

Unscoped DCT Report (Custom DCT)

DCT Title: SMS-Safety Risk Management 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): Incorporate a process within the SMS designed to identify, analyze, and assess the hazards, to mitigate the associated risks.

Objective (FAA Responsibility): Validate that the CH has effectively designed an SMS which incorporates a process to identify, analyze, and assess the hazards, to mitigate the associated risks.

Questions	Answers	References
<p>1. Does the certificate holder's SMS require that the organization apply the Safety Risk Management (SRM) process when any of the following conditions occur:</p> <ul style="list-style-type: none"> #1Implementation of new systems; #2Revision of existing systems; #3Development of operational procedures; and #4Identification of hazards or ineffective risk controls through the safety assurance processes contained in subpart D? <p>NOTE: References include 14 CFR 5.51(a), (b), (c), and (d).</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: 00048552, 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's SMS define safety accountability for members of management, within their areas of responsibility and authority, regarding development, implementation and maintenance of hazard identification and risk assessment processes?</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: 00048557, 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>3. Does the certificate holder's SMS identify management personnel responsible to facilitate hazard identification and safety risk analysis?</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: 00048558, 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>4. When applying SRM, does the certificate holder have a process to describe and analyze the system for use in identifying hazards considering the following information:</p> <p>#1The function and purpose of the system; #2The system's operating environment; #3An outline of the system's processes and procedures; and #4The personnel, equipment, and facilities necessary for operation of the system?</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: 00048559, 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>5. Do the certificate holder's SRM processes identify hazards within the context of the system analysis?</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: 00048564, 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. Does the certificate holder's SRM include specific processes to analyze safety risk associated with hazards identified in 5.53 (c)?</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: 00048565, 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. Does the certificate holder's SRM include specific processes for conducting risk assessment that allows for the determination of acceptable safety risk?</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: 00048566, 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's SRM documentation clearly identify the levels of management with the authority to make decisions regarding safety risk acceptance for the company?</p> <p>Safety Attribute: Management Authority, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048567, 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>9. Does the certificate holder's SRM include specific processes to ensure that risk controls are developed which are necessary as a result of the safety risk assessment process?</p> <p>Safety Attribute: Controls, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048568, 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>10. Does the certificate holder evaluate, prior to SRM risk control implementation that the identified risk will be acceptable with the risk control applied?</p>	<p> <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable </p>	

<p>Safety Attribute: Controls, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048569, Response Details: EP & ED DCTs (Both OP and AW),</p>		
<p>11. Does the certificate holder's risk management process evaluate the effectiveness of implemented safety risk controls, which includes reviews by the accountable executive?</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: 00048570, 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>12. Does the certificate holder have a process to develop and maintain SMS documentation that describes their SRM 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: 00048571, 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>13. Does the certificate holder's SMS require the organization have a process to maintain records of their SRM outputs for as long as the control(s) remain relevant to their operation, to include:</p> <ul style="list-style-type: none"> #1Records of identified hazards or no hazard risk acceptance; #2Records of associated risks with identified hazards, as applicable; #3Records of analysis for each risk, as applicable; and #4Records of new risk controls approved to mitigate unacceptable risks, as applicable? <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048690, 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>	

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