



## Assurance

Projected Implementation Date: December 2014



### This module includes:

- Implementing a process to assure internal and external stakeholders of the adequate structure, fitness and effectiveness of the safety and health management system.
- Ensuring management is using assurance information to determine how to improve the safety and health management system.
- Providing for corrective action and continual improvement based on senior management direction.

It is necessary to periodically assess implementation of and conformance with the expectations of the safety and health management system (SHMS) to assure an adequate structure exists to analyze the fitness and effectiveness of the SHMS. This process should be managed by senior management and may involve both internal and external audits and assessments. Where nonconformance is identified, corrective action should be taken to ensure continual improvement in both SHMS effectiveness and the resulting safety and health performance.

### Expectations

- 17.1 Develop a process to measure system and S&H management performance through the use of lagging and leading indicators.
- 17.2 Ensure senior management participates in the performance assurance process to optimize transparency and ensure there are adequate resources to facilitate system improvement.
- 17.3 Non-conformance against the SHMS should be addressed with appropriate actions to correct the non-conformance.
- 17.4 Internal audits should be scheduled in advance and conducted by personnel with adequate experience and knowledge of SHMS audit methods and processes.
- 17.5 Routine audits (and periodic external audits) should be conducted by a competent third party at an interval sufficient to ensure continuous improvement.

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**Regulation**

Partial or full MSHA and/or OSHA regulatory requirement:  Yes  No

**Metrics**

- 1 Percentage implementation of the SHMS.
- 2 Percentage of review actions that are implemented on time.

**Resources**

CORESafety resources can be found with the latest updates at:  
[coresafety.org/resources/module17](http://coresafety.org/resources/module17)

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**Notes**

