

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

DCT Type: National/Divisional

Specialty: Operations

Assessment Type: DA

DCT Revision: 6.0 on 01/15/20 (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	Comments
<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>REFERENCES: 5.71(a)</p> <p>Safety Attribute: Process Measurement, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "121" OR "135" OR "141" OR "142" , Rev. 2 1/16/2020 7:20:03 AM,</p> <p>QID: 00055711, 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>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>REFERENCES: 5.91</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "121" OR "135" OR "141" OR "142" , Rev. 2 1/16/2020 7:20:03 AM,</p> <p>QID: 00055712, 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>3 Do the certificate holder's audit findings clearly identify conformances and non-conformances?</p> <p>REFERENCES: 5.71(a)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "121" OR "135" OR "141" OR "142" , Rev. 2 1/16/2020 7:20:03 AM,</p> <p>QID: 00055713, 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>4 When certificate holder non-conformances exist, are they appropriately assigned and corrected?</p> <p>REFERENCES: 5.71(a)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p> <p>Scoping Attribute: FAR PART = "121" OR "135" OR "141" OR "142" , Rev. 2 1/16/2020 7:20:03 AM,</p> <p>QID: 00055714, 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>	

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, 2.0)

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