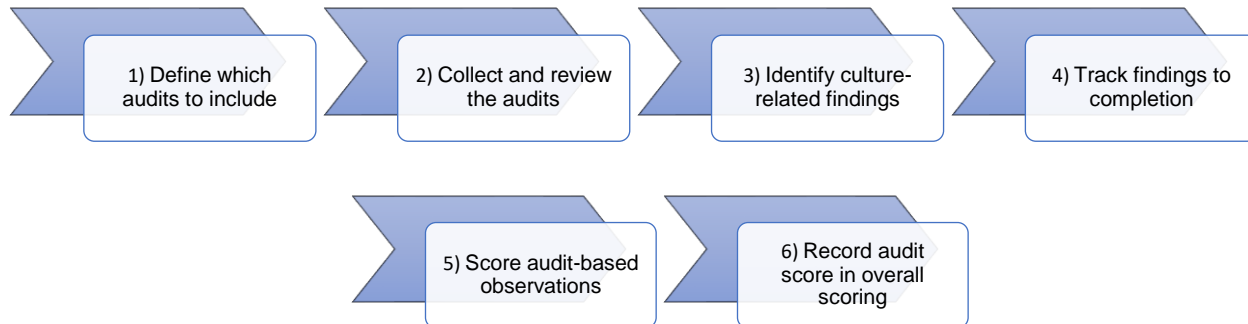


# Job Aid – SEMS Audit Reviews

## Purpose

- Audit reports can provide insight into the safety culture of the organization/facility

## Workflow



## Audit Inclusion, Collection, and Review

- The culture assessment team should review audits from all available sources, including Regulatory audits, Internal corporate audits, Facility site-driven audits, and Industry benchmarking audits
- The number of audits used in the culture assessment would depend on how many audits are available and the time available to the assessment team
- Audits completed within 12 months should be in scope; significant audits can be 12-36 months old, a maximum of 4
- The facility to provide the selected audits to the assessment team, ideally several weeks prior to the onsite assessment

## Identify Culture-Related Findings

- It is the responsibility of the assessor to determine from the full context of any finding(s) if a significant safety culture factor is included in the finding(s)
- Identified findings should be recorded
- The assessor can provide comments on any cultural issues identified that are clear for future reference. This item will then be assigned an attribute that is most closely aligned with the finding

## Tracking Findings to Completion

- An organization's response to recommendations is telling of its safety culture. The organization/facility should have a work process to track completion recommendations. The process should include a method of extending due dates
- Evaluation of audit recommendation completion should consider if recommendations were clear and traceable, existing procedure for handling recommendations, realistic completion date, a person assigned responsibility, the resolution includes management review and endorsement, action tracking tool in place which includes resolution work description, independent verification, the process to communicate action status to managers
- Assessors should review a sample of recommendation completions depending on team size and time, ~10 per audit

## Audit Review Spreadsheet/Scoring

- A spreadsheet has been developed to aid the assessor in the review. The spreadsheet contains typical questions when reviewing previous audit results. Some or all the questions in the spreadsheet can be used and tailored to the organization. The file's name is "NAS Safety Culture Toolkit - SEMS-Auditing spreadsheet – FINAL.xlsx"
- The spreadsheet automatically generates a score. A traffic light grading system allows easy visualization of the results and a percentage score. Where >85% (Green) – most items appear to be in good practice; 70% - 85% (Yellow) - some items appear to be in good practice, or 70% - (Red) opportunities for improvement have been identified