

Unscoped DCT Report (Custom DCT)

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

DCT Type: National/Regional

Specialty: Operations

Assessment Type: DA

Revision: 1.0 on 03/05/2015 (Released)

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), Status: Released</p> | <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p> | 5.71(a) |
| <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), Status: Released</p> | <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p> | 5.91 |

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

- Yes
 No
 Not Applicable

5.71(a)

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), Status: Released

Response Details List EP & ED DCTs (Both OP and AW) (Released , 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 |

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|--|--|
| 20 | Other |
| Response Details List N/A Response Detail (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 |