

**DCT Title:** Safety Risk Assessment (SRA) for Portable Electronic Devices (PED) in Cargo

**DCT Type:** National/Regional

**Specialty:** Operations

**Assessment Type:** PA

**DCT Revision:** 2.0 on 01/06/20 (Released)

**Summary Information**

**Purpose (Certificate Holder Responsibility):** FAA expectation was that air carriers conduct Safety Risk Assessments (SRA), through their Safety Management System (SMS) processes, to identify and mitigate the risks associated with the carriage of these devices and provide their local Certificate Holding District Office (CHDO) and Hazardous Materials Principal Inspector (HMPI) with proposed plans of operation with any prohibitory or restrictive guidelines. The FAA also encouraged operators to recommend their customers avoid placing PEDs in checked baggage.

**Objective (FAA Responsibility):** Identify and evaluate the air carriers plan of operation and restrictive guidelines in response to completion of the Safety Risk Assessment (SRA).

Questions	Answers	Comments
<p>1 Has the certificate holder conducted a safety risk assessment in response to SAFO 15010 "Carriage of Spare Lithium batteries in Carry-on and Checked Baggage?"</p> <p><b>NOTE:</b> Reference SAFO 15010. If a safety risk assessment was performed, record the date and tracking information.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129" , <b>Rev. 2</b> 1/6/2020 2:46:04 PM,</p> <p><b>QID:</b> 00055582, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>2 Was a risk rating assigned to the safety risk assessment performed, in response to SAFO 15010?</p> <p><b>NOTE:</b> Reference SAFO 15010. Record the risk rating assigned to the SRA (high, medium, or low). If multiple SRAs were performed, record the details for each SRA.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129" , <b>Rev. 2</b> 1/6/2020 2:46:03 PM,</p> <p><b>QID:</b> 00055583, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>3 Were controls, procedures, and/or processes implemented and documented as a result of the safety risk assessment, in response to SAFO 15010?</p> <p><b>NOTE:</b> Reference SAFO 15010. Describe the implementation format (manual, bulletin, training curriculum, etc.).</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129" , <b>Rev. 2</b> 1/6/2020 2:46:04 PM,</p> <p><b>QID:</b> 00055584, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>4 Did the certificate holder implement controls, procedures, and processes for all of the recommended actions contained within SAFO 15010?</p> <p>#1 Reporting of incidents                      #2 Passenger notification during ticket purchase and check in                      #3 Evaluate training and communication protocols                      #4 Gate/boarding check passenger notification                      #5 Protection, quantity, and size of spare lithium batteries in carry-on baggage</p> <p><b>NOTE:</b> Reference SAFO 15010. Identify the controls, procedures, and processes implemented to address the specific recommended action(s).</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129" , <b>Rev. 2</b> 1/6/2020 2:46:03 PM,</p> <p><b>QID:</b> 00055585, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>5 Is the certificate holder performing process measurement audits to ensure the mitigation strategies implemented, in response to SAFO 15010, are performing as intended?</p> <p><b>NOTE:</b> Reference SAFO 15010. Describe the audit process, frequency, and outcomes.</p> <p><b>Safety Attribute:</b> Process Measurement, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129" , <b>Rev. 2</b> 1/6/2020 2:46:02 PM,</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	

Questions	Answers	Comments
<p><b>QID:</b> 00055591, <b>Response Details:</b> Process Measurement ED/EP/SP DCTs (Both OP and AW), <b>Status:</b> Released</p>		
<p>6 Has the certificate holder conducted a safety risk assessment in response to 16011, "Air Transport Restrictions for Recalled Lithium Batteries and Lithium Battery Powered Devices?"</p> <p><b>NOTE:</b> Reference SAFO 16011. If a safety risk assessment was performed, record the date and tracking information.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:02 PM,</p> <p><b>QID:</b> 00055592, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>7 Was a risk rating assigned to the safety risk assessment performed in response to SAFO 16011?</p> <p><b>NOTE:</b> Reference SAFO 16011. Record the risk rating assigned to the SRA (high, medium, or low). If multiple SRAs were performed, record details for each SRA.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:02 PM,</p> <p><b>QID:</b> 00055593, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>8 Were controls, procedures, and/or processes implemented and documented as a result of the safety risk assessment, in response to SAFO 16011?</p> <p><b>NOTE:</b> Reference SAFO 16011. Describe the implementation format (manual, bulletin, training curriculum, etc.).</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:02 PM,</p> <p><b>QID:</b> 00055594, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>9 Did the certificate holder implement controls, procedures, and processes for all of the recommended actions contained within SAFO 16011?</p> <p>#1 Cargo processing personnel knowledge  #2 Passenger processing personnel and crew member knowledge  #3 Reporting of incidents  #4 Passenger notification during ticket purchase and check in  #5 Evaluate training and communication protocols  #6 Online guidance and public notification  #7 Cargo shipper and freight forwarder identification and awareness</p> <p><b>NOTE:</b> Reference SAFO 16011. Identify the controls, procedures, and processes implemented to address the specific recommended action(s).</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:03 PM,</p> <p><b>QID:</b> 00055595, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>10 Is the certificate holder performing process measurement audits to ensure the mitigation strategies implemented, in response to SAFO 16011, are performing as intended?</p> <p><b>NOTE:</b> Reference SAFO 16011. Describe the audit process, frequency, and outcomes.</p> <p><b>Safety Attribute:</b> Process Measurement, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:04 PM,</p> <p><b>QID:</b> 00055603, <b>Response Details:</b> Process Measurement ED/EP/SP DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>11 Has the certificate holder conducted a safety risk assessment in response to InFO 17008, "The Transportation of Portable Electronic Devices (PED) in Checked Baggage?"</p> <p><b>NOTE:</b> Reference InFO 17008. If a safety risk assessment was performed, record the date and tracking information.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:04 PM,</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	

