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**January 2025**

Link Between SM ICG Evaluation and Safety Culture Assessment Tools

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 Programme (SSP) principles and requirements, facilitating their application across the international aviation community. In this document, the term “organisation” refers to an aviation service provider, operator, business, and company, as well as aviation industry organisations; 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 Bermuda Civil Aviation Authority (BCAA), 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 Union Aviation Safety Agency (EASA), the Dominican Republic Civil Aviation Institute (IDAC), the Finnish Transport and Communications Agency (Traficom), 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 Organisation (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 organisations such as ICAO and civil aviation authorities that have implemented or are implementing SMS and SSP

Please send any questions regarding this product to [smicg.share@gmail.com](mailto:smicg.share@gmail.com). For further information regarding the SM ICG or to download SM ICG products, please visit SKYbrary at[http://bit.ly/SM ICG](http://bit.ly/SMICG).

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# Introduction

Despite its integral role in the development and implementation of Safety Management Systems (SMS), the topic of safety culture has often been approached with a sense of ambiguity in the aviation industry. Many articles and guidance materials tend to portray safety culture as an abstract concept, shrouded in uncertainty. A key reason for this is that safety culture has not been assessed as thoroughly as other aspects of safety management, leading to its often abstract treatment in literature and practice.

In particular, the main challenge in addressing safety culture has been the subjective nature of measuring and evaluating its level within an organisation. This subjectivity has contributed to the difficulty in quantifying organisational maturity in terms of safety culture. Recognising this challenge, this guidance document provides clarity by mapping the connections between SMS components and desired safety behaviours thereby highlighting the intrinsic links between SMS evaluation tools and safety culture assessment tools.

By offering a more concrete framework for understanding, assessing, and enhancing safety culture within aviation industry organisations and service providers, this guidance document offers a fresh, positive approach to understanding and cultivating safety culture. By demystifying safety culture as an abstract ideal, it encourages readers to view safety culture as a practical, achievable, and essential aspect of aviation safety that can be cultivated and measured.

## Links Between SMS Evaluation and Safety Culture Aspects

The relationship between SMS maturity and safety culture maturity is crucial in ensuring a safe and secure working environment, as illustrated in Figure 1 below.

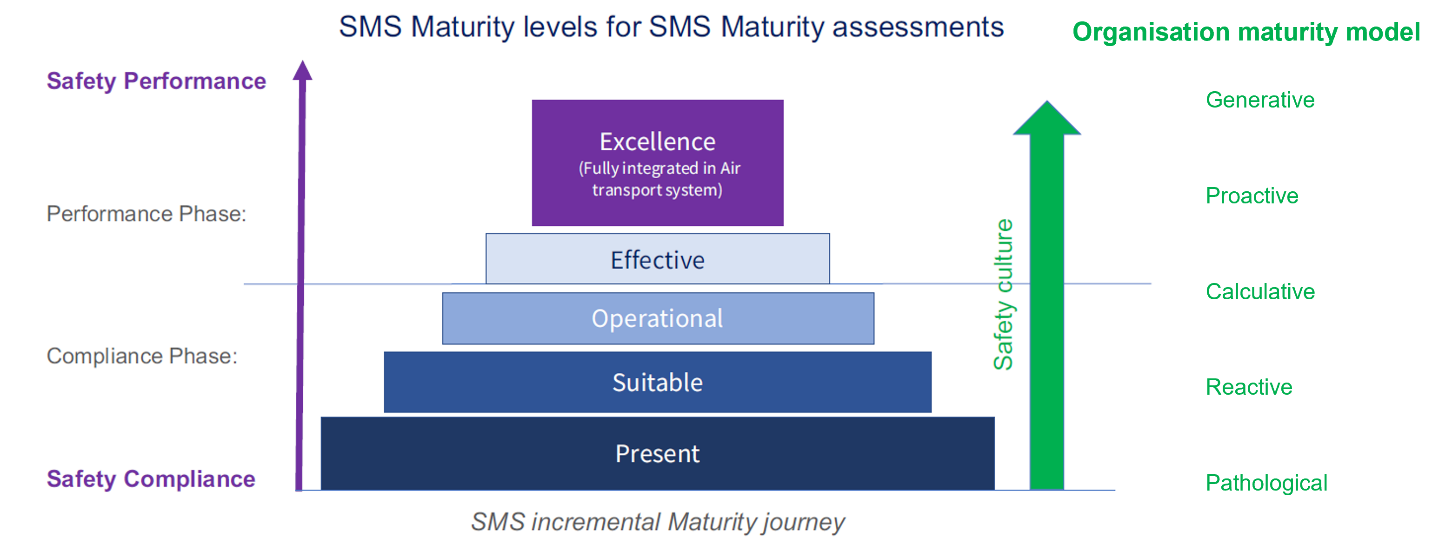


Figure 1. SMS Maturity Levels for SMS Maturity Assessments

SMS maturity refers to the level of development and effectiveness of the processes, procedures, and resources in place to manage safety within an organisation. This includes the four SMS components of Safety Policy and Objectives, Safety Risk Management (SRM), Safety Assurance, and Safety Promotion.

On the other hand, safety culture maturity refers to the shared values, beliefs, and attitudes regarding safety within an organisation. It encompasses the collective commitment to safety, open communication about safety concerns, and the willingness to report and learn from mistakes.

The two are closely related in that a mature safety culture is essential for driving excellence in the SMS. A strong safety culture fosters a proactive approach to safety, where employees are actively engaged in identifying and mitigating risks. This, in turn, supports the effective implementation of the SMS, as employees are more likely to adhere to safety protocols and procedures.

Furthermore, a mature safety culture promotes a continuous improvement mindset, encouraging employees to actively participate in the enhancement of safety processes and systems. This feedback loop contributes to the refinement and advancement of the SMS, leading to higher levels of safety performance and excellence.

## Challenges in Measuring Safety Culture

Measuring safety culture presents a unique set of challenges due to its inherently subjective nature. Unlike technical safety data such as operational occurrences and surveillance activities, which can be quantified and analysed with relative ease, safety culture revolves around human beliefs and behaviours that are difficult to objectively quantify. Safety culture may vary significantly across different national and social cultures, adding another layer of complexity to its assessment. Moreover, obtaining accurate data about employees' attitudes and perceptions towards safety requires sophisticated tools and methodologies that can effectively capture the nuanced aspects of human behaviour. This complexity is compounded by the fact that safety culture is not static; it evolves with organisational changes, leadership, and external influences. In addition, safety culture may also differ between different occupational groups within an organisation.

# Background and Purpose

## Establishing Links Between Statements from SM ICG SMS Evaluation Tool and Safety Culture Assessment Tools

Despite the challenges described above, establishing clear links between statements about safety culture in the [SM ICG SMS Evaluation Tool (SMSET)](https://skybrary.aero/articles/sm-icg-sms-evaluation-tool) and safety culture aspects (e.g., characteristics and safety culture indicators) in safety culture assessment tools can significantly enhance the evaluation of an organisation's safety culture. These links provide a structured framework for evaluating the extent to which each statement is fulfilled.

The SMSET is used for assessing an organisation’s SMS. It is based on a series of questions and uses the Present, Suitable, Operating, Effective (PSOE) audit methodology to assess the SMS in terms of compliance with the regulation and its performance to effectively manage safety risk. It was developed to enable a harmonised approach to SMS oversight globally, establishing an equivalent standard of SMS oversight internationally.

For this purpose, the Safety Management International Collaboration Group (SM ICG) developed this guidance document, *Link Between SM ICG SMS Evaluation and Safety Culture Assessment Tools*. The following three main references of safety culture assessment tools were used:

1. [*SM ICG Industry Safety Culture Evaluation Tool and Guidance (ISCETG)*](https://skybrary.aero/articles/industry-safety-culture-evaluation-tool-and-guidance) (refer to [**Annex A**](#_Annex_A:_Safety) for a summary of the characteristics and questions/indicators of the tool). This tool and guidance assists Authority inspectors in identifying cultural issues during oversight activities, supporting SMS assessments with a qualitative evaluation of organisational safety culture. It provides regulatory inspectors with a framework to recognise and assess safety culture maturity levels, while acknowledging potential perception differences between management and the workforce.
2. [*SM ICG Safety Culture for Effective Safety Management*](https://skybrary.aero/articles/safety-culture-effective-safety-management).This pamphlet discusses safety culture and its relationship to safety reporting, informed decision making, and organizational behaviors. It also describes safety culture "implementation," safety culture maturity, and assessing safety culture.
3. Safety culture aspects in [*APRAST21-WP-10 Agenda Item 4 Examples and Indicators of a Positive Safety Culture*](https://www.icao.int/APAC/Meetings/2024%20APRAST21/APRAST21-WP-10%20AI_4%20-%20(ACI_CANSO_FSF_IFALPA_IFATCA)%20final%20safety%20culture.pdf) by the Airports Council International (ACI), the Civil Air Navigation Services Organisation (CANSO), the Flight Safety Foundation (FSF), the International Federation of Air Line Pilots' Associations (IFALPA), and the International Federation of Air Traffic Controllers' Association (IFATCA) (refer to [**Annex B**](#_Annex_B:_Safety) for a summary of these safety culture aspects). This paper presents concrete examples and indicators of positive safety culture observed across various aviation sectors, aiming to promote runway safety through shared experiences. It seeks to foster a common understanding of safety culture, encourage cross-industry learning, and inspire senior leadership to demonstrate commitment towards an evolving safety culture and robust governance.

The characteristics of safety culture used in this document are taken from SM ICG reference item #2 above (*SM ICG Safety Culture for Effective Safety Management*). Figure 2 shows the six high level characteristics of safety culture depicted in that document.

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Figure 2. High Level Characteristics of Safety Culture

While the safety culture assessment tools used in this document are not exhaustive, they provide a comprehensive reference framework of indicators for describing safety cultural aspects which are mentioned in the SMSET.

By mapping qualitative statements to tangible, measurable aspects of safety culture, organisations can more effectively evaluate, understand, and improve their safety culture, ultimately leading to safer and more reliable operations. Overall, the relationship between the statements and the performance indicators facilitates a comprehensive and systematic evaluation of safety culture within the organisation, promoting a safer and more effective aviation system.

