused by management decisions, rather than the actions taken by front-line operators. Additionally, management needs to realize that the cause of unsafe behavior of front-line operators may be the result of management actions and decisions.

Assessment tool questions related to passing of responsibility:

Management	Workforce
JuM02: After incidents or accidents, how is unsafe behavior dealt with? Please give examples.	JuW02: After incidents or accidents, how is unsafe behavior dealt with? Please give examples.
JuM04: To what extent are organizational factors considered when investigating incidents or accidents? Please give examples.	JuW04: To what extent are organizational factors considered when investigating incidents or accidents? Please give examples.

### 4.3 Information

Information reflects the extent to which information is distributed to the right people in the organization. The workforce shall be encouraged to report safety concerns, which creates the need for a safety reporting system. Work-related information has to be communicated in the right way to the right people in order to avoid miscommunications that could lead to hazardous situations.

#### 4.3.1 Communication of Safety-Related Information (Indicator 1)

Safety reports shall be communicated to the right people, and safety issues shall be communicated to all employees in order to keep them informed with known and potential hazards. When changes are implemented that could affect safety, management shall inform the workforce concerned regarding

these changes. Talking about safety issues amongst the workforce, amongst management, and between the workforce and management shall be seen as normal and desirable. Events involving safety issues shall be reviewed by management and the workforce.

Assessment tool questions related to communication of safety-related information:

Management	Workforce
InM01: How are safety issues communicated? Please give examples.	InW01: How are safety issues communicated? Please give examples.
InM02: How do you evaluate the effectiveness of your communication? Please give examples.	InW02: How effective is your company's safety communication? Why do you think so?

#### 4.3.2 Safety Reporting System (Indicator 2)

To assure safety of operations, the organization shall establish a safety reporting system. Such a system should enable reporting of safety concerns regarding technical systems, procedures, and safety-related behavior. It shall be ensured that all employees know about the existence of the reporting system and are familiar with its usage and the reporting process itself.

Assessment tool questions related to the safety reporting system:

Management	Workforce
InM04: Does the workforce prefer to stay anonymous when reporting safety issues? If so, why? Please give examples.	InW04: Does the workforce prefer to stay anonymous when reporting safety issues? If so, why? Please give examples.
InM06: What gives you confidence in the effectiveness of your reporting system? Please give examples.	

#### 4.3.3 Willingness to Report (Indicator 3)

The safety reporting system can only reach its aim to improve safety if employees are willing to report. Not only should employees be willing to report accidents, but also minor incidents and potential hazards as well as occurrences with less impact. Such occurrences could, if recurring, lead to more

serious incidents or accidents. Usage of the reporting system should be encouraged by management. The reporting system may be enhanced by making it possible to report safety issues anonymously. It has to be addressed that in a mature safety culture, the concept of justness will encourage employees to report confidentially rather than anonymously.

Assessment tool questions related to willingness to report:

Management	Workforce
InM03: Describe the willingness of the workforce to report safety issues. Please give examples.	InW03: Describe the willingness of the workforce to report safety issues. Please give examples.

#### 4.3.4 Consequences of Safety Reports (Indicator 4)

The reporting system shall be used to help management make decisions and take action to reduce the safety concerns. Moreover, the usage of the reporting system should not result in negative consequences for those using it. It should be possible to report anonymously, but employees should feel confident to identify themselves when reporting.

Assessment tool questions related to consequences of safety reports:

Management	Workforce
InM05: What benefits do your company get from safety reports? Please give examples.	InW05: Have you ever proposed safety improvements within another functional area? If not, why? Please give examples.

## 4.4 Awareness

Awareness reflects the extent to which the workforce and management are aware of the risks the organization's operations imply for themselves and for others. The workforce and management shall be constantly maintaining a high degree of vigilance with respect to safety issues.

#### 4.4.1 Awareness of Job-Induced Risk (Indicator 1)

Management and the workforce shall be aware of the risks faced by the organization and its activities. Management and the workforce should be aware that safety always can be improved and should look for ways to do so.

Assessment tool questions related to awareness of job-induced risk:

Management	Workforce
AwM04: How do you identify and manage safety risks resulting from your business decisions? Please give examples.	AwW04: How do you identify and address safety risks you are faced with in your daily work? Please give examples.

#### 4.4.2 Attitude towards Unknown Hazards (Indicator 2)

A positive safety culture is a means to obtain a high level of safety. However, as there is variable performance of people and organizations, risks will vary continuously. Therefore, employees should not become complacent, but always be aware and looking for known and unknown hazards.

Assessment tool questions related to attitude towards unknown hazards:

Management	Workforce
AwM02: How do you normally become aware of new safety issues? Please give examples.	AwW02: How do you normally become aware of new safety issues? Please give examples.

#### 4.4.3 Attention to Safety (Indicator 3)

A positive safety culture should include continuous attention to new and existing safety issues. Even in the absence of incidents or safety occurrences the organization and its employees should remain alert for new safety issues. Everyone should be aware of the importance of safety and understand its impact on the continued safe operation of the organization.

Assessment tool questions related to attention to safety:

Management	Workforce
AwM01: Do you think that safety can still be improved in your organization? How? Please give examples.	AwW01: Do you think that safety can still be improved in your organization? How? Please give examples.
AwM03: How do you demonstrate your personal commitment to safety to your colleagues? Please give examples.	AwW03: How do you demonstrate your personal commitment to safety to your colleagues? Please give examples.

## 4.5 Adaptability

Adaptability reflects the extent to which the workforce and management are willing to learn from past experiences and be able to take whatever action is necessary in order to enhance the level of safety within the organization.

### 4.5.1 Actions after Safety Occurrences (Indicator 1)

When faced with safety concerns, incidents or accidents, management and the workforce should take immediate action to prevent these negative events from reoccurring. Occurrences with less impact shall also be taken into account. In all cases, the organization should attempt to discover the cause(s) to ensure that these occurrences are not repeated with more serious consequences. Safety improvements should be evaluated in order to check whether they are effective and do not cause other unforeseen safety concerns.

