

## ASSURANCE Gap Analysis Check List MODULE 17

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Name:			
CORESafety Assurance	My Position		
The importance of assurance (as a process) in optimizing our SHMS.	☐ I fully agree, just need to get it done☐ Not sure I agree, need more info/time☐ I disagree, need to talk to my colleagues		
The importance of using third party auditing to hold all NMA members accountable (to each other) for implementing the CORESafety SHMS, or its equivalent.	☐ I fully agree, just need to get it done☐ Not sure I agree, need more info/time☐ I disagree, need to talk to my colleagues		
It's possible to comply with all MSHA/OSHA regulations while transitioning to a management system approach to safety.	<ul> <li>□ I fully agree, just need to get it done</li> <li>□ Not sure I agree, need more info/time</li> <li>□ I disagree, need to talk to my colleagues</li> </ul>		
NMA SHMS Module Expectations	Our Status		
<ul> <li>Safety and Health Management Assurance:</li> <li>Establish a procedure to assess compliance with applicable legal and other S&amp;H management requirements and keep this information current.</li> <li>Compliance with regulations should be managed through the Plan-Do-Check-Act improvement cycle and should be integrated with the company SHMS.</li> </ul>	<ul> <li>□ Not doing this, but recognize the need</li> <li>□ Not doing this, but working on it</li> <li>□ Doing this, or something equivalent</li> </ul>		
Action needed:			
<ul> <li>Audit and Review:</li> <li>Develop a process to measure system and S&amp;H management performance through the use of lagging and leading indicators.</li> </ul>	□ Not doing this, but recognize the need □ Not doing this, but working on it		
<ul> <li>Ensure that senior management participates in the performance assurance process to optimize transparency and ensure there are adequate resources to facilitate system improvement.</li> </ul>	☐ Doing this, or something equivalent		
<ul> <li>Non-conformance against the SHMS should be addressed with appropriate actions to correct the non- conformance.</li> </ul>			
<ul> <li>Internal audits should be scheduled in advance and conducted by personnel with adequate experience and knowledge of SHMS, audit methods and processes.</li> </ul>			

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Audit and Review: (cor
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 Routine audits (and periodic external audits) should be conducted by a competent third party at an interval sufficient to ensure continuous improvement.

## Action needed:

## **Documentation and Information Management:**

- Develop a documentation retention process that balances need to retain with the need to perform and improve.
- Records should be legible and identifiable linked to the activities from which they derive. They should be readily retrievable and physically protected.
- Documents retention should reflect regulatory requirements as well as company document retention policy, as appropriate.
- Determine performance trends by looking for common or significant events and patterns in root causes, inspection records, audit action items, behavior observations, etc.

- □ Not doing this, but recognize the need
- □ Not doing this, but working on it
- $\hfill\square$  Doing this, or something equivalent

## Action needed:

Notes:			