

Standards Board Approved Questions and Answers for RCP Requirements for Incident Investigations, Near-miss Reporting and Corrective Actions

Question	RCP Expectation
Does the company have procedures to describe the process for conducting incident investigations? (II-A-4)	The company's written incident investigation procedures must identify the process that the incident investigation goes through for each type incident identified.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-4)	The company must be able to show records of incident investigations that demonstrate incident investigation process compliance.
Does the company have any other company specific incident reporting and investigation procedures? (II-A-4f)	The Company's written policy/and procedures must include criteria to determine when an investigation is required. (Additional Information: Some other company-specific reporting might be: equipment failures, suspicious activity, dry cargo spillage, loss of steering, personnel issues, bump and go, controlled landings, delays due to maintenance and mechanical issues, etc.)
If applicable, are there written records to demonstrate compliance with the procedure(s) listed in 1.17(a)? (II-A-4f)	If the Company has listed company-specific incidents that require investigations, the company must show written records to verify compliance with its investigation requirement. (Additional Information: Additional components of a Near Miss Program might include; root cause analysis, time lines, training notifications, etc.)
Does the company have one or more near-miss policies and/or procedures which address near-miss reporting? (II-A-5)	The company must have one or more written policies and/or procedures which address the company's expectations for reporting of near miss incidents.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-5)	The company must show written records to verify compliance with the requirement.
Does the company have one or more policies and/or procedures describing how near-miss report information is incorporated into future risk management assessments, as appropriate? (II-A-1b) & (II-A-5)	The company must have written policies and/or procedures that must include an explanation of the company's expectation for how near miss information is incorporated into future risk assessments.
Are there written records to demonstrate compliance with the procedures listed in (question above)? (II-A-1b) & (II-A-5)	The company must show written records to verify compliance with the requirement.
Does the company have one or more near-miss policies and/or procedures which address near-miss investigation? (II-A-5)	The company's written policy and/or procedures must include all other company expectations for investigations of near miss reports.
Are there written records to demonstrate compliance with the procedure listed in (question above)? (II-A-5)	The company must show written records to verify compliance with the requirement.

Question	RCP Expectation
Does the company have one or more near-miss policies and/or procedures which address near-miss corrective action? (II-A-5)	The company must have a written policy and/or procedures that include how corrective actions are generated and addressed from near miss investigation information.
Are there written records to demonstrate compliance with the procedure(s) in (question above)? (II-A-5)	The company must show written records to verify compliance with the requirement.
Does the company have written corrective action policies and procedures that apply to findings from <u>deficiencies identified during maintenance</u> ? (II-A-6) & (II-B-7d)	The company must have a written policy and/or procedures that include how corrective actions are addressed from findings of deficiencies identified during routine and non-routine maintenance.
Are there written records to demonstrate compliance with the procedure(s) in (question above)? (II-A-6) & (II-B-7d)	The company must show written records to verify compliance with the requirement.
Does the company have written corrective action policies and procedures that apply to findings from <u>deficiencies identified during internal and external incident investigations and audits</u> ? (II-A-6)	The company must have a written policy and/or procedures that include how corrective actions are addressed from findings of deficiencies identified during internal and external investigations and audits.
Are there written records to demonstrate compliance with the procedure(s) in (question above)? (II-A-6)	The company must show written records to verify compliance with the requirement.
Does the company have written corrective action policies and procedures that apply to findings from <u>deficiencies identified during employee and customer suggestions</u> ? (II-A-6)	The company must have a written policy and/or procedures that include how corrective actions are addressed from findings of deficiencies identified during employee and customer suggestions.
Are there written records to demonstrate compliance with the procedure(s) in (question above)? (II-A-6)	The company must show written records to verify compliance with the requirement.
Does the company have written corrective action policies and procedures that apply to findings from <u>deficiencies identified during management review</u> ? (II-A-6)	The company must have a written policy and/or procedures that include how corrective actions are addressed from findings of deficiencies and deficiencies identified during management reviews.
Are there written records to demonstrate compliance with the procedure(s) in (question above)? (II-A-6)	The company must show written records to verify compliance with the requirement.
Do the policies and/or procedures address the method for identifying non-conformities? (II-A-6a)	The company's written corrective actions policies and/or procedures must address the method of identifying non-conformities and deficiencies.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-6a)	The company must show written records to verify compliance with the requirement.
Do the policies and/or procedures address the follow-up time frame for initiating corrective action? (II-A-6b)	The company's written corrective actions policies and/or procedures must address management's expectations of the follow-up time frame for initiating the corrective actions.

Question	RCP Expectation
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-6b)	The company must show written records to verify compliance with the requirement.
Do the policies and/or procedures address the method for tracking initiation and completion of corrective action? (II-A-6c)	The company's written corrective actions policies and/or procedures must address the method of tracking initiation and the follow through to completion of corrective actions.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-6c)	The company must show written records to verify compliance with the requirement.
Do the policies and/or procedures address the method for assigning responsibility for completing corrective action? (II-A-6c)	The company's written corrective actions policies and/or procedures must address the method for assigning responsibility for completing corrective actions.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-6c)	The company must show written records to verify compliance with the requirement.
Do the policies and/or procedures address lessons learned? (II-A-6d)	The company's written corrective actions policies and/or procedures must address the development of lessons learned from the necessary corrective actions that were initiated.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-6d)	The company must show written records to verify compliance with the requirement.
Do the policies and/or procedures include communication procedures for disseminating lessons learned? (II-A-6d)	The company's written corrective actions policies and/or procedures must include communication procedures for disseminating lessons learned to the rest of the company to help prevent future occurrences.
Are there written records to demonstrate compliance with the procedure(s) listed in (question above)? (II-A-6d)	The company must show written records to verify compliance with the requirement.