Assessment tool questions related to actions after safety occurrences:

Management	Workforce
AdM03: How do you know whether risk controls and safety improvements that you have implemented are effective? Please give examples.	AdW03: How do you know whether risk controls and safety improvements that your company has implemented are effective? Please give examples.

#### 4.5.2 Proactiveness to Prevent Safety Occurrences (Indicator 2)

Solely responding to safety issues, incidents, or accidents will not be sufficient to achieve a high safety level in an organization. Rather than being reactive, the organization’s management and workforce shall apply a proactive approach in recognizing and solving potential safety issues. Continuous improvements should be encouraged to inhibit unwanted events. Employees should be encouraged to continuously look for ways to improve safety.

Assessment tool questions related to proactiveness to prevent safety occurrences:

Management	Workforce
AdM02: Has the workforce needed to deviate from procedures? Please give examples.	AdW02: Has the workforce needed to deviate from procedures? Please give examples.

#### 4.5.3 Employee Input (Indicator 3)

In an organization with a positive safety culture, it is encouraged that employees share their knowledge and experience. Employees should be encouraged to suggest safety improvements with respect to their or others’ job. When confronted with safety issues, management should involve the workforce in helping to solve these problems. When facing problems or safety issues, employees should be involved in the process, even if these problems or issues are beyond their work area.

Assessment tool questions related to employee input:

Management	Workforce
AdM01: What is the workforce’s contribution in developing safety improvements? Please give examples.	AdW01: What is the contribution of the workforce in developing safety improvements? Please give examples.

### 4.6 Behavior

Behavior reflects the extent to which every level of the organization behaves to maintain and improve the level of safety. From the management side, the importance of safety shall be recognized and everything to maintain and enhance safety performance should be put in place.

#### 4.6.1 Working Situation (Indicator 1)

The workforce shall have access to, or be equipped with, the adequate tools and equipment to perform their job safely. The condition of the equipment shall be checked at regular intervals and training shall be given on how to use the equipment adequately.

Assessment tool questions related to working situation:

Management	Workforce
BeM01: Are there situations where management is aware of the workforce deviating from procedures? Please give examples.	BeW01: Are there situations where the workforce deviates from procedures and are management aware of them? Please give examples.

#### 4.6.2 Employee Behavior with Regard to Safety (Indicator 2)

A necessary ingredient for safe operations is the willingness of employees to behave and execute their job according to procedures. Personnel should be aware of the fact that risk-taking potentially endangers safety and is considered unacceptable behavior by management. Employees should be given a level of authority to decide or take appropriate action to prevent incidents or accidents from happening.

Assessment tool questions related to employee behavior with regard to safety:

Management	Workforce
BeM02: What do you do when confronted with unsafe practices? Please give examples.	BeW02: What do you do when you are confronted with unsafe operations or activities? Please give examples.

#### 4.6.3 Mutual Expectations and Encouragement (Indicator 3)

Safe behavior should be seen as the standard for how operations are conducted and monitored. This should be encouraged by management and result in the buy-in of the workforce. When confronted with unsafe operations, employees should be encouraged to stop the process and consequently report the event. Deviations from procedures should be effectively discouraged.

Assessment tool questions related to mutual expectations and encouragement:

Management	Workforce
BeM03: Describe the support you receive from colleagues when addressing safety issues. Please give examples.	BeW03: Describe the support you receive from colleagues when addressing safety issues. Please give examples.

## 5 Considerations for the Authority Using the Assessment Tool

The Authority should decide who is in the best position to carry out a safety culture assessment. It is recommended that a small select team be used to carry out safety culture assessments as this will help maintain competency and consistency.

Ideally there should be at least 5 management interviews and 5 workforce interviews to provide a reasonable picture of the assessment. An equal number of management and workforce interviews will provide a more balanced view. It is also recommended that the managers selected are not limited to the managers that the Regulator regularly interacts with (i.e., the safety manager and quality manager).

When deciding to plan an assessment, the Authority should consider the following:

- The assessment will require a significant amount of time and demand on resources for both the Authority and the organization.
- Assessments should be avoided when there are significant changes or industrial unrest. However, an assessment might be considered if there are concerns over a particular organization, such as an increase in occurrences.
- It may be more challenging to carry out an assessment in a small organization due to disruption to the organization and maintaining confidentiality.

The Authority should consider reassessing the safety culture at a later date, allowing sufficient time between assessments for the safety culture to have matured. Ideally, the reassessments should be done by the same inspectors.

The results of each questionnaire should be uploaded onto an analytical tool. A simple spreadsheet is provided at the end of the tool (page A-37) that can be used to help analyze the results and provide a summary to the organization.

The Safety Culture Assessment Tool is designed to supplement surveillance and its primary purpose to provide an organization with feedback and observations; findings should not be given. The Authority may use the results of the assessment as an input to its performance assessment of the organization.

## 6 Definitions

<b>Employees</b>	All personnel (management and workforce) working in the organization.
<b>Management</b>	The management level in an organization, which ranges from the Accountable Executive and senior managers to nominated post holders. This should include managers responsible for financial and human resources in the organization. Supervisors and team leaders are also considered part of management.
<b>Safety Culture</b>	The set of enduring values, behaviors and attitudes regarding safety, shared by every member at every level of an organization.
<b>Workforce</b>	All personnel excluding management.

