



Part 5 Expected Outputs What Inspectors might observe during COS

This Just in Time (JIT) product provides examples of objective data that an ASI might observe when inspecting an aviation organization with an SMS.

Three Observable Examples:

1. Safety Policy

The Safety Policy is how the accountable executive (AE) conveys the organization's commitment to safety management and sets expectations and accountabilities.

How to Evaluate:

Does the Safety Policy fulfill the requirements specified in Part 5, including being signed by the AE* and communicated throughout the organization?

What the Safety Policy Could Be:

- A policy statement pointing to other documents
- A complete section in a safety manual
- A compliance statement

What Organization-Wide Communication Could Be:

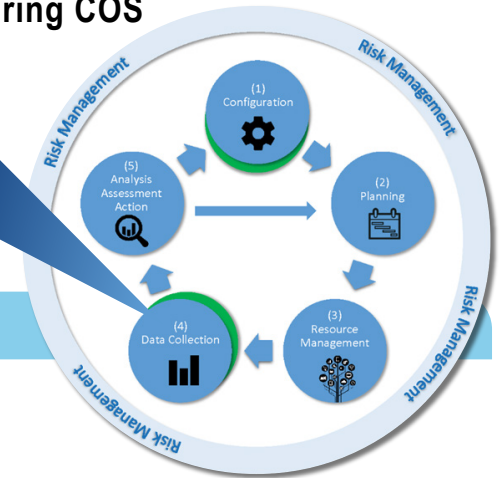
- Information in a Read and Initial document
- A policy statement displayed openly in an office or break room area
- An email
- Communication during initial or recurrent training

* When determining if the safety policy is signed by the AE, it's important to understand the service provider may refer to this individual by a different title.

Let's go beyond fulfilling all the Safety Policy requirements specified in Part 5 and look at one specific requirement: A safety reporting policy that defines requirements for employee reporting of safety hazards or issues.

Validating that an aviation organization has a safety reporting policy defining the requirements for employee reporting of safety hazards or issues isn't the end of your observations.

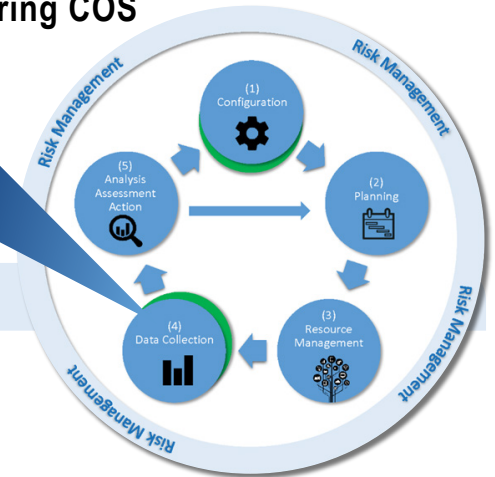
Although these reporting requirements exist, you need to observe how effective the organization has been at communicating safety responsibilities and established reporting procedures to employees.





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2. Safety Promotion-Competencies and Training

Part 5 requires organizations to provide SMS training to all individuals identified in the Safety Policy under 5.23. Ensures that employees have a solid understanding regarding their safety responsibilities, as well as the aviation organization's safety policies, expectations, and reporting procedures.

What to Look For : Training should be customized to each individual's specific roles and responsibilities within the SMS.

What Part 5 Requires: The organization must ensure these individuals receive training to develop and maintain the competencies necessary for the operation and performance of the SMS.

What would you expect to observe?

- That the aviation organization provided training to employees that is relative to the employee's safety performance.
- Also, this training ensured that individuals attained and maintained the competencies necessary to perform their duties relevant to how the organization manages safety.

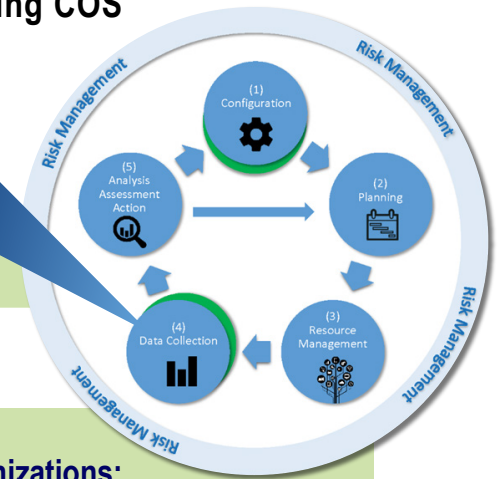
How could you observe that employees understand the organization's requirements to report hazards and safety issues?

- When talking to trained employees about the confidential reporting program, they should be able to explain how they can submit hazard information



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3. Safety Assurance

Except for sole individual organizations, Part 5 requires a confidential employee reporting program. The organization should have documented procedures explaining how employees will report work related hazards and how those reports will be processed and analyzed.

What This Might Look Like:

Small organizations:

Submitting information via a reporting website or a hazard form located in the employee breakroom

Larger organizations:

Multiple reporting methods, based on the specifics of the employee group

What could you expect to observe?

There must be evidence that a confidential reporting program is in place. When employees provide information, the organization should collect and analyze the data to support informed decision-making. This process ensures the organization stays on track with safety performance and identifies areas where existing processes may need revision or correction.

Small organizations:

- The organization's reviews of daily operations
- Basic spreadsheets
- Meeting notes
- Emails outlining corrective actions for safety performance deficiencies

Larger organizations:

- Data analysis shared with a safety department and operational management
 - Identifying negative trends and addressing safety performance deficiencies
 - Assessing how well safety performance aligns with the safety objectives outlined in the Safety Policy
- Action items to resolve safety issues and deficiencies documented in meeting notes or follow-up emails, or tracked through more complex processes used by the organization