# Summary Description of Links Between Statements and Indicators

Statements/indicators from the [SMSET](https://skybrary.aero/articles/sm-icg-sms-evaluation-tool) regarding safety culture within an organisation are closely linked to certain characteristics and questions/safety culture indicators in the [ISCETG](https://skybrary.aero/articles/industry-safety-culture-evaluation-tool-and-guidance). These characteristics and questions/indicators serve as measurable criteria to evaluate and enhance the safety culture, in the following ways:

1. **Enhance Objectivity:** Connect subjective elements of safety culture with objective indicators, such as survey results and reported safety incidents, to provide a balanced evaluation.
2. **Identify Gaps:** Highlight areas where safety culture initiatives may be lacking, enabling targeted improvements.
3. **Measure Impact:** Assess the effectiveness of safety culture interventions by tracking changes in performance indicators over time.
4. **Drive Accountability:** Ensure that leadership and management are visibly and actively promoting a positive safety culture, as evidenced by specific actions and participation in safety activities.
5. **Promote Continuous Improvement:** Use data-driven insights to continuously refine and enhance safety culture practices.

# Mapping SMSET and ISCETG

This section contains two tables which map the statements/indicators from the SMSET to related questions/safety culture indicators in the ISCETG, and vice versa. Each table is preceded by an illustration of the mapping. Table 1 will be described and shown first and then Table 2 will follow.

## Table 1: Mapping SMSET to ISCETG

Table 1 maps the statements/indicators from the SMSET to related questions/safety culture indicators in the ISCETG, as illustrated in Figure 3.

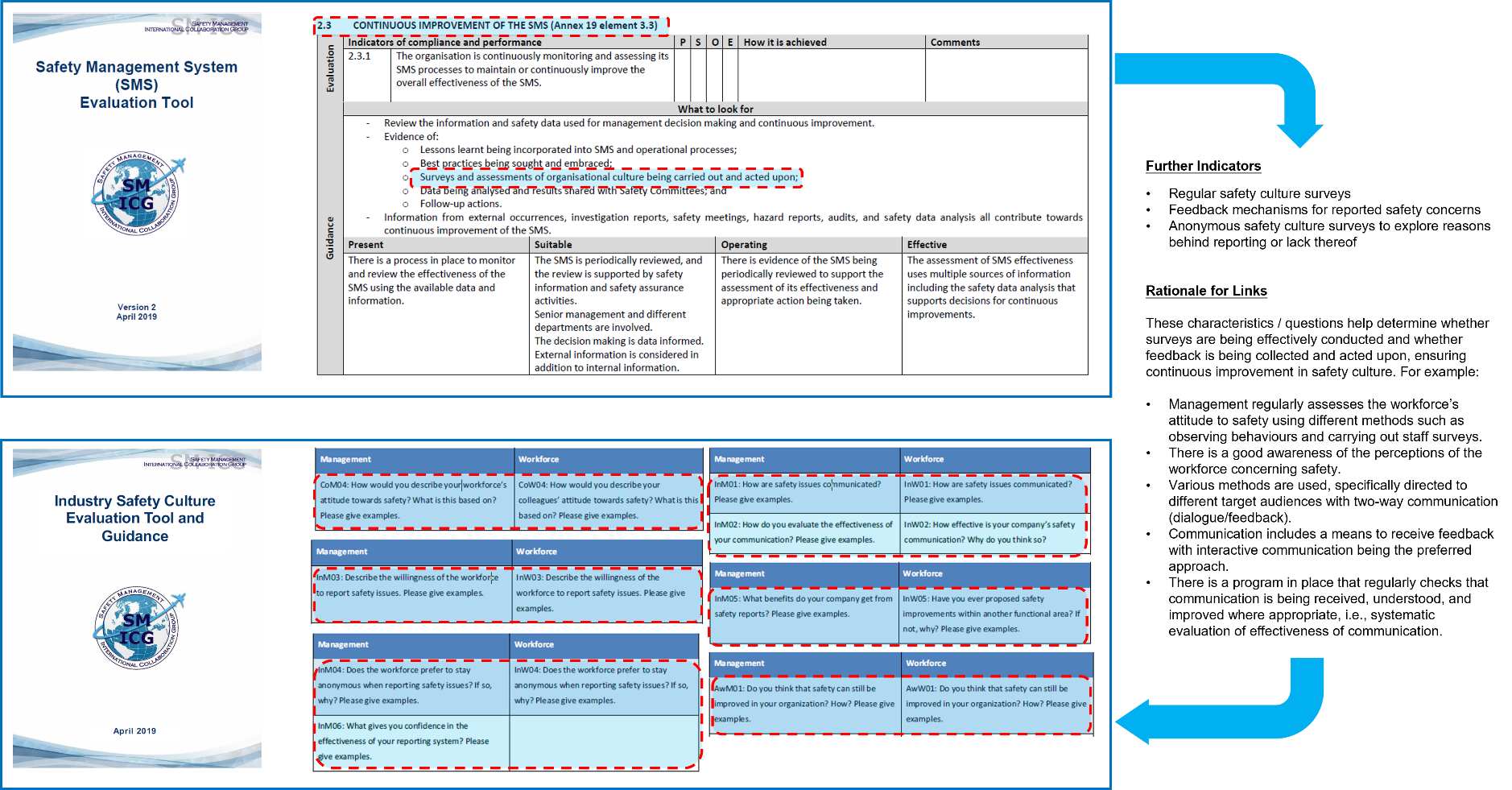


Figure 3. Illustrated Example of the Mapped Links in Table 1

A practical use case is when an SMS inspector may want to examine deeper into the safety culture aspects of a service provider when conducting an SMS assessment. Inspectors may use the first table to identify which desired behaviours and evidence to look out for during the assessment. Alternatively, if information from a prior safety culture assessment or survey conducted on the service provider is available, inspectors may refer to the information to supplement the evaluation as part of a desktop review. A more detailed version of this table can be found in [**Annex C**](#_Annex_C:_Using).

**Table 1. Mapping of SMSET Statements/Indicators to Relevant ISCETG Indicators/Questions**

| **Statement/Indicator and Location (by Element) in the SMSET** | **Characteristics and Safety Culture Indicators in the ISCETG** |
| --- | --- |
| **2.3 CONTINUOUS IMPROVEMENT OF THE SMS (Annex 19 element 3.3)** | |
| Surveys and assessments of organisational culture being carried out and acted upon | Commitment to Safety   * CoM04/CoW04: Workforce attitude towards safety   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   Awareness   * AwM01/AwW01: Safety improvement |
| **3.1 MANAGEMENT COMMITMENT (Annex 19 element 1.1)** | |
| Policy and Objectives  i. Safety objectives are defined that will lead to an improvement in processes, outcomes, and the development of a positive safety culture.  ii. A just culture policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a just culture  iii. The just culture policy and principles are understandable and clearly visible  iv. There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff and staff representatives  Promotion of Safety/Just Culture  v. Review how a positive safety and just culture are promoted  vi. The Accountable Executive and the senior management team promote a positive safety/just culture and demonstrate their commitment to the safety policy through active and visible participation in the safety management system  vii. All managers are familiar with the key elements of the safety policy  viii. Check that staff are aware of the just culture policy and principles  ix. Interview staff representatives to confirm that they agree with just culture policy and principles  x. Check how a positive safety culture is encouraged and impacts the overall effectiveness  Monitoring of Outcomes  xi. Feedback from safety surveys that include specific just culture aspects / feedback on just culture from staff safety culture surveys  xii. Evidence of when the just culture principles have been applied following an event / There is evidence of the just culture policy and supporting principles being applied and promoted to staff  xiii. The just culture policy is applied in a fair and consistent manner and staff trust the policy  xiv. Evidence of senior management participation in safety meetings, training, conferences, etc  xv. Evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual  xvi. Review how the organisation is monitoring reporting rates  xvii. Review the number of aviation safety reports appropriate to the activities  xviii. Safety reports include the reporter’s own errors and events they are involved in | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety [vi, vii, x, xiv] * CoM02/CoW02: Safety triggers [i, xiv, xvi] * CoM03/CoW03: Management assurance of safety [vi, vii, x, xiv * CoM04/CoW04: Workforce attitude towards safety [xi, xvii]   Justness   * JuM01/JuW01: Recognition of safe behaviour [ii, iii, iv, v, vi, xii, viii,] * JuM02/JuW02: Dealing with unsafe behavior [ii, iii, iv, v, vii, viii, x, xii, xv] * JuM03/JuW03: Safety investigations [i, ii, vii, viii, x, xii, xv] * JuM04/JuW04: Organizational contributing factors [i, ii, vii, viii, x, xii, xv]   Information   * InM01/InW01: Communicating safety issues [ii, viii, xi, xii, xvi] * InM02/InW02: Communication effectiveness [vii, xi, xvi] * InM03/InW03: Workforce reporting of safety issues [xi, xvi, xvii, xviii] * InM04/InW04: Anonymous reporting of safety issues [v, ix, x, xi, xiii, xvi, xvii, xviii]   Awareness   * AwM01/AwW01: Safety improvement [i, vi, vii, viii, x, xiv] * AwM02/AwW02: Being alerted of new safety issues [i, vi, vii, viii, x, xiv] * AwM03/AwW03: Personal safety commitment [vi, vii, viii, x, xiv] * AwM04/AwW04: Managing safety risks [vi, x, xiv]   Adaptability   * AdM01/AdW01: Workforce involvement [vi, x, xiv] * AdM02/AdW02: Deviation from procedures [i] * AdM03/AdW03: Effectiveness of safety improvements [vi, x, xiv, xvi]   Behaviour   * BeM02/BeW02: Dealing with unsafe operations [vi] * BeM03/BeW03: Support from colleagues [vii, viii, xii] |
| **3.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES (Annex 19 element 1.2)** | |
| i. The Accountable Executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation  ii. Look for evidence that Accountable Executive actions are consistent with the active promotion of a positive safety culture in the organisation | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety [i, ii] * CoM02/CoW02: Safety triggers [i, ii] * CoM03/CoW03: Management assurance of safety [i, ii]     Awareness   * AwM01/AwW01: Safety improvement [i, ii] * AwM02/AwW02: Being alerted of new safety issues [i, ii] * AwM03/AwW03: Personal safety commitment [i, ii] * AwM04/AwW04: Managing safety risks [i, ii]   Justness   * JuM02/JuW02: Dealing with unsafe behavior [i] * JuM03/JuW03: Safety investigations [i] * JuM04/JuW04: Organizational contributing factors [i]   Adaptability   * AdM01/AdW01: Workforce involvement [i, ii] * AdM03/AdW03: Effectiveness of safety improvements [i, ii] |
| **4.1 TRAINING AND EDUCATION (Annex 19 element 4.1)** | |
| Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error | Justness   * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment   Behaviour   * BeM03/BeW03: Support from colleagues |

## Table 2: Mapping ISCETG to SMSET

Conversely, SMSET results can be taken into account, in addition to interview results, when using the ISCETG. Table 2 maps questions/safety culture indicators in the ISCETG to related elements in the SMSET, as illustrated in Figure 4 on the following page.