## **Appendix A. Safety Culture Evaluation Tool**

## MANAGEMENT LEVEL QUESTIONS

Organization		Interviewee	
Assessed		Job Title	

### Commitment

<p><b>CoM01 (CoW01): How do you demonstrate your personal commitment to safety to the workforce? Please give examples.</b></p> <p>Main interest: What is the interviewee doing to show their personal safety commitment to the workforce? How visible is it?</p>			
Commitment to safety is not visibly promoted or practiced.	Commitment to safety is not visibly practiced and only reinforced to the workforce after an event.	Commitment to safety is visibly practiced and reinforced to the workforce on a regular basis.	Comments:
The safety policy may be visible in the workplace and within the company documentation but management does not demonstrate their commitment in their words and actions	Management tends to show their commitment after an event or outwardly when customers and auditors are present.	Management reinforces their commitment to safety through actions, decision-making and regular safety conversations with staff at all levels.	
Low		High	
<p><b>CoM02 (CoW02): What normally triggers action to improve safety? Please give examples.</b></p> <p>Main interest: When does the organization implement safety improvements—only after something has happened or also to prevent something from happening?</p>			

## MANAGEMENT LEVEL QUESTIONS

Safety improvements are normally made only after a high-risk event has occurred (or when required by regulations).	Safety improvements are normally made to mitigate high risks.	Safety improvements are made proactively to manage all risks to an acceptable level.	Comments:
Action is taken: <ul style="list-style-type: none"> <li>when faced with external audit findings</li> <li>as a result of media interest</li> <li>after enforcement action from requests and recommendations from Regulators.</li> <li>When it is unavoidable</li> </ul>	Action is taken: <ul style="list-style-type: none"> <li>from internal audit findings</li> <li>when alert levels are exceeded</li> <li>from staff association recommendations</li> </ul>	Action is taken from: <ul style="list-style-type: none"> <li>safety reports</li> <li>audit observations</li> <li>proactive observational surveys such as the Line Operation Safety Audit</li> <li>risk assessments</li> <li>trend monitoring of safety performance indicators (SPIs)</li> <li>staff suggestion scheme</li> </ul>	
Low		High	
<p><b>CoM03 (CoW03): What actions do you, as a manager, take to assure safety? Please give examples.</b></p> <p>Main interest: Does the interviewee think that it is other people’s responsibility to assure safety, or can they refer to actions they have personally taken?</p>			

## MANAGEMENT LEVEL QUESTIONS

Management relies on the safety manager and the workforce to assure safety.	The role of management is only to provide resources to assure safety.	Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions.	Comments:
Low		High	
<p><b>CoM04 (CoW04): How would you describe your workforce’s attitude towards safety? What is this based on? Please give examples.</b></p> <p>Main interest: Is the interviewee aware of the workforce's attitude towards safety and associated hazards and risks?</p>			
The attitudes of the workforce concerning safety are not known	Management has a general awareness of the attitude of the workforce concerning safety.	Management is fully aware of the attitude of the workforce concerning safety.	Comments:
Management does not actively assess or seek feedback on the workforce attitude towards safety	Management assesses the workforce’s attitudes to safety based only on staff surveys.	Management regularly assesses the workforce’s attitude to safety using different methods such as observing behaviors and carrying out staff surveys.	
Low		High	
<p><b>CoM05: What level of importance is given to financial planning for safety? Please give examples.</b></p> <p>Main interest: What financial resources are planned or available for safety and to implement safety improvements?</p>			

## MANAGEMENT LEVEL QUESTIONS

There is no financial planning for safety-related activities.	There is financial planning for safety-related activities to satisfy regulations.	There is financial planning for safety-related activities in order to mitigate risks.	Comments:
Safety activities are under-resourced (e.g., deferred training, delays in dealing with safety reports, deferred mitigation actions).	Day-to-day safety management activities are being achieved but with limited finances available for safety improvements.	There is budget made available for safety activities including safety improvements, training, and safety promotion.	
Low		High	

# MANAGEMENT LEVEL QUESTIONS

## Justness

<b>JuM01 (JuW01): How does your company recognize safe behavior? Please give examples.</b> Main interest: Is the company routinely recognizing and rewarding safe behavior or not?			
Safe behavior is not recognized or rewarded.	Safe behavior is occasionally recognized by management.	Safe behavior is consistently rewarded and publicly recognized.	Comments:
There is no clear understanding of what safe behavior is. Management does not value safe behavior.	Management rewards outstanding safety behavior, but it is usually associated with operational success.	Managers routinely walk the floor and recognize safe behavior.  There is a reward scheme to recognize workers for demonstrating positive safety behaviors.  There is a clear understanding throughout the organization of what kinds of safety behaviors are encouraged.	
Low		High	
<b>JuM02 (JuW02): After incidents or accidents, how is unsafe behavior dealt with? Please give examples.</b> Main interest: Does the company deal with unsafe behavior in a fair and consistent manner?			
Unsafe behavior is inconsistently dealt with.	Unsafe behavior is dealt with based on the seriousness of the event.	Unsafe behavior is dealt with in a fair and consistent manner to the same standards throughout the organization.	Comments:

## MANAGEMENT LEVEL QUESTIONS

Management is expected to use personal judgement as to how to discipline workers who behave unsafely. There is not a process for dealing with unsafe behavior.	There is a published process for dealing with unsafe behavior but it is not consistently applied. Not all of the workforce is aware of the disciplinary policy.	Managers are trained in the practical application of the disciplinary policy. The workforce is aware of the disciplinary policy and recognize it being applied consistently	
Low		High	
<b>JuM03 (JuW03): What is the focus of your incident or accident investigations? Please give examples.</b>			
Main interest: What is the company looking for when investigating an incident or accident: Do they look for root cause(s) and take action to prevent further incidents, rather than someone to blame and punish?			
Investigations are performed to identify someone to blame rather than to determine root causes.	Investigations of serious incidents determine root cause but still focus more on who to blame.	Investigations are performed to identify root causes and make recommendations.	Comments:
Low		High	
<b>JuM04 (JuW04): To what extent are organizational factors considered when investigating incidents or accidents? Please give examples.</b>			
Main interest: Is the company considering management decisions and organizational processes that contributed to the incident or accident?			
Organizational factors are not taken into account during investigations.	Organizational factors are not systematically taken into account during investigations.	Organizational factors are systematically assessed during all investigations.	Comments:

## MANAGEMENT LEVEL QUESTIONS

Only the factors related to the workforce are considered in incident investigations.	Organizational factors are only included in the investigation when their role in the incident is obvious.	The organization considers all potential causes of the incident or accident. Root cause is the main focus and looks for organizational factors that contributed to the event.
Low		High

