

Unscoped DCT Report (Standard DCT)

MLF Label: 1.2 Operations Management (Released)
DCT Type: SP DCT
Specialty: Operations
Peer Group: E - Part 135 (HEMS)
DCT Revision: 6.0 on 02/10/2015 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): The CH is responsible to manage the safety of the Operations Management processes within its operation.

Objective (FAA Responsibility): The FAA objective is to determine if the CH; (1) Met regulatory requirements, guidance, and safety performance objectives of its Operations Management processes, and; (2) Managed safety of the Operations Management processes by incorporating system safety principles which include safety attributes.

The Operations Management Subsystem includes the following Element(s):

1.2 Operations Management

- 1.2.1 (OP) Part 119 Required Personnel
- 1.2.2 (OP) Manual Management
- 1.2.3 (OP) Computer-Based Recordkeeping System

Questions	Answers	References
1.2.1 (OP) Part 119 Required Personnel		
1. Did your observations of Part 119 Required Personnel procedures indicate the certificate holder produced outputs that met regulatory requirements, guidance, and safety performance objectives? NOTE:	<input type="radio"/> Met regulatory requirements, guidance, and safety performance objectives <input type="radio"/> Isolated instance(s) when guidance and safety performance objectives were not met <input type="radio"/> Several instances when guidance	8900.1 Vol 3 Ch 18 Sec 3; 8900.1 Vol 3 Ch 2 Sec 1; 8900.1 Vol 3 Ch 32 Sec 4; A006; 119.69(a); 119.69(b); 119.69(c); 119.69(d); 119.71(a); 119.71(b); 119.71(c); 119.71(d); 119.71(f)

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<p>Safety Attribute: Procedures, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/08/2014, QID: 00011664, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p>and safety performance objectives were not met</p> <ul style="list-style-type: none"> <input type="radio"/> Regulatory noncompliance <input type="radio"/> Not Applicable <input type="radio"/> Not Observable 	
<p>2. Were the certificate holder's controls for Part 119 Required Personnel effective in achieving the desired results?</p> <p>NOTE:</p> <p>Safety Attribute: Controls, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/02/2014, QID: 00011665, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<ul style="list-style-type: none"> <input type="radio"/> Controls were effective <input type="radio"/> Isolated instance(s) when controls were not effective <input type="radio"/> Several instances when controls were not effective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable 	
<p>3. Did the certificate holder's Part 119 Required Personnel process ensure consistency of related processes between departments and employees (interfaces)?</p> <p>NOTE:</p> <p>Safety Attribute: Interfaces, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 3.0 07/08/2014, QID: 00011666, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<ul style="list-style-type: none"> <input type="radio"/> Interfaces were effective <input type="radio"/> Isolated instance(s) when interfaces were ineffective <input type="radio"/> Several instances when interfaces were ineffective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable 	
<p>4. Did the person responsible for the certificate holder's Part 119 Required Personnel process effectively manage the planning, organizing, directing, and control of that process?</p> <p>NOTE:</p> <p>Safety Attribute: Management Responsibility, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/08/2014, QID: 00011667, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<ul style="list-style-type: none"> <input type="radio"/> Management of the process was effective <input type="radio"/> Isolated instance(s) where management of the process was ineffective <input type="radio"/> Several instances where management of the process was ineffective <input type="radio"/> Systemic or significant issues? <input type="radio"/> Not Applicable <input type="radio"/> Not Observable 	

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<p>5. Did the person with authority over the certificate holder's Part 119 Required Personnel process effectively direct, control, or change procedures, and make key determinations including safety risk acceptance decisions?</p> <p>NOTE:</p> <p>Safety Attribute: Management Authority, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/08/2014, QID: 00011668, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<ul style="list-style-type: none"> <input type="radio"/> Management of the process was effective <input type="radio"/> Isolated instance(s) where management of the process was ineffective <input type="radio"/> Several instances where management of the process was ineffective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable 	
<p>6. Did the certificate holder monitor and measure the safety performance of the Part 119 Required Personnel process, including audits, evaluations, employee reports, and investigations of events; and implement necessary action(s)?</p> <p>NOTE:</p> <p>Safety Attribute: Process Measurement, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 3.0 07/02/2014, QID: 00011669, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<ul style="list-style-type: none"> <input type="radio"/> Process measurements were effective <input type="radio"/> Isolated instance(s) when process measurements were not used or ineffective <input type="radio"/> Several instances when process measurements were not used or ineffective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable 	
<p>1.2.2 (OP) Manual Management</p>		
<p>7. Did your observations of Manual Management procedures indicate the certificate holder produced outputs that met regulatory requirements, guidance, and safety performance objectives?</p> <p>NOTE:</p> <p>Safety Attribute: Procedures, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/03/2014, QID: 00011671, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<ul style="list-style-type: none"> <input type="radio"/> Met regulatory requirements, guidance, and safety performance objectives <input type="radio"/> Isolated instance(s) when guidance and safety performance objectives were not met <input type="radio"/> Several instances when guidance and safety performance objectives were not met <input type="radio"/> Regulatory noncompliance 	<p>8900.1 Vol 3 Ch 18 Sec 1; 8900.1 Vol 3 Ch 32 Sec 1; 8900.1 Vol 3 Ch 32 Sec 4; 8900.1 Vol 6 Ch 2 Sec 11; 8900.1 Vol 6 Ch 2 Sec 23; 119.43(a); 119.43(b); 119.43(c); 135.21(a); 135.21(b); 135.21(d); 135.21(e); 135.21(f); 135.23(a); 135.77; 135.81(c)</p>

