

Unscoped DCT Report (Custom DCT)

DCT Title: SMS-Evaluation 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): Measure, evaluate and report to executive management process area data on performance and compliance of required safety management activities.

Objective (FAA Responsibility): Confirm through design demonstration, that the CH measured, evaluated and reported to executive management, the process area data on performance and compliance of required safety management activities.

Questions	Answers	References
1. Does the certificate holder conduct evaluations to monitor safety related performance across its systems and operational processes? Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 1.0 03/10/2015, QID: 00048651, Response Details: EP & ED DCTs (Both OP and AW), Status: Released	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	5.71(a)
2. Does the certificate holder review and analyze the aggregate data acquired from various safety assurance input sources such as: #1Audits; #2Investigations; #3Corrective/preventive actions including effectiveness evaluations; #4Actions directed by executive management reviews; #5Continuous monitoring activities directed by process owners; #6Hazard reporting; and	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	5.71(b)

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<p>#7New control effectiveness after implementation?</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: 00048652, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>		
<p>3. Do the certificate holder's evaluation reports assess whether the organization is meeting its defined safety objectives?</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: 00048660, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	<p>5.73(a)</p>
<p>4. Does the person/team who performs safety evaluations within the certificate holder's organization, report directly to executive management to independently validate process area safety performance?</p> <p>NOTE: These evaluations are to be separate from process owner/department management reports.</p> <p>Safety Attribute: Management Responsibility, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048661, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	<p>5.23(a); 5.25(c)</p>

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

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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
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