

Unscoped DCT Report (Custom DCT)

DCT Title: SMS-SRM (Organizational) Design Demonstration(OP)

DCT Type: National/Regional

Specialty: Operations

Assessment Type: DA

Revision: 1.0 on 03/06/2015 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): Integrate Safety Risk Management across multiple departments when affected by changes to their environment/systems.

Objective (FAA Responsibility): Confirm through design demonstration, the CH is capable of conducting integrated Safety Risk Management (SRM) when multiple departments are affected by a system change.

Questions	Answers	References
<p>1. When multiple departments are affected by a system change, is there clear documentation that all affected process owners participate in a collective (organizational) risk assessment?</p> <p>Safety Attribute: Interfaces, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048633, 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>	5.51
<p>2. When the organization has identified hazards or ineffective risk controls, can the SRM process documentation be traced to ensure the following recording requirements are met:</p> <p>#1Record(s) of identified hazards or lack of hazards;</p> <p>#2A list of risks associated with each existing hazard;</p> <p>#3Analysis of each risk;</p> <p>#4Record of mitigation (controls) for unacceptable risks;</p> <p>#5Record of safety risk acceptance decision(s) by authorized individual/group; and</p> <p>#6Verification of safety risk control effectiveness prior to final risk acceptance?</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	5.3(a); 5.51; 5.73(a)

<p>NOTE: References include 14 CFR 5.51(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: 00048634, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p>		
<p>3. Does the certificate holder have documentation showing the individuals or group who complete the organizational safety risk management related process steps have the competencies (i.e., qualification, training, knowledge, and experience) to properly perform those activities?</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: 00048641, 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>5.91</p>
<p>4. Does the certificate holder clearly document that the individual(s), who have the authority to accept risk for the organizational SRM process, are appropriately performing that responsibility?</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: 00048642, 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(b); 5.55(b)</p>
<p>5. Is there documentation that certificate holder personnel have provided their respective inputs required by the organization's SRM process?</p> <p>NOTE: Inputs can include meeting minutes with attendance rosters, required process owner submissions attached to meeting minutes, etc.</p> <p>Safety Attribute: Interfaces, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048643, 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>5.55(b)</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
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

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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