# MANAGEMENT LEVEL QUESTIONS

## Information

<b>InM01 (InW01): How are safety issues communicated? Please give examples.</b>			
Main interest: How is the company informing the workforce about safety issues? Is communication delivered in one direction only or is it more interactive in which feedback is encouraged?			
The approach to communicating safety issues is inconsistent.	Various methods are used, but are one-way only, such as sending out notices.	Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback).	Comments:
Communication is done in the easiest and cheapest way without consideration to the target audience.	Communication is delivered but with no means to verify whether it has been understood.	Communication includes a means to receive feedback with interactive communication being the preferred approach.	
Low	High	High	
<b>InM02 (InW02): How do you evaluate the effectiveness of your communication? Please give examples.</b>			
Main interest: Is the company systematically evaluating whether the messages are heard and understood by the different target audiences?			
No evaluation of effectiveness.	Non-systematic evaluation of effectiveness.	Systematic evaluation of effectiveness.	Comments:
There is no consideration of the need to check whether communication is received or understood.	There is some checking of whether communication is received or understood but it is random and opportunity based.	There is a program in place that regularly checks that communication is being received, understood, and improved where appropriate.	
Low	High	High	

## MANAGEMENT LEVEL QUESTIONS

**InM03 (InW03): Describe the willingness of the workforce to report safety issues. Please give examples.**

Main interest: What does the workforce report: are they only reporting things they have to or are they reporting potential safety issues?

The workforce is reluctant to report safety issues.	Safety issues are only reported after events.	Potential safety issues and near misses are reported.	Comments:
The workforce does not always report safety issues. The workforce only report before an audit or when it is unavoidable (it can't be hidden).	The workforce only report after something bad (an event) happens. The workforce is willing to report events but not potential hazards or unsafe conditions.	All safety issues are reported regularly as a result of a strong safety culture. Management actively encourages the workforce to report safety issue	
Low		High	

**InM04 (InW04): Does the workforce prefer to stay anonymous when reporting safety issues? If so why? Please give examples.**

Main interest: What trust does the workforce have in the fairness of the reporting system?

When safety issues are reported the workforce prefers to stay anonymous.	Serious safety issues are reported openly. For errors and mistakes the workforce sometimes prefers to report anonymously.	The workforce openly reports safety issues including errors and mistakes.	Comments:
--	---	---	-----------

## MANAGEMENT LEVEL QUESTIONS

There is a lack of trust between management and the workforce. Confidentiality has been breached in the past.	Some reports are anonymous due to fear of being identified to co-workers.	The workforce trusts the reporting system and are happy to report so that follow up action can be taken and there is feedback.  The workforce sees the benefit of reporting safety issues—even minor issues.	
Low		High	
<b>InM05: What benefits do your company get from safety reports? Please give examples.</b> Main interest: What sort of benefits does the interviewee expect from safety reports: <ul style="list-style-type: none"> <li>• to identify hazards/risks before an incident or an accident occurs and/or</li> <li>• to make safety improvements to procedures, processes, equipment or training?</li> </ul>			
Safety reports help to identify similar risks after accidents and are mostly reactive.	Safety reports help to identify similar risks after incidents and near miss events.	Safety reports help to identify potential risks and opportunities for continuous improvement.	Comments:
Safety reports are only related to events and do not identify safety improvements.	Safety reports identify problems with processes, procedures, and equipment.	Safety reports are used to suggest safety improvements.	
Low		High	
<b>InM06: What gives you confidence in the effectiveness of your reporting system? Please give examples.</b> Main interest: Is their confidence based on the system gathering voluntary reports rather than just those that must be reported?			

## MANAGEMENT LEVEL QUESTIONS

Confidence in the reporting system is based on the reporting system being used.	Confidence in the reporting system is based on the number of reports and not necessarily the quality and content of the reports.	There is confidence in the reporting system as it provides useful information including details of errors and near misses.	Comments:
Low		High	

# MANAGEMENT LEVEL QUESTIONS

## Awareness

<p><b>AwM01 (AwW01): Do you think that safety can still be improved in your organization? How? Please give examples.</b></p> <p>Main interest: Do they think that the company is already doing enough for safety or that the company should continuously search for further safety improvements?</p>			
There is no need to improve.	Safety could be improved, but management does not always take appropriate action.	Safety can be improved and management provides specific means to accomplish this.	Comments:
There is a view that the organization is safe enough. So, there is no consideration for a safety improvement plan.	The organization is regularly reviewing its safety performance and addressing adverse trends but there is no safety improvement plan.	The organization is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated.	
Low		High	
<p><b>AwM02 (AwW02): How do you normally become aware of new safety issues? Please give examples.</b></p> <p>Main interest: Is the interviewee aware and able to give examples of new hazards and associated risks in daily operations?</p>			
Management is not looking for new or emerging safety issues.	Management is not proactively looking for emerging safety issues but do react once events have taken place.	Management is proactively looking for emerging safety issues and encouraging staff to raise issues.	Comments:

## MANAGEMENT LEVEL QUESTIONS

Management does not encourage the workforce to raise safety issues. Management relies on the workforce to report new and emerging safety issues.	Management only encourages the workforce to raise safety issues when an incident has taken place. Management looks for safety issues from internal sources only.	Management encourages the workforce to raise safety issues as they know that action will be taken that will lead to safety improvements. Management actively looks for safety issues from internal and external sources	
Low		High	
<p><b>AwM03 (AwW03): How do you demonstrate your personal commitment to safety to your colleagues? Please give examples.</b></p> <p>The term “colleagues” refers to peers of the same management level or to superior managers, not subordinates.</p> <p>Main interest: What is the interviewee doing to show their personal safety commitment to their colleagues? Do they show a genuine concern for safety, or are they only concerned with operational matters?</p>			
They are focused more on operational issues than safety issues.	They show their commitment to safety only when a specific safety issue comes to their attention.	Their commitment to safety is visibly demonstrated by operational decision-making that focuses on safety issues.	Comments:

## MANAGEMENT LEVEL QUESTIONS

Operational service targets are the priority with very little attention being given to safety when it compromises service delivery or is costly.	Managers focus on operational issues and only address safety issues when an event occurs.	Safety is a shared responsibility and there are regular safety conversations between managers.  Managers are open in raising safety concerns to their peers and to senior management.	
Low		High	
<p><b>AwM04: How do you identify and manage safety risks resulting from your business decisions? Please give examples.</b></p> <p>Main interest: Is the interviewee aware of risks caused by their decisions? Answers could be:</p> <ul style="list-style-type: none"> <li>• They are not aware/interested.</li> <li>• They are aware and can give relevant examples. They also evaluate their decisions.</li> </ul>			
Management decisions are not questioned for their impact on safety.	Management recognizes that some of their decisions may have an impact on safety but they are not routinely assessed.	Management recognizes that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety.	Comments:
Low		High	

# MANAGEMENT LEVEL QUESTIONS

## Adaptability

<p><b>AdM01 (AdW01): What is the workforce's contribution in developing safety improvements? Please give examples.</b></p> <p>Main interest: Are the workforce consulted when safety improvements are developed in order to contribute their experiences and knowledge?</p>			
The workforce is not consulted when developing safety improvements.	Input from the workforce is requested for the development of safety improvements only when risks become unacceptable or after an incident or accident.	Input from the workforce is requested for the development of safety improvements.	Comments:
Management decides on safety improvements	Workforce consultation is sought once the main decision has already been made.	The workforce participates in safety committees. Focus groups are initiated for safety improvement projects.	
Low		High	
<p><b>AdM02 (AdW02): Has the workforce needed to deviate from procedures? Please give examples.</b></p> <p>Main interest: Is the interviewee aware and able to give examples of deviations from procedures?</p>			
Deviation from procedures is forbidden so it does not happen.	Deviation from procedures occasionally occurs. If it occurs, no investigation is carried out.	When deviation from procedures occurs, it is investigated and corrective action taken.	Comments:

## MANAGEMENT LEVEL QUESTIONS

Management is not interested in seeking out examples of deviation from procedures. Management is unfamiliar with the applicable procedures.	New procedures are initially tested, but not regularly reviewed. Deviations are ignored or not reported, and reoccur as a result.	Investigations focus on why such deviations take place using root cause analysis. Procedures are regularly reviewed and/or tested for applicability and suitability; changes are communicated.	
Low		High	
<p><b>AdM03 (AdW03): How do you know whether risk controls and safety improvements that you have implemented are effective? Please give examples.</b></p> <p>Main interest: How is the company verifying whether risk controls and safety improvements really have the intended effect?</p>			
There is no process to monitor the effectiveness.	Effectiveness relies on monitoring for a reduction of occurrences (incidents or accidents).	Processes are developed to continuously monitor and assess the effectiveness	Comments:
No follow up action is taken. The organization waits for another incident or accident to tell them if something is wrong.	There is no follow-up action other than reviewing the number of occurrences that take place.	Safety risk controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, and program reviews.	
Low		High	

# MANAGEMENT LEVEL QUESTIONS

## Behavior

<p><b>BeM01 (BeW01): Are there situations where management is aware of the workforce deviating from procedures? Please give examples.</b></p> <p>Main interest: Is the interviewee aware of "work-arounds" or the workforce not following procedures in daily operations and able to give examples? (Be sure to consider contract workforce.)</p>			
Management avoids looking for deviations and when they do become aware, do not take any action.	Management is aware of deviations and only takes action when it's convenient to the operation.	Management looks for deviations and take action to address the root cause to prevent reoccurrence.	Comments:
Management takes punitive action for deviations that result in damage or costly delay. Management ignores deviations when there is benefit to the organization.	Management condones work-arounds that speed up urgent work. Action is taken to correct deviations that have contributed to significant incidents	The workforce is encouraged to report deviations and suggest improvements.	
Low		High	
<p><b>BeM02 (BeW02): What do you do when confronted with unsafe practices? Please give examples.</b></p> <p>Main interest: Is unsafe behavior accepted as long as it does not lead to an unwanted event or is it completely unacceptable?</p>			
As long as no incidents occur, management accepts the unsafe practice.	Management will stop unsafe practices when profit or efficiency are not at stake.	Unsafe practices are stopped immediately, since management does not accept any unsafe practices.	Comments:

## MANAGEMENT LEVEL QUESTIONS

Management allows staff to get the job done however they like as long as they don't cause damage.	Management ignores unsafe practices that speed up urgent work.	All staff are empowered to stop work and report unsafe practices.  Management takes immediate action to correct an unsafe condition regardless of task urgency.	
Low		High	
<p><b>BeM03 (BeW03): Describe the support from colleagues when addressing safety issues. Please give examples.</b></p> <p>The term "colleagues" refers to peers of the same management level or to superior managers. It does not refer to subordinate persons.</p> <p>Main interest: Is the interviewee supported by his colleagues and superiors when addressing safety issues?</p>			
There is no support from colleagues when addressing safety issues.	Strong arguments are required to get support from colleagues when addressing safety issues.	Support is easily obtained from and encouraged by colleagues when addressing safety issues.	Comments:
The person does not feel supported. They always need to fight when addressing safety issues.	The person needs to convince others to get their support.	The person feels greatly supported since their colleagues and superiors are committed to safety too.	
Low		High	

# MANAGEMENT LEVEL QUESTIONS

Intentionally blank

## WORKFORCE LEVEL QUESTIONS

Organization		Interviewee	
Assessed		Job Title	

### Commitment

**CoW01 (CoM01): How does your management demonstrate they are personally committed to safety? Please give examples.**

Main interest: What are managers doing to show personal safety commitment to the workforce? Do they only do what is required by regulations or do they show a deep concern for safety?