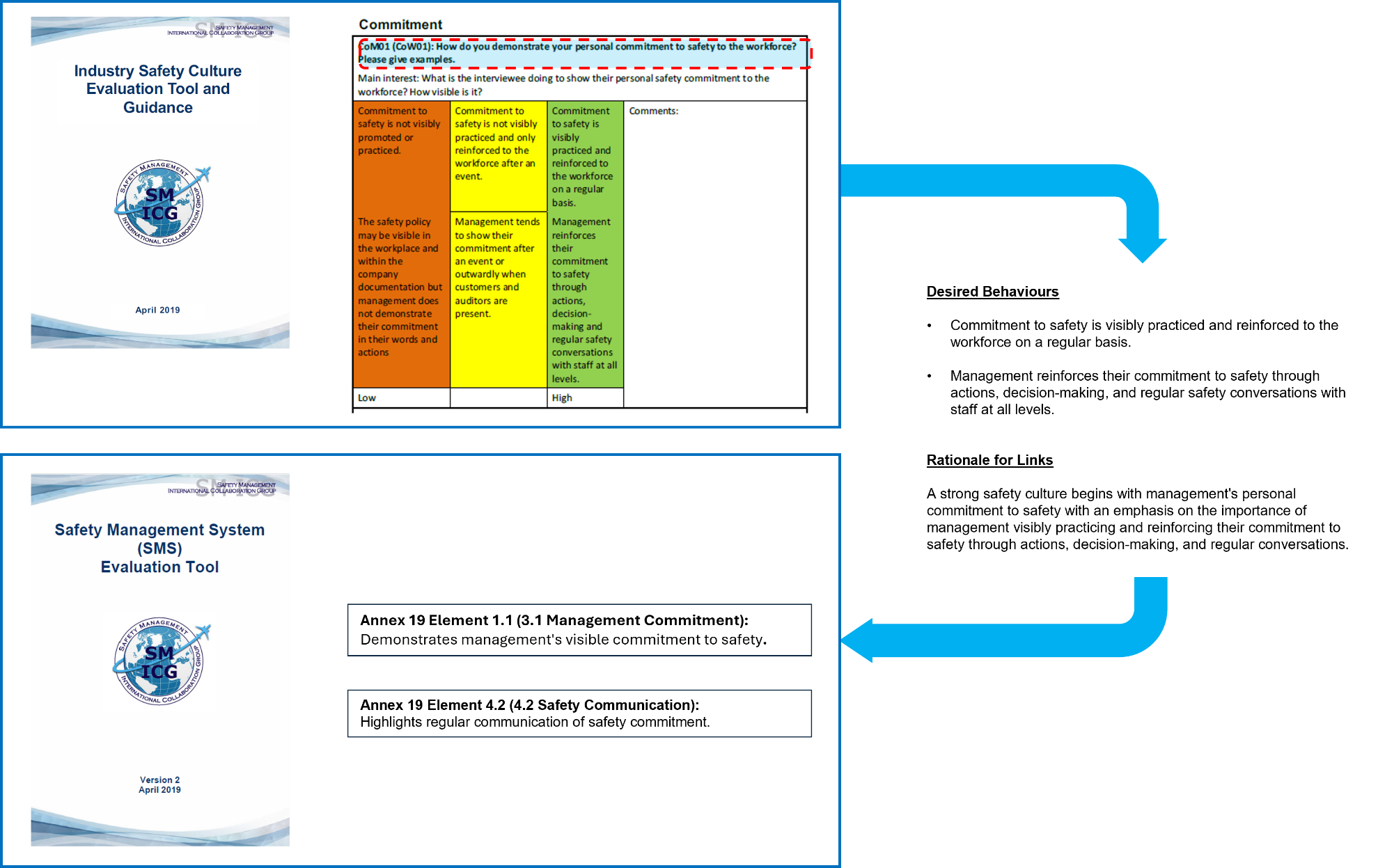


Figure 4. Illustrated Example of the Mappings in Table 2

A practical use case is when an SMS inspector, or a CAA officer or external consultant (the latter two may not have SMS expertise) is tasked to conduct a safety culture assessment/survey on a service provider. This type of activity typically does not examine the technical aspects of the service provider’s SMS or request for evidence of the implementation of the SMS, which may yield deeper insights into its organisational safety culture. The person conducting the survey may therefore use the second table to identify which are the related specific SMS aspects and approach the Safety Manager for more information or clarification on certain results of the safety culture assessment/survey. Alternatively, if information from a prior SMS assessment conducted on the service provider is available, the person conducting the survey may request the assessment results/information from the inspectorate to supplement the evaluation as part of a desktop review. A more detailed version of this table can be found in [**Annex D**](#_Annex_D:_Using).

