

**Unscoped DCT Report (Custom DCT)**

**DCT Title:** SMS-Audit Process  
Design  
Demonstration(OP)

**DCT Type:** National/Regional

**Specialty:** Operations

**Assessment Type:** DA

**DCT Revision:** 3.0 on 07/13/17  
(Released)

**Summary Information**

**Purpose (Certificate Holder Responsibility):** Perform periodic audits to assess process performance against defined process requirements, and process nonconformance identification and correction procedures.

**Objective (FAA Responsibility):** Confirm through design demonstration, that the CH is periodically performing audits to assess process performance against the defined requirements.

Questions	Answers	References
<p>1 For the process area being assessed, is the certificate holder completing its planned audits on safety processes to gather data for use in assessing system performance?</p> <p>NOTE:</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation,</p> <p>Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 2 7/13/2017 10:43:22 AM,</p> <p>QID: 00048644, Response Details: EP &amp; ED DCTs (Both OP and AW), Status, Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	5.71(a)
<p>2 Are the certificate holder's process area audits being conducted by personnel who have the identified competencies (i.e., qualification, training, knowledge, and experience) to appropriately assess the assigned process?</p> <p>NOTE:</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 1 3/10/2015 9:31:16 AM,</p> <p>QID: 00048645, Response Details: EP &amp; ED DCTs (Both OP and AW), Status, Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	5.91
<p>3 Do the certificate holder's audit findings clearly identify conformances and non-conformances?</p> <p>NOTE:</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 2 7/13/2017 10:43:22 AM,</p> <p>QID: 00048646, Response Details: EP &amp; ED DCTs (Both OP and AW), Status, Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	5.71(a)
<p>4 When certificate holder non-conformances exist, are they appropriately assigned and corrected?</p> <p>NOTE:</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: (FAR PART = "121" OR "135" OR "145"), Rev. 1 7/13/2017 11:42:39 AM,</p> <p>QID: 00051667, Response Details: EP &amp; ED DCTs (Both OP and AW), Status, Status: Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	5.71(a)

**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
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