Management commitment to safety is not visibly promoted or practiced.	Management commitment to safety is not visibly practiced and only reinforced to the workforce after an event.	Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis.	Comments:
The safety policy may be visible in the workplace and within the company documentation but management does not demonstrate their commitment through their words and actions.	Management tends to show their commitment after an event or outwardly when customers and auditors are present.	Commitment to safety is included in the company policy and demonstrated to the workforce through actions, decision-making and regular safety conversations with staff at all levels.	
Low		High	

**CoW02 (CoM02): What normally triggers action to improve safety? Please give examples.**

Main interest: When does the organization implement safety improvements—only after something has happened or also to prevent something happening?

<p>Safety improvements are normally made only after a high-risk event has occurred (or when required by regulations).</p>	<p>Safety improvements are normally made to mitigate high risks.</p>	<p>Safety improvements are made proactively to manage all risks to an acceptable level.</p>	<p>Comments:</p>
<p>Action is taken:</p> <ul style="list-style-type: none"> <li>• when faced with external audit findings.</li> <li>• as a result of media interest.</li> <li>• after enforcement action from requests and recommendations from Regulators.</li> <li>• when it is unavoidable.</li> </ul>	<p>Action taken:</p> <ul style="list-style-type: none"> <li>• from internal audit findings.</li> <li>• when alert levels are exceeded.</li> <li>• from recommendations from staff associations.</li> </ul>	<p>Action is taken from:</p> <ul style="list-style-type: none"> <li>• safety reports.</li> <li>• audit observations.</li> <li>• proactive observational surveys such as the Line Operations Safety Audit (LOSA).</li> <li>• risk assessments.</li> <li>• trend monitoring of safety performance indicators (SPIs).</li> <li>• staff suggestion scheme.</li> </ul>	
<p>Low</p>		<p>High</p>	

**CoW03 (CoM03): What do the managers of your company personally do to assure safety? Please give examples.**

Main interest: Does the workforce recognize the personal commitment of their managers to assure safety?

<p>Management has no visible role in assuring safety.</p>	<p>Management just provides resources to assure safety.</p>	<p>There is visible personal management commitment to assure safety.</p>	<p>Comments:</p>
---	---	--	------------------

Low		High	
<p><b>CoW04 (CoM04): How would you describe your colleagues' attitude towards safety? What is this based on? Please give examples.</b></p> <p>Main interest: Is the interviewee aware of their colleagues' attitude towards safety and associated hazards and risks?</p>			
The attitudes of the workforce concerning safety are not known.	There is a general awareness of the perceptions of the workforce concerning safety.	There is a good awareness of the perceptions of the workforce concerning safety.	Comments:
Low		High	
<p><b>CoW05 (CoM05): What is your impression on availability of funds for safety? Please give examples.</b></p> <p>Main interest: What financial resources are available for safety and to implement safety improvements?</p>			
There is no financial planning for safety-related activities.	There is financial planning for safety-related activities to satisfy regulations.	There is financial planning for safety-related activities in order to mitigate risks.	Comments:
Safety activities are under-resourced (e.g., deferred training, delays in dealing with safety reports, deferred mitigation actions).	Day-to-day safety management activities are being achieved but with limited finances available for safety improvements.	There is a budget made available for safety activities including safety improvements, training, and safety promotion	
Low		High	

## Justness

<p><b>JuW01 (JuM01): How does your company recognize safe behavior? Please give examples.</b></p> <p>Main interest: Is the company routinely recognizing and rewarding safe behavior or not?</p>			
Safe behavior is not recognized or rewarded.	Safe behavior is occasionally recognized by management.	Safe behavior is consistently rewarded and publicly recognized.	Comments:
There is no clear understanding of what safe behavior is. Management does not value safe behaviors.	Management rewards outstanding safety behavior, but it is usually associated with operational success.	Managers routinely walk the floor and recognize safe behavior. There is a company scheme in use where workers are recognized through a variety of means for demonstrating positive safety behaviors. There is a clear understanding throughout the organization of what kinds of safety behaviors are encouraged.	
Low		High	
<p><b>JuW02 (JuM02): After incidents or accidents, how is unsafe behavior dealt with? Please give examples.</b></p> <p>Main interest: Does the company deal with unsafe behavior in a fair and consistent manner?</p>			
Unsafe behavior is inconsistently dealt with.	Unsafe behavior is dealt with based on the seriousness of the event.	Unsafe behavior is dealt with in a fair and consistent manner to the same standards throughout the organization.	Comments:

Management uses personal judgement as to how to discipline workers who behave unsafely. There is not a process for dealing with unsafe behavior.	There is a published process for dealing with unsafe behavior but it is not consistently applied. Not all of the workforce is aware of the disciplinary policy.	The workforce is aware of the disciplinary policy and recognize it being applied consistently	
Low		High	

**JuW03 (JuM03): What is the focus of incident or accident investigations? Please give examples.**

Main interest: What is the company looking for when investigating an incident or accident? Do they look for root cause(s) and take action to prevent further incidents rather than look for someone to blame and punish?

Investigations are performed to identify someone to blame rather than to determine root causes.	Investigations of serious incidents determine root cause but still focus more on who to blame.	Investigations are performed to identify root causes and make recommendations.	Comments:
Low		High	

**JuW04 (JuM04): To what extent are organizational factors considered when investigating incidents or accidents? Please give examples.**

Main interest: Is the company considering management decisions and organizational processes that contributed to the incident or accident?

Organizational factors are not taken into account during investigations.	Organizational factors are not systematically taken into account during investigations.	Organizational factors are systematically assessed during all investigations.	Comments:
Only the factors related to the workforce are considered in	Organizational factors are only included in the investigation	The organization considers all potential causes of the incident or	

incident investigations.	when their role in the incident is obvious.	accident. Root cause is the main focus and the organization searches for organizational factors that contributed to the event.	
Low		High	

## Information

### InW01 (InM01): How are safety issues communicated? Please give examples.

Main interest: How is the company informing the workforce about safety issues? Is communication delivered in one direction only or is it delivered in a more interactive way where feedback is encouraged?

The approach to communicating safety issues is inconsistent.	Various methods are used, but are one-way only such as sending out notices.	Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback).	Comments:
Communication is done in the easiest and cheapest way without consideration to the target audience.	Communication is delivered but with no means to verify whether it has been understood.	Communication includes a means to receive feedback with interactive communication being the preferred approach.	
Low		High	

### InW02 (InM02): How effective is your company's safety communication? Why do you think so?

Main interest: What does the interviewee think of the way that the company communicates safety issues in respect of content and delivery?