**Table 2. Mapping of ISCETG Indicators/Questions to Relevant SMSET Statements/Indicators**

| **Questions in ISCETG** | **Statements/Indicators and Location in SMSET** |
| --- | --- |
| **Commitment to Safety** | |
| Management Commitment  CoM01/CoW01: Personal commitment to safety  (How do you / your management demonstrate personal commitment to safety to the workforce?)  CoM03/CoW03: Management assurance of safety  (What actions do managers of your company take to assure safety?)  Investment in Safety  CoM02/CoW02: Safety triggers  (What normally triggers action to improve safety?)  Personal Commitment  CoM04/CoW04: Workforce attitude towards safety  (How would you describe your colleagues’ attitude towards safety? What is this based on?)  Investment in Safety  CoM05/CoW05: Financing of safety  (What level of importance is given to financial planning for safety? What is your impression on availability of funds for safety?) | Annex 19 Element 1.1 (3.1 Management Commitment):   * Demonstrates management's visible commitment to safety. [CoM01/CoW01] * Direct involvement of management in safety assurance. [CoM03/CoW03]   Annex 19 Element 1.2 (3.2 Safety Accountability and Responsibilities):   * Covers triggers for safety actions and proactive management. [CoM02/CoW02]   Annex 19 Element 1.3 (3.3 Appointment of Key Personnel):   * Financial planning for safety and resource allocation. [CoM05/CoW05]   Annex 19 Element 1.5 (3.5 Safety Documentation):   * Evaluates workforce attitudes towards safety as part of culture assessments. [CoM04/CoW04]   Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement):   * Focuses on measuring the effectiveness of safety investments. [CoM05/CoW05]   Annex 19 Element 3.2 (2.2 The Management of Change):   * Focuses on initiating safety improvements. [CoM02/CoW02]   Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS):   * Reflects management's role in continuous safety improvement. [CoM03/CoW03]   Annex 19 Element 4.1 (4.1 Training and Education):   * Promotes safety awareness through education. [CoM04/CoW04]   Annex 19 Element 4.2 (4.2 Safety Communication):   * Highlights regular communication of safety commitment. [CoM01/CoW01] |
| **Justness** | |
| Perception of Evaluation  JuM01/JuW01: Recognition of safe behavior  (How does your company recognize safe behavior?)  Passing of Responsibility  JuM02/JuW02: Dealing with unsafe behaviour  (After incidents or accidents, how is unsafe behavior dealt with?)  JuM04/JuW04: Organizational contributing factors  (To what extent are organizational factors considered when investigating incidents or accidents?)  Evaluation of (Un)Safe Behaviour  JuM03/JuW03: Safety investigations  (What is the focus of your incident or accident investigations?) | Annex 19 Element 2.1 (2.1 Hazard Identification):   * Encourages open reporting of unsafe behaviors [JuM02/JuW02]   Annex 19 Element 2.2 (1.2 Safety Risk Assessment and Mitigation):   * Identifies systemic issues during investigations. [JuM04/JuW04]   Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement):   * Investigations focus on broader organizational factors. [JuM03/JuW03]   Annex 19 Element 3.2 (2.2 Management of Change):   * Covers fair treatment of unsafe behavior within just culture. [JuM02/JuW02]   Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS):   * Considers organizational factors in safety improvements. [JuM03/JuW03] * Systematic consideration of organizational factors. [JuM04/JuW04]   Annex 19 Element 4.1 (4.1 Training and Education):   * Emphasizes recognition and reinforcement of safe behavior. [JuM01/JuW01]   Annex 19 Element 4.2 (4.2 Safety Communication):   * Communicates and reinforces just culture principles. [JuM01/JuW01] |
| **Information** | |
| Communication of Safety-Related Information  InM01/LnW01: Communicating safety issues  (How are safety issues communicated?)  InM02/InW02: Communication effectiveness  (How do you evaluate the effectiveness of your communication? / How effective is your company’s safety communication? Why do you think so?)  Willingness to Report  InM03/InW03: Workforce reporting of safety issues  (Describe the willingness of the workforce to report safety issues)  Safety Reporting System  InM04/InW04: Anonymous reporting of safety issues  (Does the workforce prefer to stay anonymous when reporting safety issues?)  InM06/InW06: Confidence in reporting system  (What gives you confidence in the effectiveness of your reporting system?)  Consequences of Safety Reports  InM05/ InW05: Company benefits from safety reports / Safety improvements for other functional areas  (What benefits do your company get from safety reports? / Have you ever proposed safety improvements within another functional area?) | Annex 19 Element 1.5 (3.5 Safety Documentation):   * Measures how well communication efforts promote safety awareness. [InM02/InW02]   Annex 19 Element 2.1 (1.1 Hazard Identification):   * Encourages a culture of open reporting within the workforce. [InM03/InW03] * Highlights the role of anonymity in fostering a safe reporting environment. [InM04/InW04]   Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement):   * Monitors the impact of communicated safety issues. [InM01/LnW01] * Assesses the impact of anonymous reports on safety performance. [InM04/InW04] * Measures the benefits derived from safety reports. [InM05/ InW05] * Assesses confidence in the reporting system. [InM06/ InW06]   Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS):   * Uses reports to drive safety improvements. [InM05/ InW05]   Annex 19 Element 4.1 (4.1 Training and Education):   * Reinforces the importance of reporting through education. [InM03/InW03]   Annex 19 Element 4.2 (4.2 Safety Communication):   * Assesses the effectiveness of safety communication channels. [InM01/LnW01] * Evaluates the effectiveness of safety information dissemination. [InM02/InW02] * Ensures feedback from the reporting system is effectively communicated. [InM06/ InW06] |
| **Awareness** | |
| Attention to Safety  AwM01/AwW01: Safety improvement  (How aware are you of the risks associated with your job? / Do you think that safety can still be improved in your organization?)  AwM03/AwW03: Personal safety commitment  (What kind of attention is given to safety by management and staff? / How do you demonstrate your personal commitment to safety to your colleagues?)  Attitude towards Unknown Hazards  AwM02/AwW02: Being alerted of new safety issues  (How does management assess and address unknown hazards? / How do you normally become aware of new safety issues?)  Awareness of Job-Induced Risk  AwM04/AwW04: Managing safety risks  (How do you identify and manage safety risks resulting from your business decisions? / How do you identify and address safety risks you are faced with in your daily work?) | Annex 19 Element 1.1 (3.1 Management Commitment):   * Reflects management’s ongoing focus on safety. [AwM03/AwW03]   Annex 19 Element 1.4 (3.4 Coordination of Emergency Response Planning):   * Maintains attention to safety in emergencies. [AwM03/AwW03]   Annex 19 Element 2.1 (1.1 Hazard Identification):   * Focuses on awareness of job-related risks. [AwM01/AwW01] * Involves identifying risks from business decisions and daily work activities, ensures that all safety hazards are identified as part of business decision-making processes. [AwM04/AwW04]   Annex 19 Element 2.2 (1.2 Safety Risk Assessment and Mitigation):   * Addresses management’s role in identifying and mitigating unknown hazards. [AwM02/AwW02] * Covers the assessment and mitigation of identified safety risks, focuses on assessing and addressing identified risks proactively. [AwM04/AwW04]   Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement):   * Involves tracking the effectiveness of risk management actions. [AwM04/AwW04]   Annex 19 Element 3.2 (2.2 Management of Change):   * Ensures that changes in business decisions consider potential safety risks and that these risks are actively managed. [AwM04/AwW04]   Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS):   * Focuses on learning from new hazards. [AwM02/AwW02] * Highlights ongoing evaluation and improvement of risk management practices. [AwM04/AwW04]   Annex 19 Element 4.1 (4.1 Training and Education):   * Enhances awareness through training. [AwM01/AwW01] |
| **Adaptability** | |
| Employee Input  AdM01/AdW01: Workforce involvement  (How does your organization respond to safety occurrences? What is the contribution of the workforce in developing safety improvements?)  Proactiveness to Prevent Safety Occurrences  AdM02/AdW02: Deviation from procedures  (How proactive is your organization in preventing safety occurrences? / Has the workforce needed to deviate from procedures?)  Actions after Safety Occurrences  AdM03/AdW03: Effectiveness of safety improvements  (How is employee input considered when making safety decisions? How do you know whether risk controls and safety improvements that your company has implemented are effective?) | Annex 19 Element 2.3 (1.3 Continuous Improvement of the SMS):   * Emphasizes proactive prevention of safety issues. [AdM02/AdW02]   Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement):   * Continuously monitors safety performance. [AdM02/AdW02]   Annex 19 Element 3.2 (2.2 Management of Change):   * Shows how the organization adapts to safety occurrences. [AdM01/AdW01]   Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS):   * Evaluates and integrates employee input into decision-making. [AdM03/AdW03]   Annex 19 Element 4.1 (4.1 Training and Education):   * Prepares employees to adapt through training. [AdM01/AdW01]   Annex 19 Element 4.2 (4.2 Safety Communication):   * Communicates changes and decisions based on employee feedback. [AdM03/AdW03] |
| **Behaviour** | |
| Working Situation  BeM01/ BeW01: Deviation from procedures  (How do you handle unsafe practices? / Are there situations where the workforce deviates from procedures and are management aware of them?  Employee Behavior with Regard to Safety  BeM02/ BeW02: Dealing with unsafe operations  (What do you do when confronted with unsafe operations or activities?)  Mutual Expectations and Encouragement  BeM03/BeW03: Support from colleagues  (Describe the support you receive from colleagues when addressing safety issues) | Annex 19 Element 1.2 (3.2 Safety Accountability and Responsibilities):   * Highlights management’s role in maintaining safe operations. [BeM02/ BeW02]   Annex 19 Element 1.5 (3.5 Safety Documentation):   * Encourages collective responsibility for safety outcomes. [BeM03/BeW03]   Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement):   * Monitors adherence to safe practices. [BeM01/ BeW01]   Annex 19 Element 3.2 (2.2 Management of Change):   * Addresses unsafe operations through procedural changes. [BeM02/ BeW02]   Annex 19 Element 4.1 (4.1 Training and Education):   * Reinforces correct behaviors and addresses unsafe practices. [BeM01/ BeW01]   Annex 19 Element 4.2 (4.2 Safety Communication):   * Promotes peer support and collaboration in safety. [BeM03/BeW03] |

# Summary of Key Takeaways

The SMSET and ISCETG are complementary tools that, when used together, provide a comprehensive view of an organization's safety culture and SMS effectiveness. Mapping between these tools allows for a more nuanced understanding of how specific SMS elements relate to safety culture indicators. This integrated approach enables organizations to:

1. Identify gaps in their safety culture that may not be apparent from SMS assessments alone.
2. Understand how improvements in SMS can positively impact safety culture.
3. Target specific areas for improvement that will enhance both SMS performance and safety culture.

Regular use of both tools, with cross-referencing between them, can lead to more effective safety management and a stronger safety culture overall.

# Conclusion

The establishment of links between SMS evaluation and safety culture assessment tools represents a significant step forward in comprehensive safety management. By mapping the SMSET to the ISCETG and vice versa, this document provides a framework for organizations to gain deeper insights into their safety performance and culture.

This approach allows for:

1. A more holistic view of safety within the organization.
2. Identification of links between SMS Elements and cultural aspects of safety.
3. Targeted interventions that can improve both SMS effectiveness and safety culture concurrently.

As the aviation industry continues to evolve, the ability to assess and improve both the technical and cultural aspects of safety will be crucial. The methods outlined in this document offer a practical way to achieve this, enabling organizations to build more robust, effective, and culturally mature SMSs.

Moving forward, it is recommended that organizations regularly utilize both the SMSET and ISCETG, using the mappings provided, to gain a comprehensive understanding of their safety landscape. This integrated approach will support continuous improvement in safety management and foster a strong, positive safety culture across the aviation industry.

# Annex A: Safety Culture Aspects in [*ISCETG*](https://skybrary.aero/articles/industry-safety-culture-evaluation-tool-and-guidance)

The SM ICG document outlines six key characteristics used to measure safety culture, each further broken down into specific indicators. These indicators provide a detailed framework to assess and analyse the safety culture within organisations.

| **Characteristic** | **Description of Characteristic** | **Indicators** | **Questions** |
| --- | --- | --- | --- |
| Commitment to Safety | The extent to which every level of the organization has a positive attitude towards safety and recognizes its importance. Top management should demonstrate genuine commitment to maintaining a high level of safety and motivating employees to do the same. | * Management commitment * Personal commitment * Investment in safety | * CoM01/CoW01: Personal commitment to safety * CoM02/CoW02: Safety triggers * CoM03/CoW03: Management assurance of safety * CoM04/CoW04: Workforce attitude towards safety * CoM05: Financing of safety * CoW05: Dealing with unsafe operations or activities |
| Justness ("Just Culture") | The extent to which safe behavior and reporting of safety issues are encouraged or rewarded, and unsafe behavior is discouraged. | * Evaluation of (un)safe behavior * Perception of evaluation * Passing of responsibility | * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors |
| Information | The distribution of information to the right people within the organization. Work-related information must be communicated effectively to ensure safety. | * Communication of safety-related information * Safety reporting system * Willingness to report * Consequences of safety reports | * 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 |
| Awareness | The extent to which employees and management are aware of the risks for themselves and others implied by the organization’s operations. This involves maintaining a high degree of vigilance regarding safety issues. | * Awareness of job-induced risk * Attitude towards unknown hazards * Attention to safety | * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwM03: Personal safety commitment * AwM04/AwM04: Managing safety risks |
| Adaptability | The willingness of employees and management to learn from past experiences and take necessary actions to enhance the level of safety within the organization. | * Actions after safety occurrences * Proactiveness to prevent safety occurrences * Employee input | * AdM01/AdW01: Workforce involvement * AdM02/AdW02: Deviation from procedures * AdM03/AdW03: Effectiveness of safety improvements |
| Behavior with Respect to Safety | The extent to which every level of the organization behaves to maintain and improve the level of safety. This includes management recognizing the importance of safety and implementing necessary measures to uphold it. | * Working situation * Employee behavior with regard to safety * Mutual expectations and encouragement | * BeM01/BeW01: Unsafe behaviors * BeM02/BeW02: Dealing with unsafe operations * BeM03/BeW03: Support from colleagues |

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# Annex B: Safety Culture Aspects in [*APRAST21-WP-10 Agenda Item 4 Examples and Indicators of a Positive Safety Culture*](https://www.icao.int/APAC/Meetings/2024%20APRAST21/APRAST21-WP-10%20AI_4%20-%20(ACI_CANSO_FSF_IFALPA_IFATCA)%20final%20safety%20culture.pdf) Document by ACI, CANSO, FSF, IFALPA, and IFATCA

The indicators aim to provide a comprehensive framework to evaluate and enhance the safety culture within aviation organisations.