Questions	Answers	Comments
<p><b>QID:</b> 00055604, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>		
<p>12 Was a risk rating assigned to the safety risk assessment performed in response to InFO 17008?</p> <p><b>NOTE:</b> Reference InFO 17008. Record the risk rating assigned to the SRA (high, medium, or low). If multiple SRAs were performed, record details for each SRA.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:04 PM,</p> <p><b>QID:</b> 00055605, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>13 Were controls, procedures, and/or processes implemented and documented as a result of the safety risk assessment, in response to InFO 17008?</p> <p><b>NOTE:</b> Reference InFO 17008. Describe the implementation format (manual, bulletin, training curriculum, etc.).</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:04 PM,</p> <p><b>QID:</b> 00055606, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>14 Did the certificate holder implement controls, procedures, and processes for all of the recommended actions contained within InFO 17008?</p> <p>#1 Review of "Safe Transport of PEDs in Passenger Aircraft" FAA presentation</p> <p>#2 Recommendation to avoid PED in checked baggage</p> <p><b>NOTE:</b> Reference InFO 17008. Identify the controls, procedures, and processes implemented to address the specific recommended action(s).</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:04 PM,</p> <p><b>QID:</b> 00055607, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>15 Is the certificate holder performing process measurement audits to ensure the mitigation strategies implemented, in response to InFO 17008, are performing as intended?</p> <p><b>NOTE:</b> Reference InFO 17008. Describe the audit process, frequency, and outcomes.</p> <p><b>Safety Attribute:</b> Process Measurement, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:26 PM,</p> <p><b>QID:</b> 00055610, <b>Response Details:</b> Process Measurement ED/EP/SP DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>16 Does the certificate holder have controls, procedures, and/or processes to comply with the passenger and crew member exceptions, outlined in 49 CFR 175.10(a)(18), for checked baggage?</p> <p><b>REFERENCES:</b> 49 CFR 175.10(a)</p> <p><b>NOTE:</b> Review 49 CFR 175.10(a)(18). Describe the certificate holder's method of compliance.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:26 PM,</p> <p><b>QID:</b> 00055611, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	
<p>17 Does the certificate holder have controls, procedures, and/or processes to comply with the passenger and crew member exceptions outlined in 49 CFR 175.10(a)(19)?</p> <p><b>REFERENCES:</b> 49 CFR 175.10(a)</p> <p><b>NOTE:</b> Review 49 CFR 175.10(a)(19). Describe the certificate holder's method of compliance.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129", <b>Rev.</b> 2 1/6/2020 2:46:26 PM,</p> <p><b>QID:</b> 00055612, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</p>	

Questions	Answers	Comments
<p>18 Does the certificate holder have controls, procedures and/or processes to prevent the transportation of damaged, defective, or recalled cells or batteries as cargo, checked baggage, or carry-on baggage in accordance with 49 CFR 173.185(f)?</p> <p><b>REFERENCES:</b> 49 CFR 173.185(f)</p> <p><b>NOTE:</b> Review 49 CFR 173.185(f). Describe the certificate holder's method of compliance.</p> <p><b>Safety Attribute:</b> Procedures, <b>Question Type:</b> Output Validation,</p> <p><b>Scoping Attribute:</b> FAR PART = "121" OR "135" OR "129" , <b>Rev.</b> 2 1/6/2020 2:46:26 PM,</p> <p><b>QID:</b> 00055613, <b>Response Details:</b> EP &amp; ED DCTs (Both OP and AW), <b>Status:</b> Released</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Observable</p> <p><input type="radio"/> Not Applicable</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/O Response Detail (Released, 2.0)**

1	Personnel (e.g., key certificate holder personnel not present/available)
2	Equipment (e.g., equipment not present/available/in serviceable condition)
3	Event did not occur (e.g., did not observe an intoxicated passenger on the flight)
4	Time Constraints (e.g., resources/workload)
5	Weather (e.g., weather needed for observation not present or weather made observation impossible)
6	Other

**Response Details List N/A Response Detail (Released, 2.0)**

1	Not applicable or authorized for the certificate holder or applicant
2	Other

**Response Details List Process Measurement ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)**

1	Inadequate monitoring of operations processes
2	Ineffective evaluations of processes or systems
3	Undocumented or insufficient investigations
4	Failure to conduct audits
5	Ineffective audits
6	Failure to detect changes in the operational environment
7	Personnel failed to perform/follow process (procedures, guidance, etc.)
8	Process failed to meet desired outcome
9	Process oversight failure
10	Other