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	<input type="radio"/> Not Applicable <input type="radio"/> Not Observable	
<p>8. Were the certificate holder's controls for Manual Management effective in achieving the desired results?</p> <p>NOTE:</p> <p>Safety Attribute: Controls, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/08/2014, QID: 00011672, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<input type="radio"/> Controls were effective <input type="radio"/> Isolated instance(s) when controls were not effective <input type="radio"/> Several instances when controls were not effective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable	
<p>9. Did the certificate holder's Manual Management process ensure consistency of related processes between departments and employees (interfaces)?</p> <p>NOTE:</p> <p>Safety Attribute: Interfaces, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 3.0 07/08/2014, QID: 00011673, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<input type="radio"/> Interfaces were effective <input type="radio"/> Isolated instance(s) when interfaces were ineffective <input type="radio"/> Several instances when interfaces were ineffective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable	
<p>10. Did the person responsible for the certificate holder's Manual Management process effectively manage the planning, organizing, directing, and control of that process?</p> <p>NOTE:</p> <p>Safety Attribute: Management Responsibility, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/08/2014, QID: 00011674, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<input type="radio"/> Management of the process was effective <input type="radio"/> Isolated instance(s) where management of the process was ineffective <input type="radio"/> Several instances where management of the process was ineffective <input type="radio"/> Systemic or significant issues <input type="radio"/> Not Applicable <input type="radio"/> Not Observable	
<p>11. Did the person with authority over the certificate holder's Manual Management process effectively direct, control, or change procedures, and make key determinations including safety risk acceptance decisions?</p>	<input type="radio"/> Management of the process was effective	

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<p>NOTE:</p> <p>Safety Attribute: Management Authority, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 2.0 07/08/2014, QID: 00011675, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Isolated instance(s) where management of the process was ineffective</p> <p><input type="radio"/> Several instances where management of the process was ineffective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Applicable</p> <p><input type="radio"/> Not Observable</p>	
<p>12. Did the certificate holder monitor and measure the safety performance of the Manual Management process, including audits, evaluations, employee reports, and investigations of events; and implement necessary action(s)?</p> <p>NOTE:</p> <p>Safety Attribute: Process Measurement, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 3.0 07/03/2014, QID: 00011676, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Process measurements were effective</p> <p><input type="radio"/> Isolated instance(s) when process measurements were not used or ineffective</p> <p><input type="radio"/> Several instances when process measurements were not used or ineffective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Applicable</p> <p><input type="radio"/> Not Observable</p>	
<p>13. Did the certificate holder assess the safety performance of the Manual Manual process and implement action(s) necessary to address deficiencies identified in the process?</p> <p>NOTE:</p> <p>Safety Attribute: Process Measurement, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135"), Rev. 3.0 07/08/2014, QID: 00011677, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Safety assurance process was effective</p> <p><input type="radio"/> Isolated instance(s) when the safety assurance process was not used or ineffective</p> <p><input type="radio"/> Several instances when the safety assurance process was not used or ineffective</p> <p><input type="radio"/> Systemic, significant issues, or regulatory non-compliance</p> <p><input type="radio"/> Not Applicable</p> <p><input type="radio"/> Not Observable</p>	
<p>1.2.3 (OP) Computer-Based Recordkeeping System</p>		

