

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

DCT Type: National/Divisional

Specialty: Operations

Assessment Type: DA **DCT Revision:** 3.0 on 01/15/20 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): Implement a formal process for investigating incidents and accidents including determination of causal factors and a process for developing corrective actions to improve the safety performance of the organization.

Objective (FAA Responsibility): Confirm through design demonstration that the formal process for investigating incidents and accidents determines causal factors and develops corrective actions to improve the safety performance of the organization.

Questions	Answers	Comments
<p>1 Do personnel that conduct investigations of incidents, accidents or other certificate holder defined events have the competencies (i.e., qualification, training, knowledge, and experience) to perform their safety management related duties and responsibilities?</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 "142" OR "141" , Rev. 2 1/16/2020 7:19:38 AM,</p> <p>QID: 00055734, 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 Do personnel that are qualified to conduct investigations of incidents, accidents or other certificate holder defined events follow the organization's process to collect and analyze investigatory data?</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 7:19:38 AM,</p> <p>QID: 00055735, 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 Are corrective actions resulting from the investigatory process being evaluated for effectiveness (i.e., determine whether system deficiencies and ineffective controls have been corrected to improve the safety performance of the organization)?</p> <p>REFERENCES: 5.73(a), 5.75</p> <p>NOTE: Before the investigation is considered complete, system deficiencies and ineffective controls must be corrected.</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 7:19:38 AM,</p> <p>QID: 00055736, 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 As a result of an investigation leading to new or revised processes or procedures, does the certificate holder have clear documentation showing that the safety risk management process was completed prior to deployment into the system?</p> <p>REFERENCES: 5.51</p> <p>NOTE: References include 14 CFR 5.51(a), (b) and (c).</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 7:19:38 AM,</p> <p>QID: 00055737, 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