

Unscoped DCT Report (Custom DCT)

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

DCT Type: National/Regional

Specialty: Operations

Assessment Type: DA

Revision: 3.0 on 09/15/2016 (Released)

Summary Information

Purpose (Certificate Holder Responsibility):

Incorporate processes that ensure effective safety risk controls which meet or exceed safety objectives through the collection, analysis, and assessment of data.

Objective (FAA Responsibility):

Validate that the CH has effectively designed processes that ensure effective safety risk controls which meet or exceed safety objectives through the collection, analysis, and assessment of data.

| Questions | Answers | References |
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| <p>1. Does the certificate holder's SMS have processes to acquire and monitor data within the operational environment to detect changes related to the safety performance of the organization including:</p> <p style="margin-left: 20px;">#1Products and services; and</p> <p style="margin-left: 20px;">#2Operational processes?</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 2.0 09/15/2016, QID: 00048572, 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> | <p>5.71(a)</p> |
| <p>2. Does the certificate holder's SMS have processes to audit the safety performance of its operational processes, systems, products, and services?</p> | <p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p> | <p>5.71(a)</p> |

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| <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048575, Response Details: EP & ED DCTs (Both OP and AW), Status: Released</p> | | |
| <p>3. Does the certificate holder's SMS have processes to evaluate the safety performance of its operational processes, systems, products, and services?</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048576, 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>5.71(a)</p> |
| <p>4. Does the certificate holder's SMS have processes to investigate its operational processes, systems, products and services that include:</p> <p>#1 Incidents and accidents; and #2 Reports regarding potential non-compliance or other safety risk controls established in subpart B?</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048577, 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>5.71(a)</p> |
| <p>5. Does the certificate holder's SMS have a confidential reporting system(s) to monitor safety performance that allows employees to:</p> <p>#1 Report hazards, issues, concerns, occurrences, and incidents; and #2 Propose solutions and safety improvements?</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 2.0 03/11/2015, QID: 00048580, 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>5.71(a)</p> |

SMS–Safety Assurance Design Validation(OP), National/Regional, DA, Operations, DCT Revision: 3.0 on 09/15/2016

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| <p>6. Does the certificate holder's SMS have procedures to analyze data acquired from their safety assurance processes, described in part 5.71(a)(1 thru 7), and any other relevant data with respect to its operation, products and services, including at a minimum:</p> <ul style="list-style-type: none"> #1Monitoring of operational processes; #2Monitoring of the operational environment to detect changes; #3Auditing of operational process and systems; #4Evaluations of the SMS and operational processes and systems; #5Investigations of incidents and accidents; #6Investigations of reports regarding non-compliance with regulations or risk controls established under subpart B, SRM; and #7Confidential safety reporting from employees on hazards, concerns, incidents, etc.? <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 1.0 03/10/2015, QID: 00048583, 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>5.71(a); 5.71(b)</p> |
| <p>7. Does the certificate holder's SMS require the organization to regularly review and report on the system's safety performance and does the Accountable Executive review these reports to:</p> <ul style="list-style-type: none"> #1Ensure compliance with their established safety risk controls; #2Evaluate the performance of the SMS; #3Evaluate the safety risk control effectiveness established under 5.55(c) with identification of ineffective controls; #4Identify changes to the organization's operational environment that may introduce new hazards; and #5Identify new hazards? <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145") , Rev. 2.0 09/15/2016, QID: 00048588, 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(b); 5.25(c); 5.73(a); 5.75</p> |

SMS–Safety Assurance Design Validation(OP), National/Regional, DA, Operations, DCT Revision: 3.0 on 09/15/2016

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| <p>8. Does the certificate holder's organization define accountability for assuring the effectiveness of safety risk controls for all managers in their areas of responsibility?</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: 00048594, 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)</p> |
| <p>9. Do the certificate holder's processes and procedures ensure that for ineffective controls or hazards identified during safety performance assessments, safety risk management is applied as described in subpart C?</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 1.0 03/10/2015, QID: 00048689, 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>5.73(b)</p> |
| <p>10. Does the certificate holder's SMS designate management personnel who, on behalf of the accountable executive, are responsible for:</p> <p>#1 Coordinating implementation, maintenance, and integration of the SMS throughout their organization; #2 Facilitating hazard identification and safety risk analysis; #3 Monitoring the effectiveness of safety risk controls; #4 Ensuring safety promotion throughout their organization as required in subpart E; and #5 Regularly reporting to 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 03/10/2015, QID: 00048595, 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> |

SMS–Safety Assurance Design Validation(OP), National/Regional, DA, Operations, DCT Revision: 3.0 on 09/15/2016

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| <p>11. Does the certificate holder have a process to ensure that the accountable executive directs actions necessary to address substandard safety performance 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: 00048601, 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(b); 5.75</p> |
| <p>12. Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety assurance 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: 00048602, 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>13. Does the certificate holder's SMS contain a process to maintain records of their safety assurance process outputs for a minimum of 5 years?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: (FAR PART = "121") OR (FAR PART = "135") OR (FAR PART = "145"), Rev. 1.0 03/10/2015, QID: 00048603, 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(b)</p> |

| 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) |

SMS–Safety Assurance Design Validation(OP), National/Regional, DA, Operations, DCT Revision: 3.0 on 09/15/2016

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| 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 |
| 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 |

