

Unscoped DCT Report (Custom DCT)

DCT Title: SMS-Audit Process Design Demonstration(AW)

DCT Type: National/Regional office created Custom DCT

Specialty: Airworthiness

Assessment Type: Design Assessment

Revision: 1 on 03/05/2015

Summary Information

Purpose (Certificate Holder Responsibility):

Perform periodic audits to assess process performance against defined process requirements, and process nonconformance identification and correction procedures.

Objective (FAA Responsibility):

Confirm through design demonstration, that the CH is periodically performing audits to assess process performance against the defined requirements.

Questions	Answers	References
<p>1. For the process area being assessed, is the certificate holder completing its planned audits on all safety processes to gather data for use in assessing system performance?</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048644, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	
<p>2. Are the certificate holder's process area audits being conducted by personnel who have the identified competencies (i.e., qualification, training, knowledge, and experience) to appropriately assess the assigned process?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048645, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	

3. Does the certificate holder's audit findings document that non-conformances are appropriately assigned and corrected?

- Yes
- No
- Not Applicable

Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 1.0 03/10/2015, QID: 00048646, Response Details: EP & ED DCTs (Both OP and AW),

EP & ED DCTs (Both OP and AW) Response Details List (1.0)

1. Unclear procedure(s)
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