| **Aspects** | **Indicators** |
| --- | --- |
| Regulator-Level Just Culture Indicators | * Relationship with the judiciary to explain just culture * Collaboration between aviation industry stakeholders and the judiciary * Guidelines on dealing with media to protect identity and promote safety learning * Legislation protecting safety data and individuals involved in accidents * Training investigators in just culture principles |
| Corporate-Level Safety Culture Indicators | * Defined and published safety culture * Just culture policy * Regular safety culture surveys * Exploration of reasons behind staff reporting behaviors * Promotional materials for just culture and safety culture * Benchmarking and sharing activities with other safety stakeholders * Clear actions for at-risk and reckless behaviors * Training for managers on just culture and communication of safety |
| Managerial Indicators | * Leadership demonstrating SMS (Safety Management System) competency * Evidence of leadership commitment to safety * Senior management involvement in safety initiatives and promotions |
| Operational Staff-Level Just Culture Indicators | * Common understanding of just culture among staff * Frequent and anonymous reporting of safety occurrences and hazards * Training on safety culture principles and their application * Recognition of staff's role in safety * Adherence to written procedures unless safety necessitates deviation * Trust in management for safety reporting * Support from managers following safety occurrences * Comfort in discussing errors and mistakes for safety improvement * Protection from indirect punishment for raising safety concerns |
| Organized Labour/Labour Union-Level Just Culture Indicators | * Union involvement in just culture policy drafting * Union promotion of just culture * Union informed of outcomes of reviews of negligent actions |
| General Indicators | * Viable two-way communication channels for reporting and safety communication * Feedback mechanisms for reported safety concerns * Understanding contextual constraints and contributory factors behind violations * Viewing safety information as an opportunity for improvement, not retribution * Providing adequate training and resources for safe task execution * Recognizing staff for voluntary hazard reporting * Well-defined safety accountability and authority * Monitoring safety roles for turnover trends impacting safety performance |

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# Annex C: Using Results from the ISCETG to Supplement Results Obtained Using the SMSET

This table lists the SMSET statements/indicators in their sequence of appearance in various elements and breaks down each into further indicators, before identifying relevant ISCETG questions/safety culture indicators for each further indicator. The rationale for selecting these questions/safety culture indicators is then provided, along with examples of the desired behaviours associated with these questions/safety culture indicators. The desired behaviours are identified from the ‘Proactive’ (highest) Safety Culture Maturity Level[[1]](#footnote-1) for each safety culture indicator, as described in the ISCETG.

