

Unscoped DCT Report (Custom DCT)

DCT Title: SMS-Continuous Improvement Process Design Demonstration(OP)
DCT Type: National/Regional
Specialty: Operations
Assessment Type: DA
DCT Revision: 2.0 on 07/13/17 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): Manage technical process integrity through corrective or preventive actions, including current and future nonconformance.

Objective (FAA Responsibility): Confirm through design demonstration, that the CH managed its technical process integrity through corrective or preventive actions, including current and future nonconformance.

Questions	Answers	References
<p>1 Is there clear documentation that the certificate holder's members of management contribute mitigation strategies to correct negative safety trends or potential non-conformance within the system?</p> <p>NOTE: Levels of organizational management can be found on an organizational chart.</p> <p>Safety Attribute: Management Responsibility, 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: 00048667, Response Details: EP & 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>	5.23(a), 5.25(c), 5.25(a), 5.25(b), 5.75
<p>2 Do the certificate holder's members of management and other personnel have the competencies required by the organization to perform those functions required of them by the safety management system processes (i.e., qualification, training, knowledge, and experience)?</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: 00048668, Response Details: EP & 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, 5.23(a)
<p>3 Does the certificate holder analyze the quality of all relevant data outputs of continuous improvement actions at the appropriate levels of the organization?</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. 1 3/10/2015 9:25:30 AM,</p> <p>QID: 00048669, Response Details: EP & 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(b)
<p>4 For corrective or preventive actions leading to new or revised process design, does the certificate holder have clear documentation showing that the safety risk management process was completed prior to deployment into the system?</p> <p>NOTE: Reference includes 14 CFR 5.51 (a) and (b)</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 9:25:30 AM,</p> <p>QID: 00048670, Response Details: EP & 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>	5.55(c), 5.51

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