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<p>14. Did your observations of Computer-Based Recordkeeping System procedures indicate the certificate holder produced outputs that met regulatory requirements, guidance, and safety performance objectives?</p> <p>NOTE:</p> <p>Safety Attribute: Procedures, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135") AND (OPSPEC = "A025") , Rev. 4.0 02/10/2015, QID: 00011678, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Met regulatory requirements, guidance, and safety performance objectives</p> <p><input type="radio"/> Isolated instance(s) when guidance and safety performance objectives were not met</p> <p><input type="radio"/> Several instances when guidance and safety performance objectives were not met</p> <p><input type="radio"/> Regulatory noncompliance</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	<p>8900.1 Vol 3 Ch 19 Sec 2; 8900.1 Vol 3 Ch 20 Sec 2; 8900.1 Vol 3 Ch 21 Sec 2; 8900.1 Vol 3 Ch 31 Sec 3; 8900.1 Vol 3 Ch 31 Sec 4; AC-120-78; A025; 119.59 (b); 121.925; 135.323(c); 135.63(4); 135.63(a); 135.63(b); 135.63(c); 135.63 (d)</p>
<p>15. Were the certificate holder's controls for Computer-Based Recordkeeping effective in achieving the desired results?</p> <p>NOTE:</p> <p>Safety Attribute: Controls, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135") AND (OPSPEC = "A025") , Rev. 3.0 11/13/2014, QID: 00011679, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Controls were effective</p> <p><input type="radio"/> Isolated instance(s) when controls were not effective</p> <p><input type="radio"/> Several instances when controls were not effective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>16. Did the certificate holder's Computer-Based Recordkeeping process ensure consistency of related processes between departments and employees (interfaces)?</p> <p>NOTE:</p> <p>Safety Attribute: Interfaces, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135") AND (OPSPEC = "A025") , Rev. 4.0 11/13/2014, QID: 00011680, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Interfaces were effective</p> <p><input type="radio"/> Isolated instance(s) when interfaces were ineffective</p> <p><input type="radio"/> Several instances when interfaces were ineffective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>17. Did the person responsible for the certificate holder's Computer-Based Recordkeeping System process effectively manage the planning, organizing, directing, and control of that process?</p>	<p><input type="radio"/> Management of the process was effective</p> <p><input type="radio"/> Isolated instance(s) where management of the process was</p>	

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<p>NOTE:</p> <p>Safety Attribute: Management Responsibility, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135") AND (OPSPEC = "A025") , Rev. 3.0 11/13/2014, QID: 00011681, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p>ineffective</p> <p><input type="radio"/> Several instances where management of the process was ineffective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>18. Did the person with authority over the certificate holder's Computer-Based Recordkeeping process effectively direct, control, or change procedures, and make key determinations including safety risk acceptance decisions?</p> <p>NOTE:</p> <p>Safety Attribute: Management Authority, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135") AND (OPSPEC = "A025") , Rev. 3.0 11/13/2014, QID: 00011682, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Management of the process was effective</p> <p><input type="radio"/> Isolated instance(s) where management of the process was ineffective</p> <p><input type="radio"/> Several instances where management of the process was ineffective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>19. Did the certificate holder monitor and measure the safety performance of the Computer-Based Recordkeeping System process, including audits, evaluations, employee reports, and investigations of events; and implement necessary action(s)?</p> <p>NOTE:</p> <p>Safety Attribute: Process Measurement, Question Type: Process Observation, Scoping Attribute: (FAR PART = "135") AND (OPSPEC = "A025") , Rev. 4.0 11/13/2014, QID: 00011683, Response Details: SP DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Process measurements were effective</p> <p><input type="radio"/> Isolated instance(s) when process measurements were not used or ineffective</p> <p><input type="radio"/> Several instances when process measurements were not used or ineffective</p> <p><input type="radio"/> Systemic or significant issues</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	

<p>SP DCTs (Both OP and AW) Response Details List (Released , 1.0)</p>
<p>1. Unclear procedure(s)</p>

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2. Conflicting procedure(s)
3. Used workaround(s)
4. Skipped process step(s)
5. Personnel failed to follow process (procedures, guidance, etc)
6. Procedures/guidance not available
7. Procedures/guidance not current
8. Inconsistent procedure(s)
9. Undocumented procedure(s)
10. Minor typographical error(s) (i.e. record entries)
11. Information missing
12. Communication failure(s)
13. Personnel failed to perform task
14. Process failed to meet desired outcome
15. Process oversight failure
16. Equipment/tools not available
17. Equipment/tools not adequate
18. Equipment/tools not calibrated
19. Facilities not adequate
20. Other

Not Observable (N/O) Response Details List (Released , 1.0)
1. Personnel (i.e. key certificate holder personnel not present/available)
2. Equipment (i.e. equipment not present/available/in serviceable condition)
3. Event did not occur (i.e. the drunk passenger did not show up for the flight...)

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4. Time Constraints (i.e. resources/workload)
5. Weather (i.e. weather needed for observation not present or weather made observation impossible)
6. Other

Not Applicable (N/A) Response Details List (Released , 1.0)
1. Operator not authorized by OpSpecs
2. Equipment not equipped/authorized
3. Not applicable due to exemption, deviation, or exception
4. Not authorized by regulation
5. Not authorized by Order
6. Not authorized by Notice
7. Not authorized/recommended by Advisory Circular
8. Not authorized by Policy Letter, Legal Interpretation, or other guidance
9. Other