| **Statement/Indicator and Location (in sequence of appearance) in the SMSET** | **Further Indicators** | **Characteristics and Safety Culture Indicators in the ISCETG** | **Rationale for Links and Examples of Desired Behaviours** |
| --- | --- | --- | --- |
| **2.3 CONTINUOUS IMPROVEMENT OF THE SMS (Annex 19 Element 3.3)** | | | |
| Surveys and assessments of organisational culture being carried out and acted upon | * Regular safety culture surveys * Feedback mechanisms for reported safety concerns * Anonymous safety culture surveys to explore reasons behind reporting or lack thereof | Commitment to Safety   * CoM04/CoW04: Workforce attitude towards safety   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   Awareness   * AwM01/AwW01: Safety improvement | These characteristics / questions help determine whether surveys are being effectively conducted and whether feedback is being collected and acted upon, ensuring continuous improvement in safety culture. For example:   * Management regularly assesses the workforce’s attitude to safety using different methods such as observing behaviours and carrying out staff surveys. * There is a good awareness of the perceptions of the workforce concerning safety. * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. * There is a program in place that regularly checks that communication is being received, understood, and improved where appropriate, i.e., systematic evaluation of effectiveness of communication. |
| **3.1 MANAGEMENT COMMITMENT (Annex 19 Element 1.1)** | | | |
| Check how a positive safety culture is encouraged and impacts the overall effectiveness | * Evidence of leadership commitment to safety * Staff trust in management to report safety occurrences * Senior management involvement in safety initiatives and promotions * Training managers in just culture principles | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM03/CoW03: Management assurance of safety   Justness   * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Information   * InM04/InW04: Anonymous reporting of safety issues   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment * AwM04/AwW04: Managing safety risks   Adaptability   * AdM01/AdW01: Workforce involvement * AdM03/AdW03: Effectiveness of safety improvements | By assessing the commitment and proactive measures taken by leadership and management, the effectiveness of promoting a positive safety culture can be evaluated. For example:   * Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis; is included in the company policy and demonstrated to the workforce through actions, decision-making, and regular safety conversations with staff at all levels; is visibly demonstrated by operational decision-making that focuses on safety issues; and is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management. * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions; recognizes that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. * The workforce trusts the reporting system and are happy to report so that follow-up action can be taken and there is feedback; sees the benefit of reporting safety issues (even minor issues); and participates in safety committees. * Focus groups are initiated for safety improvement projects. * Processes are developed to continuously monitor and assess the effectiveness. * Safety risks controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, program reviews. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Management is proactively looking for emerging safety issues from internal and external sources; and is encouraging staff to raise issues. |
| The Accountable Executive and the senior management team promote a positive safety/just culture and demonstrate their commitment to the safety policy through active and visible participation in the safety management system | * Management commitment to safety * Evidence of leadership commitment to safety in communications and actions * Senior management's visible involvement in safety-related activities | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM03/CoW03: Management assurance of safety   Justness   * JuM01/JuW01: Recognition of safe behaviour   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment * AwM04: Managing safety risks   Behaviour   * BeM02/BeW02: Dealing with unsafe operations | Evidence of senior management’s active involvement in safety activities demonstrates their commitment to safety culture. For example:   * Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis; and is visibly demonstrated by operational decision-making that focuses on safety issues and during day-to-day activities * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions; and that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. * Management is proactively looking for emerging safety issues from internal and external sources; and is encouraging staff to raise issues. * The workforce is willing to raise safety concerns to their peers and management. |
| All managers are familiar with the key elements of the safety policy | * Training for managers on just culture and safety policy * Training all staff on safety culture principles, elements of a safety culture and its application | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM03/CoW03: Management assurance of safety   Justness   * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Information   * InM02/InW02: Communication effectiveness   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwW03/AwM03: Personal safety commitment   Behaviour   * BeM03/BeW03: Support from colleagues | Regular training ensures that all managers are knowledgeable about the safety policy, reinforcing its importance within the organisation. For example:   * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Safety can be improved, and management provides specific means to accomplish this. * Management is proactively looking for emerging safety issues from internal and external sources and is encouraging staff to raise issues. * Management encourages the workforce to raise safety issues as they know that action will be taken that will lead to safety improvements. * The workforce proactively looks for new and emerging safety issues and encourages each other to do so. * New safety issues are regularly shared, and staff are fully aware of current and emerging risks. * Management’s commitment to safety is visibly demonstrated during day-to-day activities by operational decision-making that focuses on safety issues. * The workforce is willing to raise safety concerns to their peers and management. * Support is easily obtained from and encouraged by colleagues when addressing safety issues. The person feels greatly supported since their colleagues and superiors are committed to safety too. |
| Evidence of senior management participation in safety meetings, training, conferences, etc. | * Evidence of leadership commitment to safety * Senior management's involvement in safety initiatives * Senior management participation in safety meetings and training | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM02/CoW02: Safety triggers * CoM03/CoW03: Management assurance of safety   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment * AwM04/AwW04: Managing safety risks   Adaptability   * AdM01/AdW01: Workforce involvement * AdM03/AdW03: Effectiveness of safety improvements | Participation in safety activities by senior management underscores their dedication to maintaining and improving safety culture. For example:   * Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis; is visibly demonstrated during day-to-day activities by operational decision-making that focuses on safety issues. * 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; and is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management. * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions; that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. * The workforce participates in safety committees; and focus groups are initiated for safety improvement projects. * Processes are developed to continuously monitor and assess the effectiveness; and safety risks controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, program reviews. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Management is proactively looking for emerging safety issues from internal and external sources; and is encouraging staff to raise issues. * The workforce is willing to raise safety concerns to their peers and management. * Action is taken from safety reports, audit observations, proactive observational surveys such as the Line Operations Safety Audit, risk assessments, trend monitoring of safety performance indicators, staff suggestion scheme. |
| Feedback from safety surveys that include specific just culture aspects | * Willingness of staff to report safety issues * Feedback mechanisms for reported safety concerns * Anonymous safety culture surveys exploring just culture aspects | Commitment to Safety   * CoM04/CoW04: Workforce attitude towards safety   Information   * InM01/InW01: Communicating safety issues * InM02/InW02: Communication effectiveness * InM03/InW03: Workforce reporting of safety issues * InM04/InW04: Anonymous reporting of safety issues | Collecting and acting on feedback from surveys, especially those focusing on just culture aspects, helps assess the organisation's responsiveness to safety concerns. For example:   * Management actively encourages staff to report safety issues. * The workforce trusts the reporting system and sees the benefit of reporting safety issues (even minor issues) they have personally been involved with so that follow-up action can be taken and there is feedback. * The workforce openly reports all safety issues, including potential safety issues and near misses, as well as errors and mistakes, regularly. * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. * There is a program in place that regularly and systematically checks that communication is effective, i.e., it is being received, understood, and improved where appropriate. * Management regularly assesses the workforce’s attitude to safety using different methods such as observing behaviours and carrying out staff surveys. * There is a good awareness of the perceptions of the workforce concerning safety. |
| Review how a positive safety and just culture are promoted | * Just culture policy and its communication * Staff trust in management to report safety occurrences * Guidelines on dealing with media and judicial collaboration to protect and promote safety learning | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior   Information   * InM04/InW04: Anonymous reporting of safety issues | Reviewing how the organisation promotes and supports a positive safety and just culture ensures alignment with the stated goals. For example:   * 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. * There is a company scheme in use where workers are recognized through a variety of means for demonstrating positive safety behaviours. * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * The workforce openly reports safety issues including errors and mistakes. * 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). |
| The Accountable Executive and the senior management team are promoting their commitment to the safety policy through active and visible participation in the safety management system | * Management commitment to safety * Evidence of leadership commitment to safety in communications and actions * Senior management involvement in safety initiatives | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM02/CoW02: Safety triggers * CoM03/CoW03: Management assurance of safety   Awareness   * AwM01/AwW01/: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment * AwM04/AwW04: Managing safety risks   Adaptability   * AdM01/AdW01: Workforce involvement * AdM03/AdW03: Effectiveness of safety improvements | Reviewing how the organisation promotes and supports a positive safety and just culture ensures alignment with the stated goals. For example:   * Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis; is visibly demonstrated during day-to-day activities by operational decision-making that focuses on safety issues. * 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. * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions; recognizes that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. * The workforce is willing to raise safety concerns to their peers and management. * The workforce participates in safety committees; focus groups are initiated for safety improvement projects. * Processes are developed to continuously monitor and assess the effectiveness. * Safety risks controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, program reviews. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Management is proactively looking for emerging safety issues from internal and external sources and encouraging staff to raise issues. * Action is taken from safety reports, audit observations, proactive observational surveys such as the Line Operations Safety Audit, risk assessments, trend monitoring of safety performance indicators, staff suggestion scheme. |
| A just culture policy and principles have been defined that clearly identifies acceptable and unacceptable behaviours to promote a just culture | * Defined just culture policy * Training on just culture principles * Clear actions for at-risk and reckless behaviors | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors | The existence and clear communication of just culture policies validate their implementation and adherence across the organization. For example:   * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * There is a clear understanding throughout the organization of what kinds of safety behaviours are encouraged. * Unsafe behaviour is dealt with in a fair and consistent manner to the same standards throughout the organisation. * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. |
| Evidence of when the just culture principles have been applied following an event | * Application of just culture in investigations * Managerial support for staff after incidents * Union involvement in promoting just culture | Justness   * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Behaviour   * BeM03/BeW03: Support from colleagues | Evidence of applying just culture principles following events confirms the organisation's commitment to fair and consistent safety practices. For example:   * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * Support is easily obtained from and encouraged by colleagues when addressing safety issues. * The person feels greatly supported since their colleagues and superiors are committed to safety too. |
| Evidence of interventions from safety investigations addressing organisational issues rather than focusing only on the individual | * Investigators trained in just culture principles * Investigation results focusing on organizational issues | Justness   * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors | Ensuring safety investigations address organisational issues rather than individual faults highlights a systemic approach to safety. For example:   * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. |
| Review how the organisation is monitoring reporting rates | * Safety reporting system and willingness to report * Mechanisms to provide feedback on safety concerns * Monitoring and benchmarking of reporting activities | Information   * InM01/InW01: Communicating safety issues * InM02/InW02: Communication effectiveness * InM03/InW03: Workforce reporting of safety issues * InM04/InW04: Anonymous reporting of safety issues   Commitment to Safety   * CoM02/CoW02: Safety triggers   Adaptability   * AdM03/AdW03: Effectiveness of safety improvements | Regularly monitoring and analysing reporting rates helps measure the effectiveness of the safety reporting system and encourages transparency. For example:   * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. * There is a program in place that regularly and systematically checks that communication is effective, i.e., it is being received, understood, and improved where appropriate. * Action is taken from safety reports, audit observations, proactive observational surveys such as the Line Operations Safety Audit, risk assessments, trend monitoring of safety performance indicators, staff suggestion scheme. * Processes are developed to continuously monitor and assess the effectiveness. |
