

Unscoped DCT Report (Custom DCT)

DCT Title: SMS–Safety Promotion Design Validation(OP)

DCT Type: National/Regional

Specialty: Operations

Assessment Type: DA

Revision: 2.0 on 03/11/2015 (Released)

Summary Information

Purpose (Certificate Holder Responsibility):

Incorporate a combination of training and communication of safety information to support the implementation and operation of an SMS in an organization.

Objective (FAA Responsibility):

Validate that the CH has effectively designed an SMS that incorporates training and communication of safety information throughout the organization.

| Questions | Answers | References |
|--|--|---------------|
| <p>1. Does the certificate holder's SMS define accountability for all members of management to promote safety within their area of responsibility in regards to developing, implementing, and maintaining SMS processes?</p> <p>Safety Attribute: Management Responsibility, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 1.0 03/02/2015, QID: 00048604, 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> | 5.23(a) |
| <p>2. Does the certificate holder's SMS provide training to each individual identified in part 5.23 that ensures the individuals attain and maintain the competencies necessary to perform their duties relevant to the operation and performance of the SMS?</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: 00048605, 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> | 5.23(a); 5.91 |

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| <p>3. Does the certificate holder's SMS specify that the accountable executive designate management personnel who, on behalf of the accountable executive, ensure that safety is promoted throughout the organization as required by subpart E?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 2.0 03/11/2015, QID: 00048606, 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>5.25(c)</p> |
| <p>4. Does the certificate holder have a process to develop and maintain a means for communicating safety information that:</p> <p>#1Ensures employees are aware of the SMS policies, processes, and tools relevant to their responsibilities; #2Conveys hazard information relevant to the employee's responsibilities; #3Explains why safety actions have been taken; and #4Explains why safety procedures are introduced or changed?</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: 00048607, 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>5.93</p> |
| <p>5. Does the certificate holder have a process to develop and maintain documentation that describes the organization's SMS processes and procedures?</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: 00048612, 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>5.95(b)</p> |
| <p>6. Does the certificate holder maintain employee records of all safety management related training provided under part 5.91 and retain such records for as long as the individual is employed by the certificate holder?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048613, 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>5.3(b); 5.97(c)</p> |

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7. Does the certificate holder retain the records of all safety communications provided under part 5.93 for a minimum of 24 consecutive calendar months?

- Yes
- No
- Not Applicable

5.3(b); 5.97(d)

Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048614, Response Details: EP & ED DCTs (Both OP and AW), Status: Released

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

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| 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 |

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| 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 |