

Unscoped DCT Report (Custom DCT)

DCT Title: SMS--Safety Policy Design Validation(OP)
DCT Type: National/Regional office created Custom DCT
Specialty: Operations
Assessment Type: Design Assessment
Revision: 1 on 03/04/2015

Summary Information

Purpose (Certificate Holder Responsibility): Implement and document a commitment to safety, which defines its safety objectives and employee safety accountabilities and responsibilities.

Objective (FAA Responsibility): Validate the CH has effectively designed an SMS that incorporates a commitment to safety.

Questions	Answers	References
<p>1. Does the certificate holder's SMS have a safety policy that includes at least the following minimum requirements:</p> <ul style="list-style-type: none"> #1The certificate holder's safety objectives; #2A commitment to fulfill the organization's safety objectives; #3A clear statement to commit the necessary resources for implementation of the SMS; #4A safety reporting policy that defines requirements for employee reporting of safety hazards or issues; #5A policy that defines unacceptable behavior and conditions for disciplinary action; and #6An emergency response plan that provides for the safe transition from normal to emergency operations in accordance with the requirements of part 5.27, Coordination of emergency response planning? <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048518, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable </p>	
<p>2. Does the certificate holder require that its safety policy be:</p> <ul style="list-style-type: none"> #1In accordance with all applicable regulatory requirements in 14 CFR and must reflect the certificate holder's commitment to 	<p> <input type="radio"/> Yes <input type="radio"/> No </p>	

<p>safety;</p> <p>#2Be signed by the accountable executive described in part 5.25;</p> <p>#3Documented and communicated throughout their organization; and</p> <p>#4Be regularly reviewed by the accountable executive to ensure it remains relevant and appropriate to the certificate holder?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048525, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p><input type="radio"/> Not Applicable</p>	
<p>3. Does the organization's documentation define safety accountability for all organizational personnel, specifically:</p> <p>#1The accountable executive, as described in part 5.25;</p> <p>#2All members of management in regard to developing, implementing, and maintaining SMS processes within their area of responsibility; and</p> <p>#3Employees relative to the certificate holder's safety performance?</p> <p>Safety Attribute: Management Responsibility, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048530, 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>4. Do the certificate holder's processes require that all members of management develop, implement and maintain SMS processes within their area of responsibility to include, but not limited to:</p> <p>#1Hazard identification and safety risk assessment;</p> <p>#2Assuring the effectiveness of safety risk controls;</p> <p>#3Promoting safety as required in subpart E, Safety Promotion; and</p> <p>#4Advising the accountable executive on the performance of the SMS and on any need for improvement?</p> <p>Safety Attribute: Management Responsibility, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048534, 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>5. Do the certificate holder's safety management processes identify the levels of management with the authority to make decisions regarding safety risk acceptance?</p> <p>Safety Attribute: Management Authority, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048539, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>6. Do the certificate holder's safety management processes require the accountable executive to designate sufficient management personnel who, on behalf of the accountable executive, are responsible for:</p> <p>#1Coordinating implementation, maintenance, and integration of the SMS throughout the certificate holder's organization; #2Facilitating hazard identification and safety risk analysis; #3Monitoring effectiveness of safety risk controls; #4Ensuring safety promotion throughout the organization as required in subpart E, Safety Promotion; and #5Regularly reporting to the accountable executive on the performance of the SMS and any need for improvement?</p> <p>Safety Attribute: Management Responsibility, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048540, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>7. Where emergency response procedures are necessary, does the certificate holder develop and the accountable executive approve as part of the safety policy, an emergency response plan that addresses at least the following:</p> <p>#1Delegation of emergency authority throughout the organization; #2Assignment of employee responsibilities during the emergency; and #3Coordination of the emergency response plan with the emergency response plans of other affected organizations (e.g., code share partners, airports, contractors, affiliates, etc.)?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048546, Response Details: EP & ED DCTs (Both OP and AW),</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>8. Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety policy, processes and procedures?</p>	<p><input type="radio"/> Yes <input type="radio"/> No</p>	

Not Applicable

Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/09/2015, QID: 00048550, 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