| Review the number of aviation safety reports appropriate to the activities | * Safety reporting system and willingness to report. * Frequent and anonymous safety reporting | Information   * InM03/InW03: Workforce reporting of safety issues * InM04/InW04: Anonymous reporting of safety issues   Commitment to Safety   * CoM04/CoW04: Workforce attitude towards safety | Analysing safety reports for self-reported errors ensures an open and honest reporting culture within the organisation. For example:   * Management actively encourages staff to report safety issues. * The workforce trusts the reporting system and sees the benefit of reporting safety issues (even minor issues) they have personally been involved with so that follow-up action can be taken and there is feedback. * The workforce openly reports all safety issues, including potential safety issues and near misses, as well as errors and mistakes, regularly. * Management regularly assesses the workforce’s attitude to safety using different methods such as observing behaviours and carrying out staff surveys. * There is a good awareness of the perceptions of the workforce concerning safety. |
| Safety reports include the reporter’s own errors and events they are involved in | * Willingness of staff to report their own errors. * Non-mandatory reporting (errors and mistakes) * Staff encouraged to report errors | Information   * InM03/InW03: Workforce reporting of safety issues * InM04/InW04: Anonymous reporting of safety issues | Analysing safety reports for self-reported errors ensures an open and honest reporting culture within the organisation. For example:   * Management actively encourages staff to report safety issues. * The workforce trusts the reporting system and sees the benefit of reporting safety issues (even minor issues) they have personally been involved with so that follow-up action can be taken and there is feedback. * The workforce openly reports all safety issues, including potential safety issues and near misses, as well as errors and mistakes, regularly. |
| Feedback on just culture from staff safety culture surveys | * Feedback mechanisms for safety concerns * Safety culture surveys exploring just culture aspects | Information   * InM01/InW01: Communicating safety issues * InM02/InW02: Communication effectiveness * InM03/InW03: Workforce reporting of safety issues * InM04/InW04: Anonymous reporting of safety issues   Commitment to Safety   * CoM04/CoW04: Workforce attitude towards safety | Collecting specific feedback on just culture aspects from surveys helps assess the perception and effectiveness of just culture policies. For example:   * Management actively encourages staff to report safety issues. * The workforce trusts the reporting system and sees the benefit of reporting safety issues (even minor issues) they have personally been involved with so that follow-up action can be taken and there is feedback. * The workforce openly reports all safety issues, including potential safety issues and near misses, as well as errors and mistakes, regularly. * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. * There is a program in place that regularly and systematically checks that communication is effective, i.e., it is being received, understood, and improved where appropriate. * Management regularly assesses the workforce’s attitude to safety using different methods such as observing behaviours and carrying out staff surveys. * There is a good awareness of the perceptions of the workforce concerning safety. |
| Interview staff representatives to confirm that they agree with just culture policy and principles | * Staff trust in management to report safety issues * Union involvement in drafting just culture policies | Information   * InM04/InW04: Anonymous reporting of safety issues | Ensuring staff are aware of and understand just culture policies is crucial for their consistent application. For example:   * The workforce trusts the reporting system and sees the benefit of reporting safety issues (even minor issues) they have personally been involved with so that follow-up action can be taken and there is feedback. * The workforce openly reports all safety issues, including potential safety issues and near misses, as well as errors and mistakes, regularly. |
| Check that staff are aware of the just culture policy and principles | * Communication of just culture principles * Training all staff on safety and just culture principles | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Information   * InM01/InW01: Communicating safety issues   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment   Behaviour   * BeM03/BeW03: Support from colleagues | Ensuring staff are aware of and understand just culture policies is crucial for their consistent application. For example:   * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * Safety can be improved, and management provides specific means to accomplish this. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Management is proactively looking for emerging safety issues from internal and external sources and is encouraging staff to raise issues. * New safety issues are regularly shared, and staff are fully aware of current and emerging risks. * Management commitment is visibly demonstrated by operational decision-making that focuses on safety issues; and is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management. * Support is easily obtained from and encouraged by colleagues when addressing safety issues. The person feels greatly supported since their colleagues and superiors are committed to safety too. |
| A just culture policy and principles have been defined | * Defined just culture policy * Communication of just culture policy * Clear actions for at-risk and reckless behaviors | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Information   * InM01/InW01: Communicating safety issues | Clearly defined and communicated just culture policies help establish a shared understanding of acceptable and unacceptable behaviours. For example:   * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * Unsafe behaviour is dealt with in a fair and consistent manner to the same standards throughout the organisation. * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. |
| The just culture policy clearly identifies acceptable and unacceptable behaviours | * Defined just culture policy * Clear actions for at-risk and reckless behaviors | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors | Clearly defined and communicated just culture policies help establish a shared understanding of acceptable and unacceptable behaviours. For example:   * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * Unsafe behaviour is dealt with in a fair and consistent manner to the same standards throughout the organisation. * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. |
| The just culture policy and principles are understandable and clearly visible | * Communication of just culture principles * Guidelines on dealing with media to promote safety learning | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior   Information   * InM01/InW01: Communicating safety issues | Clearly defined and communicated just culture policies help establish a shared understanding of acceptable and unacceptable behaviours. For example:   * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. |
| There is evidence of the just culture policy and supporting principles being applied and promoted to staff | * Application of just culture in investigations * Managerial support for staff after incidents * Promotion of just culture principles | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Information   * InM01/InW01: Communicating safety issues   Behaviour   * BeM03/BeW03: Support from colleagues | Demonstrating the promotion and consistent application of just culture policies fosters trust and transparency. For example:   * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * Support is easily obtained from and encouraged by colleagues when addressing safety issues. The person feels greatly supported since their colleagues and superiors are committed to safety too. * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. |
| The just culture policy is applied in a fair and consistent manner and staff trust the policy | * Staff trust in management to report safety issues * Union involvement in promoting just culture | Information   * InM04/InW04: Anonymous reporting of safety issues | Consistent application of just culture policies ensures fairness and builds trust among staff. For example:   * The workforce trusts the reporting system and sees the benefit of reporting safety issues (even minor issues) they have personally been involved with so that follow-up action can be taken and there is feedback. * The workforce openly reports all safety issues, including potential safety issues and near misses, as well as errors and mistakes, regularly. |
| There is evidence that the line between acceptable and unacceptable behaviour has been determined in consultation with staff and staff representatives | * Defined just culture policy * Union involvement in drafting just culture policies | Justness   * JuM01/JuW01: Recognition of safe behavior * JuM02/JuW02: Dealing with unsafe behavior | Consulting staff on behaviour standards ensures the just culture policy is inclusive and fair. For example:   * The workforce is aware of the disciplinary policy and recognize it being applied consistently. * There is a clear understanding throughout the organisation of what kinds of safety behaviours are encouraged. * Unsafe behaviour is dealt with in a fair and consistent manner to the same standards throughout the organisation. |
| Safety objectives are defined that will lead to an improvement in processes, outcomes, and the development of a positive safety culture. | * Proactiveness to prevent safety occurrences * Actions taken after safety occurrences to improve future safety * Safety objectives linked to process improvements | Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues   Adaptability   * AdM02/AdW02: Deviation from procedures   Justness   * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Commitment to Safety   * CoM02/CoW02: Safety triggers | Defined safety objectives and continuous improvement actions demonstrate a proactive approach to enhancing safety culture. For example:   * Safety can be improved, and management provides specific means to accomplish this. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * The workforce is proactively looking for emerging safety issues from internal and external sources and is encouraging staff to raise issues. * Management encourages the workforce to raise safety issues as they know that action will be taken that will lead to safety improvements. * Management is proactively looking for emerging safety issues from internal and external sources. * Deviations are rare, but when deviations from procedures occur, they are raised and discussed with management; they are also investigated, and corrective actions are taken. * 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. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * Action is taken from safety reports, audit observations, proactive observational surveys such as the Line Operations Safety Audit, risk assessments, trend monitoring of safety performance indicators, staff suggestion scheme. |
| **3.2 SAFETY ACCOUNTABILITY AND RESPONSIBILITIES (Annex 19 Element 1.2)** | | | |
| The Accountable Executive is fully aware of their SMS roles and responsibilities in respect of the safety policy, safety standards, and safety culture of the organisation | * Management commitment to safety * Training for managers on safety policy * Senior management's visible involvement in safety-related activities | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM02/CoW02: Safety triggers * CoM03/CoW03: Management assurance of safety     Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment * AwM04/AwW04: Managing safety risks   Justness   * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Adaptability   * AdM01/AdW01: Workforce involvement * AdM03/AdW03: Effectiveness of safety improvements | Ensuring the Accountable Executive and senior management are aware of their SMS roles emphasizes the importance of their active participation. For example:   * Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis; is visibly demonstrated during day-to-day activities by operational decision-making that focuses on safety issues. * 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; and is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management. * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions; that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * The workforce participates in safety committees; focus groups are initiated for safety improvement projects. * Processes are developed to continuously monitor and assess the effectiveness. * Safety risks controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, program reviews. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Management is proactively looking for emerging safety issues from internal and external sources and encouraging staff to raise issues. * Action is taken from safety reports, audit observations, proactive observational surveys such as the Line Operations Safety Audit, risk assessments, trend monitoring of safety performance indicators, staff suggestion scheme. |
| Look for evidence that Accountable Executive actions are consistent with the active promotion of a positive safety culture in the organisation | * Evidence of leadership commitment to safety * Senior management's involvement in safety initiatives. * Promotion of safety culture principles by senior management | Commitment to Safety   * CoM01/CoW01: Personal commitment to safety * CoM02/CoW02: Safety triggers * CoM03/CoW03: Management assurance of safety   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment * AwM04/AwW04: Managing safety risks   Adaptability   * AdM01/AdW01: Workforce involvement * AdM03/AdW03: Effectiveness of safety improvements | Actions by the Accountable Executive consistent with safety culture promotion validate their commitment. For example:   * Management commitment to safety is visibly practiced and reinforced to the workforce on a regular basis; is visibly demonstrated during day-to-day activities by operational decision-making that focuses on safety issues. * 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; and is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management. * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions; that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. * The workforce participates in safety committees; and focus groups are initiated for safety improvement projects. * Processes are developed to continuously monitor and assess the effectiveness; and safety risks controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, program reviews. |
| **4.1 TRAINING AND EDUCATION (Annex 19 Element 4.1)** | | | |
| Training includes human and organisational factors including just culture and non-technical skills with the intent of reducing human error | * Training on just culture principles * Training for managers on just culture and safety policy * Training all staff on elements of a safety culture | Justness   * JuM02/JuW02: Dealing with unsafe behavior * JuM03/JuW03: Safety investigations * JuM04/JuW04: Organizational contributing factors   Awareness   * AwM01/AwW01: Safety improvement * AwM02/AwW02: Being alerted of new safety issues * AwM03/AwW03: Personal safety commitment   Behaviour   * BeM03/BeW03: Support from colleagues | Comprehensive training on human and organisational factors ensures a holistic approach to safety culture and error reduction. For example:   * Managers are trained in the practical application of the disciplinary policy. * Investigations are performed to identify root causes and make recommendations. * Organisational factors are systematically assessed during all investigations. * The organisation considers all potential causes of the incident or accident. Root cause is the main focus and the organisation searches for organisational factors that contributed to the event. * Safety can be improved, and management provides specific means to accomplish this. * The organisation is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. * Management is proactively looking for emerging safety issues from internal and external sources and is encouraging staff to raise issues. * New safety issues are regularly shared, and staff are fully aware of current and emerging risks. * Management commitment is visibly demonstrated by operational decision-making that focuses on safety issues; and is visibly demonstrated during day-to-day activities and the workforce is willing to raise safety concerns to their peers and management. * Support is easily obtained from and encouraged by colleagues when addressing safety issues. The person feels greatly supported since their colleagues and superiors are committed to safety too. |