Safety communication is not effective.	Safety communication effectiveness is limited.	Safety communication is effective.	Comments:
There is no consideration of the need to check whether communication is received or understood.	There is some checking of whether communication is received or understood but it is random and opportunity based.	There is a program in place that regularly checks that communication is being received, understood, and improved where appropriate.	
Low		High	

**InW03 (InM03): Describe the willingness of the workforce to report safety issues. Please give examples.**

Main interest: What does the workforce report? Are they only reporting things they have to or are they reporting potential safety issues?

The workforce is reluctant to report safety issues.	Safety issues are only reported after events.	Potential safety issues and near misses are reported.	Comments:
The workforce does not always report safety issues because the worker fears punishment. The workforce only reports an event if it is unavoidable (it can't be hidden).	The workforce only reports after something bad (an event) happens. The workforce is willing to report events but not potential hazards or unsafe conditions.	All safety issues are reported regularly. Management actively encourages staff to report safety issue. The workforce is willing to report issues they have personally been involved with.	
Low		High	

**InW04 (InM04): Does the workforce prefer to stay anonymous when reporting safety issues? If so, why? Please give examples.**

Main interest: What trust does the workforce have in the fairness of the reporting system?

When safety issues are reported, the workforce prefers to stay anonymous because of fear of career damage or punishment.	Serious safety issues are reported openly. For errors and mistakes, the workforce sometimes prefers to report anonymously as it might damage their career.	The workforce openly reports safety issues including errors and mistakes.	Comments:
--	--	---	-----------

<p>Reports are provided anonymously because they fear the company will punish them or their peers will look down upon them for reporting.</p> <p>There is a lack of trust between management and the workforce.</p> <p>Confidentiality has been breached in the past.</p>	<p>Some reports are anonymous due to fear of being identified to co-workers.</p>	<p>The workforce trusts the reporting system and are happy to report so that follow-up action can be taken and there is feedback.</p> <p>The workforce sees the benefit of reporting safety issues (even minor issues).</p>	
Low		High	

**InW05: Have you ever proposed safety improvements within another functional area? If not, why? Please give examples.**

Main interest: Does the organization foster interaction and exchange of information and recommendations across disciplines and functional areas?

<p>Interdisciplinary or cross-functional exchange is not welcomed.</p> <p>Inputs from “outsiders” are perceived as interference.</p>	<p>The management requests interaction across disciplines or functional areas when corrective actions need to be taken.</p>	<p>Exchanges of information or recommendations across disciplines or functional areas are always welcomed.</p> <p>Inputs/criticism from “outsiders” is analyzed and changes are considered if appropriate.</p>	Comments:
Low		High	

## Awareness

<p><b>AwW01 (AwM01): Do you think that safety can still be improved in your organization? How? Please give examples.</b></p> <p>Main interest: Does the interviewee think that the company is already doing enough for safety or that the company should continuously search for further safety improvements?</p>			
There is no need to improve.	Safety could be improved and is identified by the workforce but management does not always take appropriate action.	Safety can be improved and management provides specific means to accomplish this.	Comments:
There is a view that the organization is safe enough. So, there is no consideration for a safety improvement plan.	The organization is regularly reviewing its safety performance and addressing adverse trends but there is no safety improvement plan.	The organization is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated.	
Low		High	
<p><b>AwW02 (AwM02): How do you normally become aware of new safety issues? Please give examples.</b></p> <p>Main interest: Is the interviewee aware and able to give examples of new hazards and associated risks in daily operations?</p>			
The workforce does not concern themselves with new or emerging safety issues.	The workforce does not concern themselves with new or emerging safety issues unless they are involved in an incident.	The workforce proactively looks for new and emerging safety issues and encourages each other to do so.	Comments:

The workforce is not informed of new safety issues or it is not easy to find out about them.	There is very little communication on new safety issues except when there has been a major event.	New safety issues are regularly shared and staff are fully aware of current and emerging risks.	
Low		High	

**AwW03 (AwM03): How do you demonstrate your personal commitment to safety to your colleagues? Please give examples.**

The term “colleagues” refers to peers of the same organizational level or to supervisors.

Main interest: What is the interviewee doing to show their personal safety commitment to their colleagues? Do they show a genuine concern for safety, or are they only concerned with operational matters?

Commitment to safety is not being demonstrated.	Commitment to safety is only demonstrated when a specific safety issue comes to their attention.	Commitment to safety is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management.	Comments:
Priority is given to getting the job done on time with minimal regard to safety.	Safety issues become more of a priority when there is less impact on service delivery.	Safety is a shared responsibility and there are regular safety conversations with colleagues.	
Low		High	

**AwW04 (AwM04): How do you identify and address safety risks you are faced with in your daily work? Please give examples.**

Main interest: Is the interviewee aware of safety risks they are routinely faced with? Do they look for ways to improve safety? Possible answers include:

- They are not aware/interested
- They are aware and can give relevant examples.

<p>The workforce is not aware of the safety risks they are faced with.</p>	<p>The workforce recognizes some of the safety risks they are faced with but do not tend to suggest safety improvements.</p>	<p>The workforce is aware of the safety risks they are faced with and are always trying to make suggestions to improve safety.</p>	<p>Comments:</p>
<p>Low</p>		<p>High</p>	

## Adaptability

**AdW01 (AdM01): What is the contribution of the workforce in developing safety improvements? Please give examples.**

Main interest: Are the workforce consulted when safety improvements are being developed in order to contribute their experiences and knowledge?

The workforce is not consulted when developing safety improvements.	Input from the workforce is requested for the development of safety improvements only when risks become unacceptable or after an incident or accident.	Input from the workforce is requested for the development of safety improvements.	Comments:
Management decides on safety improvements	Workforce consultation is sought once the main decision has already been made.	The workforce participates in safety committees. Focus groups are initiated for safety improvement projects.	
Low		High	

**AdW02 (AdM02): Has the workforce needed to deviate from procedures? Please give examples.**

Main interest: Is the interviewee aware and able to give examples of deviations from procedures?

