Unscoped DCT Report (Custom DCT)

DCT Title: SMS–Safety Policy Design Validation(AW)	**DCT Type:** National/Divisional	**Specialty:** Airworthiness	**Assessment Type:** DA	**DCT Revision:** 2.0 on 01/15/20 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): Implement and document a commitment to safety, which defines its safety objectives and employee safety accountabilities and responsibilities.

Objective (FAA Responsibility): Validate the CH has effectively designed an SMS that incorporates a commitment to safety.

Questions	Answers	Comments
1　Does the certificate holder's SMS have a safety policy that includes at least the following minimum requirements: 　#1 The certificate holder's safety objectives; 　#2 A commitment to fulfill the organization's safety objectives; 　#3 A clear statement to commit the necessary resources for implementation of the SMS; 　#4 A safety reporting policy that defines requirements for employee reporting of safety hazards or issues; 　#5 A policy that defines unacceptable behavior and conditions for disciplinary action; and 　#6 An emergency response plan that provides for the safe transition from normal to emergency operations in accordance with the requirements of part 5.27, Coordination of emergency response planning? **REFERENCES:** 5.21(a) **Safety Attribute:** Procedures,　**Question Type:** Output Validation, **Scoping Attribute:**　FAR PART = "121" OR "135" OR "145" OR "141" OR "147" ,　**Rev.** 2 1/15/2020 2:56:34 PM, **QID:** 00048518, **Response Details:** EP & ED DCTs (Both OP and AW),　**Status:** Released	○ Yes ○ No ○ Not Applicable	
2　Does the certificate holder require that its safety policy be: 　#1 In accordance with all applicable regulatory requirements in 14 CFR and must reflect the certificate holder's commitment to safety; 　#2 Be signed by the accountable executive described in part 5.25; 　#3 Documented and communicated throughout their organization; and 　#4 Be regularly reviewed by the accountable executive to ensure it remains relevant and appropriate to the certificate holder? **REFERENCES:** 5.21(a), 5.21(b), 5.21(d), 5.21(c) **Safety Attribute:** Procedures,　**Question Type:** Output Validation, **Scoping Attribute:**　FAR PART = "121" OR "135" OR "145" OR "141" OR "147" ,　**Rev.** 2 1/15/2020 2:56:34 PM, **QID:** 00048525, **Response Details:** EP & ED DCTs (Both OP and AW),　**Status:** Released	○ Yes ○ No ○ Not Applicable	
3　Does the organization's documentation define safety accountability for all organizational personnel, specifically: 　#1 The accountable executive, as described in part 5.25; 　#2 All members of management in regard to developing, implementing, and maintaining SMS processes within their area of responsibility; and 　#3 Employees relative to the certificate holder's safety performance? **REFERENCES:** 5.23(a) **Safety Attribute:** Management Responsibility,　**Question Type:** Output Validation, **Scoping Attribute:**　FAR PART = "121" OR "135" OR "145" OR "141" OR "147" ,　**Rev.** 2 1/15/2020 2:56:34 PM, **QID:** 00048530, **Response Details:** EP & ED DCTs (Both OP and AW),　**Status:** Released	○ Yes ○ No ○ Not Applicable	
4　Do the certificate holder's processes require that all members of management develop, implement and maintain SMS processes within their area of responsibility to include, but not limited to: 　#1 Hazard identification and safety risk assessment; 　#2 Assuring the effectiveness of safety risk controls; 　#3 Promoting safety as required in subpart E, Safety Promotion; and 　#4 Advising the accountable executive on the performance of the SMS and on any need for improvement? **REFERENCES:** 5.23(a) **Safety Attribute:** Management Responsibility,　**Question Type:** Output Validation, **Scoping Attribute:**　FAR PART = "121" OR "135" OR "145" OR "141" OR "147" ,　**Rev.** 2 1/15/2020 2:56:35	○ Yes ○ No ○ Not Applicable	

Questions	Answers	Comments

PM,

QID: 00048534, **Response Details:** EP & ED DCTs (Both OP and AW), **Status:** Released

5 Do the certificate holder's safety management processes identify the levels of management with the authority to make decisions regarding safety risk acceptance? **REFERENCES:** 5.23(b) **Safety Attribute:** Management Authority, **Question Type:** Output Validation, **Scoping Attribute:** FAR PART = "121" OR "135" OR "145" OR "141" OR "147" , **Rev.** 2 1/15/2020 2:56:35 PM, **QID:** 00048539, **Response Details:** EP & ED DCTs (Both OP and AW), **Status:** Released	○ Yes ○ No ○ Not Applicable	

6   Do the certificate holder's safety management processes require the accountable executive to designate sufficient management personnel who, on behalf of the accountable executive, are responsible for:
 	
    #1 Coordinating implementation, maintenance, and integration of the SMS throughout the certificate holder's organization;
    #2 Facilitating hazard identification and safety risk analysis;
    #3 Monitoring effectiveness of safety risk controls;
    #4 Ensuring safety promotion throughout the organization as required in subpart E, Safety Promotion; and
    #5 Regularly reporting to the accountable executive on the performance of the SMS and any need for improvement?
 	
REFERENCES: 5.25(c)
 	
Safety Attribute: Management Responsibility, **Question Type:** Output Validation,
 	
Scoping Attribute: FAR PART = "121" OR "135" OR "145" OR "141" OR "147" , **Rev.** 2 1/15/2020 2:56:35 PM,
 	
QID: 00048540, **Response Details:** EP & ED DCTs (Both OP and AW), **Status:** Released
	○ Yes
	○ No
	○ Not Applicable	

7   Where emergency response procedures are necessary, does the certificate holder develop and the accountable executive approve as part of the safety policy, an emergency response plan that addresses at least the following:
 	
    #1 Delegation of emergency authority throughout the organization;
    #2 Assignment of employee responsibilities during the emergency; and
    #3 Coordination of the emergency response plan with the emergency response plans of other affected organizations (e.g., code share partners, airports, contractors, affiliates, etc.)?
 	
REFERENCES: 5.27(b), 5.27(a), 5.27(c), 5.21(a)
 	
Safety Attribute: Procedures, **Question Type:** Output Validation,
 	
Scoping Attribute: FAR PART = "121" OR "135" OR "145" OR "141" OR "147" , **Rev.** 2 1/15/2020 2:56:35 PM,
 	
QID: 00048546, **Response Details:** EP & ED DCTs (Both OP and AW), **Status:** Released
	○ Yes
	○ No
	○ Not Applicable	

8 Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety policy, processes and procedures? **REFERENCES:** 5.95(b), 5.3(b), 5.95(a) **Safety Attribute:** Procedures, **Question Type:** Output Validation, **Scoping Attribute:** FAR PART = "121" OR "135" OR "145" OR "141" OR "147" , **Rev.** 2 1/15/2020 2:56:35 PM, **QID:** 00048550, **Response Details:** EP & ED DCTs (Both OP and AW), **Status:** Released	○ Yes ○ No ○ Not Applicable	

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