The ABC’s of Safety Management Systems – A Simplified Approach

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Outline

The Systems Approach
Brief description of SMS – why and what
SMS Standards and SMS Elements
Making a good SMS
Safety Key Words from Alphabet Letters
Management System Integration
The Systems Approach

- A System is seen as a set of inter-related and interacting Processes

- A Process has an Input and an Output
Safety Management Systems

• Conform to AS/NZS 4801:2001 or OHSAS 18001:2007

• A tool to assist in demonstrating due diligence but not a magic bullet

• Follows Plan-Do-Check-Act (PDCA) for continual improvement

• Allows consistency of approach to safety; continuity over time and organisational change and certainty for users
System Model
(after AS 4801; similar for OHSAS 18001)

Continual improvement

Figure 1 OHS Management System Model
The PDCA Cycle

ACT
PLAN
CHECK
DO
PDCA Processes (after OHSAS 18001)

**PLAN:** Establish the objectives and processes necessary to deliver results in accordance with the organisation’s OH&S Policy

**DO:** Implement the processes

**CHECK:** Monitor and measure processes against OH&S Policy, objectives, legal and other requirements, and *report* the results

**ACT:** Take actions to continually improve OH&S performance
PLAN - Safety Planning Processes

- Top management commitment to begin with
- Safety Policy encapsulates the commitment
- Identification of Hazards, Risk Assessment and Controls needed (planning)
- Legal and Other Requirements
- Objectives and Targets
- OHS Management Plans (to achieve the objectives and meet legal obligations)
- Documentation, Document and Records Control
- Emergency Preparedness and Response Plans
DO - Implementation

- Structure, Responsibility and provision of Resources
- Training and Competency
- Consultation
- Communication about the system internally
- Reporting OHS performance internally and externally, as required
Implementation cont.

- **Hazard identification, Risk assessment** and **Control of risks** (practical, operational controls);
- **Evaluation** of this process
- **Testing** Emergency Preparedness and Response
- **Responding** to Incidents and Emergencies
- Documentation and Document Control
CHECK - Measurement and evaluation

- Monitoring and Measurement of key safety parameters (including Health surveillance)
- Incident Investigation, Corrective and Preventive Action, and evaluating the effectiveness of actions
- Recording and Reporting of the results
- OHSMS Audits of the system to verify that the system is effectively operating to plan
ACT – For Improvement

- **Implementing Corrective/Preventive** or improvement actions
- **Evaluation** of the effectiveness of the actions
- **Management Review** which can lead to updating policy, objectives, resource and training needs, and determination of improvement to the system
Further Reasons for having an SMS

- Expectation from interested parties
- Duty of care and moral responsibility
- Compliance with legal requirements
- Risk management
- Prevention or reduction of impact of accidents (including costs)
- Long term survival of the organisation
- Reduce compensation insurance premiums
Hints and Tips for an SMS

- Most systems are too voluminous and complex with their documentation – so go back to basics and use a simple approach to start with ("Occam’s Razor")
- Pictures and diagrams generally convey much more meaning than masses of words ("A picture is worth a thousand words")
- Be sparing with your objectives – don’t try and bite off too much at once
- Involve your employees in its creation, so that it becomes “our system”, and not something provided by an outside agent
Deepwater Horizon April 2010

- This was a result of a focus on personnel safety, not Process Safety
A Safety Alphabet

To help with your management of safety, I have created a Safety Alphabet where each letter is matched with one or more safety-related elements.
A stands for:

- ATTITUDE
- AWARENESS
- ACCEPTANCE
- ALIGNMENT
- ACTIONS
B stands for:

- BEHAVIOUR
- BELIEF SYSTEMS
C stands for:

- **CULTURE**
- **Commitment**
- **COMMUNICATION**
- **COMPREHENSION**
- **COMPETENCE**
- **COMPLIANCE**
- **COLLABRATION**
- **COOPERATION**
Further Vowels

While on the subject of appropriate alphabetical letters, we can bring in the rest of the vowels!

- Expections; Employee; Emergency; Ergonomics
- Implementation; Identification; Incident; Investigation; Instruction; Improvement
- Obligations; Observations; “Occam’s Razor”
- Understanding
The rest of the alphabet

- **F**itness for work
- **G**eneric processes
- **H**azards, **H**ealth
- **J**ustification of actions
- **K**nowledge of issues
- **L**egislation; **L**earning
- **M**uscular-Skeletal issues (“Manual Handling”); **M**anagement
- **N**ear-hit; **N**otification
- **P**roactive; **P**rocedures; **P**rocesses; **P**lanning
- **Q**uestioning
- **R**isk; **R**eport; **R**eactive; **R**ecords; **R**eality check; **R**esponsibility; **R**esponse
- **S**upervision; **S**afety; **S**implicity
- **T**raining
- **V**erify system adequacy
- **W**arning; **W**orkplace, **W**ork instruction; **W**hat & **W**hy?
- **X**-rays and other radiation

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And finally,

- **You** are the person most responsible for your own safety

- **Zero** harm is the ultimate objective
Management System Certification

An organisation may choose to have its Safety Management System certified against one or both of the standards mentioned above, by an independent third party Certification Body, so as to demonstrate in the public domain that it is compliant with the standard. It may also provide a competitive edge.

BSI (incorporating NCSI) is one of many such Certification Bodies
My Unified Management System

Theory

- Common to all Management Systems – Safety, Environment, Quality (Customer Satisfaction), Food Safety (HACCP)
- Safety Culture – Safety “Mindfulness”
- Same for Customer Satisfaction – “customer is king”
- Same for Environmental ‘friendliness’ and Sustainability
- Leadership from the top
- Comprehensive risk assessment and control
- Ensuing action by all levels in the organisation
- Need for understanding what is expected and why
- Only as good as the people involved
A simple statement of the theory

“A successful (Safety) Management System relies upon people in an organisation understanding and managing risk at all levels and in all activities and functions”

Keeping things simple is another essential!
Another Approach!

\[ P + R = S \]

\[ P: \text{People (who are competent)} \]

\[ R: \text{Risk Management} \]

\[ S: (\text{Safety}) \text{ Success} \]
A Thought to Ponder

How well does your organisation manage its safety obligations?
Any Questions?
Thank You for your Attention