Deviations happen frequently and this is considered acceptable.	Deviations occasionally occurs.	Deviations are rare, but they are raised and discussed with management.	Comments:
---	---------------------------------	---	-----------

Management is not interested in seeking out examples of deviation from procedures. The workforce is unfamiliar with the applicable procedures.	Deviations are reported but not always acted upon and reoccur as a result.	Procedures are regularly updated and communicated.	
Low		High	

**AdW03 (AdM03): How do you know whether risk controls and safety improvements that your company has implemented are effective? Please give examples.**

Main interest: How is the company verifying whether risk controls and safety improvements really have the intended effect?

There is no process to monitor the effectiveness.	Effectiveness relies on monitoring for a reduction of occurrences (incidents or accidents).	Processes are developed to continuously monitor and assess the effectiveness	Comments:
No follow up action is taken. The organization waits for another incident or accident to tell them if something is wrong.	There is no follow up action other than reviewing the number of occurrences that take place.	Safety risks controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, program reviews.	
Low		High	

## Behavior

**BeW01 (BeM01): Are there situations where the workforce deviates from procedures and are management aware of them? Please give examples.**

Main interest: Is the interviewee aware of "work-arounds" or "safety compromises" in daily operations? What is management's attitude towards those deviations? (Be sure to consider contract workers.)

Deviations are considered normal and management takes no action.	Deviations do sometimes take place and management permits this when it's convenient to the operation.	When there is a need to possibly deviate, the workforce raises this with management to take action.	Comments:
Management takes punitive action for deviations that result in damage or costly delay. Management ignores deviations when there is benefit to the organization.	Management and workforce condone work-arounds that speed up urgent work. Action is taken to correct deviations that have contributed to significant incidents.	The workforce is encouraged to report deviations and suggest improvements.	
Low		High	

**BeW02 (BeM02): What do you do when you are confronted with unsafe operations or activities? Please give examples.**

Main interest: Is intentional unsafe behavior accepted as long as it does not cause a major incident, or is it completely unacceptable?

Unsafe operations or activities are tolerated, as long as they do not cause incidents.	Unsafe operations or activities are discouraged. However, unsafe behavior for the benefit of productivity or efficiency is allowed. Some examples can be provided.	Unsafe operations or activities are not tolerated and actions are taken to prevent them as much as possible. Some examples can be provided.	Comments:
--	--	---	-----------

Shortcuts, workarounds and risky behavior are fairly normal because it's the only way the job can get done. Managers are aware of some of the shortcuts and workarounds taken but allow them to happen if it gets the job done quicker.	Although shortcuts, workarounds, and risky behavior don't happen very often and are avoided, sometimes they are used to get the job done. Managers tend to discourage them but sometimes turn a blind eye if it means getting the job done quicker.	Shortcuts, workarounds, and risky behavior don't normally happen and both managers and peers are likely to stop them happening if they see it.	
Low		High	

**BeW03 (BeM03): Describe the support from colleagues when addressing safety issues. Please give examples.**

The term "colleagues" refers to persons at a similar organizational level.

Main interest: Is the interviewee supported by their colleagues when addressing safety issues:

There is no support from colleagues when addressing safety issues.	Strong arguments are required to get support from colleagues when addressing safety issues.	Support is easily obtained from and encouraged by colleagues when addressing safety issues.	Comments:
The person does not feel supported. They always need to fight when addressing safety issues.	The person needs to convince others to get their support.	The person feels greatly supported since their colleagues and superiors are committed to safety too.	
Low		High	

Intentionally blank

## SAMPLE SUMMARY SHEET

Organisation Assessed	Question	Reactive	Calculative	Proactive	Reactive	Calculative	Proactive
		Management			Workforce		
Commitment	CoM01/CoW01: Personal commitment to safety		X		X		
	CoM02/CoW02: Safety triggers			X	X		
	CoM03/CoW03: Management assurance of safety	X			X		
	CoM04/CoW04: Workforce attitude towards safety		X				X
	CoM05: Financing of safety			X			
	CoW05: Dealing with unsafe operations or activities						X
	<b>Overall assessment of commitment</b>						
Justness	JuM01/JuW01: Recognition of safe behavior						
	JuM02/JuW02: Dealing with unsafe behavior						
	JuM03/JuW03: Safety investigations						
	JuM04/JuW04: Organizational contributing factors						
	<b>Overall assessment of justness</b>						
Information	InM01/InW01: Communicating safety issues						
	InM02/InW02: Communication effectiveness						
	InM03/InW03: Workforce reporting of safety issues						
	InM04/InW04: Anonymous reporting of safety issues						
	InM05: Company benefits from safety reports						
	InW05: Safety improvements for other functional areas						
	<b>Overall assessment of information</b>						
	AwM01/AwW01: Safety improvement						

## SAMPLE SUMMARY SHEET

Awareness	AwM02/AwW02: Being alerted of new safety issues							
	AwM03/AwW03: Personal safety commitment							
	<b>AwM04/AwW04</b> : Managing safety risks							
	<b>Overall assessment of awareness</b>							
Adaptability	AdM01/AdW01: Workforce involvement							
	AdM02/AdW02: Deviation from procedures							
	AdM03/AdW03: Effectiveness of safety improvements							
	<b>Overall assessment of adaptability</b>							
Behavior	BeM01/BeW01: Unsafe behaviors							
	BeM02/BeW02: Dealing with unsafe operations							
	BeM03/BeW03: Support from colleagues							
	<b>Overall assessment of behavior</b>							
<b>Overall safety culture estimate:</b>								
<b>Overall confidence level in the safety culture</b>		<u>V Low</u>	<u>Low</u>	<u>Medium</u>	<u>High</u>	<u>V High</u>		
<b><u>Summary comments:</u></b>								
<b><u>Signature and Date:</u></b>								