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# Annex D: Using Results from the SMSET to Supplement Results Obtained Using the ISCETG

This table lists the ISCETG questions/safety culture indicators in sequence of appearance in their respective characteristics. Each question/ safety culture indicator is broken down into its associated desired behaviours, before identifying relevant SMSET statements/indicators and their respective elements. The rationale for selecting these statements/indicators is then provided.

| **Indicators/Questions in ISCETG** | **Desired Behaviours** | **Statements/Indicators and Location in SMSET** | **Rationale for Links** |
| --- | --- | --- | --- |
| **Commitment to Safety** | | | |
| Management Commitment   * 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? | * Commitment to safety is visibly practiced and reinforced to the workforce on a regular basis. * Management reinforces their commitment to safety through actions, decision-making and regular safety conversations with staff at all levels. | * Annex 19 Element 1.1 (3.1 Management Commitment): Demonstrates management's visible commitment to safety. * Annex 19 Element 4.2 (4.2 Safety Communication): Highlights regular communication of safety commitment. | A strong safety culture begins with management's personal commitment to safety, with an emphasis on the importance of management visibly practicing and reinforcing their commitment to safety through actions, decision-making, and regular conversations. |
| Investment in Safety   * CoM02 (CoW02): What normally triggers action to improve safety? | * Safety improvements are made proactively to manage all risks to an acceptable level. * Action is taken from:   + safety reports   + audit observations   + proactive observational surveys such as the Line Operation Safety Audit   + risk assessments   + trend monitoring of safety performance indicators (SPIs)   + staff suggestion scheme | * Annex 19 Element 1.2 (3.2 Safety Accountability and Responsibilities): Covers triggers for safety actions and proactive management. * Annex 19 Element 3.2 (2.2 Management of Change): Focuses on initiating safety improvements. | Triggers for safety actions can include incidents or proactive safety planning. Actions to improve safety should not be only reactionary but also proactive to prevent incidents. |
| Management Commitment   * CoM03: What actions do you, as a manager, take to assure safety? * CoW03: What do the managers of your company personally do to assure safety? | * Management recognizes their responsibilities for assuring safety, provides resources, and evaluates the safety implications of their decisions. | * Annex 19 Element 1.1 (3.1 Management Commitment): Direct involvement of management in safety assurance. * Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS): Reflects management's role in continuous safety improvement. | Management should be directly involved in assuring safety, through safety policies, procedures, and regular communication about safety expectations and performance. |
| Personal Commitment   * CoM04: What actions do you, as a manager, take to assure safety? What is this based on? * CoW04: How would you describe your colleagues’ attitude towards safety? What is this based on? | * Management is fully aware of the attitude of the workforce concerning safety. * Management regularly assesses the workforce’s attitude to safety using different methods such as observing behaviors and carrying out staff surveys. | * Annex 19 Element 1.5 (3.5 Safety Promotion): Evaluates workforce attitudes towards safety as part of culture assessments. * Annex 19 Element 4.1 (4.1 Training and Education): Promotes safety awareness through education. | The workforce's attitude towards safety is an indicator of the organisation's safety culture maturity, showing how safety is perceived and acted upon within the company. |
| Investment in Safety   * CoM05: What level of importance is given to financial planning for safety? * CoW05: What is your impression on availability of funds for safety? | * There is financial planning for safety-related activities in order to mitigate risks. * There is budget made available for safety activities including safety improvements, training, and safety promotion. | * Annex 19 Element 1.3 (3.3 Appointment of Key Personnel): Financial planning for safety and resource allocation. * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Focuses on measuring the effectiveness of safety investments. | Financial planning for safety reflects the organisation's commitment, and safety investments should be prioritized over other business objectives. |
| **Justness** | | | |
| Perception of Evaluation   * JuM01: How does your company recognize safe behavior? * JuW01: How does your company recognize safe behavior? | * Safe behavior is consistently rewarded and publicly recognized. * 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. | * Annex 19 Element 4.1 (4.1 Training and Education): Emphasizes recognition and reinforcement of safe behavior. * Annex 19 Element 4.2 (4.2 Safety Communication): Communicates and reinforces just culture principles. | Safe behaviour recognition is emphasized, where consistent and fair treatment of both safe and unsafe behaviours is critical to maintaining a positive safety culture. |
| Passing of Responsibility   * JuM02: After incidents or accidents, how is unsafe behavior dealt with? * JuW02: After incidents or accidents, how is unsafe behavior dealt with? | * Unsafe behavior is dealt with in a fair and consistent manner to the same standards throughout the organization. * 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 | * Annex 19 Element 3.2 (2.2 Management of Change): Covers fair treatment of unsafe behavior within just culture. * Annex 19 Element 2.1 (1.1 Hazard Identification): Encourages open reporting of unsafe behaviors | Dealing with unsafe behaviour should differentiate between errors and reckless actions, promoting a culture that learns from mistakes rather than punishing them unjustly. |
| Evaluation of (Un)Safe Behaviour   * JuM03: What is the focus of your incident or accident investigations? * JuW03: What is the focus of incident or accident investigations? | * Investigations are performed to identify root causes and make recommendations. | * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Investigations focus on broader organizational factors. * Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS): Considers organizational factors in safety improvements. | The focus of incident investigations should include organisational factors and not just individual errors, reflecting a deeper understanding of system-level causes. |
| Passing of Responsibility   * JuM04: To what extent are organizational factors considered when investigating incidents or accidents? * JuW04: To what extent are organizational factors considered when investigating incidents or accidents? | * Organizational factors are systematically assessed during all investigations. * 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. | * Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS): Systematic consideration of organizational factors. * Annex 19 Element 2.2 (1.2 Safety Risk Assessment and Mitigation): Identifies systemic issues during investigations. | Organisational factors in incident investigations are recognized as crucial for understanding broader systemic issues that contribute to unsafe conditions. |
| **Information** | | | |
| Communication of Safety-Related Information   * InM01: How are safety issues communicated? * InW01: How are safety issues communicated? | * Various methods are used, specifically directed to different target audiences with two-way communication (dialogue/feedback). * Communication includes a means to receive feedback with interactive communication being the preferred approach. | * Annex 19 Element 4.2 (4.2 Safety Communication): Assesses the effectiveness of safety communication channels. * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Monitors the impact of communicated safety issues. | Communicating safety issues involves using various communication channels effectively and ensuring that all relevant safety information reaches the appropriate personnel. |
| Communication of Safety-Related Information   * InM02: How do you evaluate the effectiveness of your communication? * InW02: How effective is your company’s safety communication? Why do you think so? | * Systematic evaluation of effectiveness. * There is a program in place that regularly checks that communication is being received, understood, and improved where appropriate. | * Annex 19 Element 4.2 (4.2 Safety Communication): Evaluates the effectiveness of safety information dissemination. * Annex 19 Element 1.5 (3.5 Safety Promotion): Measures how well communication efforts promote safety awareness. | Evaluating the effectiveness of safety communication includes assessing whether the communicated information is understood and utilized properly. |
| Willingness to Report   * InM03: Describe the willingness of the workforce to report safety issues. * InW03: Describe the willingness of the workforce to report safety issues. | * Potential safety issues and near misses are reported. * All safety issues are reported regularly as a result of a strong safety culture. * Management actively encourages the workforce to report safety issues. | * Annex 19 Element 2.1 (1.1 Hazard Identification): Encourages a culture of open reporting within the workforce. * Annex 19 Element 4.1 (4.1 Training and Education): Reinforces the importance of reporting through education. | Willingness to report safety issues is influenced by the perceived effectiveness and confidentiality of the reporting system, as well as organisational encouragement. |
| Safety Reporting System   * InM04: Does the workforce prefer to stay anonymous when reporting safety issues? If so, why? * InW04: Does the workforce prefer to stay anonymous when reporting safety issues? If so, why? | * The workforce openly reports safety issues including errors and mistakes. * 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. | * Annex 19 Element 2.1 (1.1 Hazard Identification): Highlights the role of anonymity in fostering a safe reporting environment. * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Assesses the impact of anonymous reports on safety performance. | Anonymous reporting is encouraged in certain contexts to protect reporters and foster a safer reporting environment, especially when confidentiality is critical. |
| Consequences of Safety Reports   * InM05: What benefits do your company get from safety reports? * InW05: Have you ever proposed safety improvements within another functional area? If not, why? | * Safety reports help to identify potential risks and opportunities for continuous improvement. * Safety reports are used to suggest safety improvements. | * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Measures the benefits derived from safety reports. * Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS): Uses reports to drive safety improvements. | Benefits from safety reports include improvements in operational safety and identification of previously unknown risks. The organisation must demonstrate how it uses reports to enhance safety practices. |
| Safety Reporting System   * InM06/InW06: What gives you confidence in the effectiveness of your reporting system? | * There is confidence in the reporting system as it provides useful information including details of errors and near misses. | * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Assesses confidence in the reporting system. * Annex 19 Element 4.2 (4.2 Safety Communication): Ensures feedback from the reporting system is effectively communicated. | Confidence in the reporting system stems from clear feedback mechanisms, timely responses to reports, and actions taken to address reported issues. |
| **Awareness** | | | |
| Attention to Safety   * AwM01: How aware are you of the risks associated with your job? * AwW01: Do you think that safety can still be improved in your organization? How? | * Safety can be improved and management provides specific means to accomplish this. * The organization is continuously reviewing its safety performance and monitoring and managing its risks. Safety improvement plans are regularly reviewed and updated. | * Annex 19 Element 2.1 (1.1 Hazard Identification): Focuses on awareness of job-related risks. * Annex 19 Element 4.1 (4.1 Training and Education): Enhances awareness through training. | Awareness of risks associated with job roles, and continuous vigilance towards new and existing hazards, are critical for maintaining safety. |
| Attitude towards Unknown Hazards   * AwM02: How does management assess and address unknown hazards? * AwW02: How do you normally become aware of new safety issues? | * Management is proactively looking for emerging safety issues and encouraging staff to raise issues. * 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. | * Annex 19 Element 2.2 (1.2 Safety Risk Assessment and Mitigation): Addresses management's role in identifying and mitigating unknown hazards. * Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS): Focuses on learning from new hazards. | Management’s role in identifying and addressing unknown hazards, especially focusing on ongoing risk assessments, reflects a proactive approach to safety management. |
| Attention to Safety   * AwM03: What kind of attention is given to safety by management and staff? * AwW03: How do you demonstrate your personal commitment to safety to your colleagues? | * Their commitment to safety is visibly demonstrated by operational decision-making that focuses on safety issues. * 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. | * Annex 19 Element 1.4 (3.4 Coordination of Emergency Response Planning): Maintains attention to safety in emergencies. * Annex 19 Element 1.1 (3.1 Management Commitment): Reflects management’s ongoing focus on safety. | The importance of attention to safety and maintaining high safety standards even in the absence of incidents is stressed to prevent complacency. |
| Awareness of Job-Induced Risk   * AwM04: How do you identify and manage safety risks resulting from your business decisions? * AwW04: How do you identify and address safety risks you are faced with in your daily work? | * Management recognizes that their decisions may have an impact on safety and as a result, decisions are always assessed for the effect on safety. | * Annex 19 Element 2.1 (1.1 Hazard Identification): Involves identifying risks from business decisions and daily work activities, ensures that all safety hazards are identified as part of business decision-making processes. * Annex 19 Element 2.2 (1.2 Safety Risk Assessment and Mitigation): Covers the assessment and mitigation of identified safety risks, focuses on assessing and addressing identified risks proactively. * Annex 19 Element 3.1 (1.1 Safety Performance Monitoring and Measurement): Involves tracking the effectiveness of risk management actions. * Annex 19 Element 3.2 (1.2 Management of Change): Ensures that changes in business decisions consider potential safety risks and that these risks are actively managed. * Annex 19 Element 3.3 (1.3 Continuous Improvement of the SMS): Highlights ongoing evaluation and improvement of risk management practices. | The identification, assessment, mitigation, monitoring, management, and continuous improvement of safety risks arising from business decisions and daily work activities, ensures a comprehensive and proactive safety management approach. |
| **Adaptability** | | | |
| Employee Input   * AdM01: How does your organization respond to safety occurrences? * AdW01: What is the contribution of the workforce in developing safety improvements? | * Input from the workforce is requested for the development of safety improvements. * The workforce participates in safety committees. Focus groups are initiated for safety improvement projects. | * Annex 19 Element 3.2 (1.2 Management of Change): Shows how the organization adapts to safety occurrences. * Annex 19 Element 4.1 (4.1 Training and Education): Prepares employees to adapt through training. | Adaptability is demonstrated through the workforce's involvement in safety improvement initiatives, indicating a collaborative safety culture. |
| Proactiveness to Prevent Safety Occurrences   * AdM02: How proactive is your organization in preventing safety occurrences? * AdW02: Has the workforce needed to deviate from procedures? | * When deviation from procedures occurs, it is investigated and corrective action taken. * 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. | * Annex 19 Element 2.3 (1.3 Continuous Improvement of the SMS): Emphasizes proactive prevention of safety issues. * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Continuously monitors safety performance. | The proactive prevention of safety occurrences highlights the need for continuous improvement and learning from past experiences to mitigate risks. |
| Actions after Safety Occurrences   * AdM03: How is employee input considered when making safety decisions? * AdW03: How do you know whether risk controls and safety improvements that your company has implemented are effective? | * Processes are developed to continuously monitor and assess the effectiveness. * Safety risk controls and safety improvements are continuously assessed for effectiveness. This includes regular audits, team meetings, and program reviews. | * Annex 19 Element 3.3 (2.3 Continuous Improvement of the SMS): Evaluates and integrates employee input into decision-making. * Annex 19 Element 4.2 (4.2 Safety Communication): Communicates changes and decisions based on employee feedback. | Evaluating the effectiveness of implemented safety controls ensures that safety measures remain relevant and functional over time. |
| **Behaviour** | | | |
| Working Situation   * BeM01: How do you handle unsafe practices? * BeW01: Are there situations where the workforce deviates from procedures and are management aware of them? | * Management looks for deviations and take action to address the root cause to prevent reoccurrence. * The workforce is encouraged to report deviations and suggest improvements. | * Annex 19 Element 4.1 (4.1 Training and Education): Reinforces correct behaviors and addresses unsafe practices. * Annex 19 Element 3.1 (2.1 Safety Performance Monitoring and Measurement): Monitors adherence to safe practices. | Management awareness of procedural deviations and their response reflects the organisation's commitment to enforcing safety procedures. |
| Employee Behavior with Regard to Safety   * BeM02: What do you do when confronted with unsafe operations or activities? * BeW02: What do you do when you are confronted with unsafe operations or activities? | * Unsafe practices are stopped immediately, since management does not accept any unsafe practices. * All staff are empowered to stop work and report unsafe practices. * Management takes immediate action to correct an unsafe condition regardless of task urgency. | * Annex 19 Element 1.2 (3.2 Safety Accountability and Responsibilities): Highlights management’s role in maintaining safe operations. * Annex 19 Element 3.2 (2.2 Management of Change): Addresses unsafe operations through procedural changes. | Addressing unsafe practices promptly and effectively shows the organisation’s stance on maintaining high safety standards. |
| Mutual Expectations and Encouragement   * BeM03: Describe the support you receive from colleagues when addressing safety issues. * BeW03: Describe the support you receive from colleagues when addressing safety issues. | * Support is easily obtained from and encouraged by colleagues when addressing safety issues. * The person feels greatly supported since their colleagues and superiors are committed to safety too. | * Annex 19 Element 4.2 (4.2 Safety Communication): Promotes peer support and collaboration in safety. * Annex 19 Element 1.5 (3.5 Safety Promotion): Encourages collective responsibility for safety outcomes. | Support from colleagues in addressing safety issues is crucial for fostering a collaborative and supportive safety culture where everyone feels responsible for safety outcomes. |

1. For the qualitative evaluation of an organisation’s safety culture, the three intermediate safety culture maturity levels of Hudson’s safety scale are used: Reactive, Calculative, and Proactive. These are in increasing order of commitment, adaptability, awareness, level of information, justness, and maturity of behaviour. [↑](#footnote-ref-1)