

Unscoped DCT Report (Custom DCT)

DCT Title: SMS-SRM (Process/Department Owner) Design Demonstration(OP)

DCT Type: National/Regional

Specialty: Operations

Assessment Type: DA

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

Summary Information

Purpose (Certificate Holder Responsibility): Implement Safety Risk Management of all safety critical processes at the process owner and/or department level.

Objective (FAA Responsibility): Confirm through design demonstration, that the CH can effectively apply the organization's Safety Risk Management (SRM) process to all safety critical processes within the process owner's department.

Questions	Answers	References
<p>1. Do individuals or groups that accept supplier guidance materials into their process area(s) understand that updates or changes to these materials requires safety risk management be conducted before it is used in the system ?</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: 00048622, 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. Do individuals or groups that have the authority to draft and approve new or revised process and procedural changes for their process area(s), understand their responsibility to conduct safety risk management on those changes/materials before they are used in the system?</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: 00048623, 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>3. Does the certificate holder clearly define individuals or groups that are performing safety risk management process steps and accepting risk for the process area(s) being assessed?</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: 00048624, 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); 5.23(b)</p>
<p>4. Does the certificate holder have documentation showing the individuals who complete 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: 00048625, 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>5. 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; #2A list of risks associated with each existing hazard; #3Analysis of each risk; #4Record of mitigation (controls) for unacceptable risks; #5Record of safety risk acceptance decision(s) by authorized individual/group; and #6Verification of safety risk control effectiveness prior to final risk acceptance?</p> <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: 00048626, 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(a); 5.51; 5.73(a)</p>

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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
4	Not authorized by regulation

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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