

Safety Attribute Inspection (SAI) Data Collection Tool
6.1.3 Flight Attendant Duty / Rest Time (OP)
Revision#: 11 Revision Date: 07/24/2015

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): To ensure that flight attendants are assigned duty and rest periods, and/or flight time if applicable, in compliance with the regulations.

Objective (FAA oversight responsibility): To determine if the operator's Flight Attendant Duty/Rest Time process:

- Meets all applicable requirements of Title 14 of the Code of the Federal Regulations (14 CFR) and FAA policies.
- Incorporates the safety attributes, and
- Identifies any shortfalls in the operator's Flight Attendant Duty/Rest Time process.

Specific Instructions:

The inspector will review the operations specifications, particularly paragraph A032, to determine if the operator has adopted the flight crewmember flight time limitations and rest requirements rule for its flight attendants.

SUPPLEMENTAL INFORMATION

Regulatory Requirements:

A.032, Adoption of Flight Crewmember Flight Time Limitation Rules to Establish Flight Attendant Duty & Flight Time Limitations & Rest Restrictions
A.318, Fatigue Risk Management System (FRMS) Authorization Applicable to Title 14 Code Federal Regulations Part 117
A.319, Part 117 Fatigue Education and Awareness Training Program Update and Approval
117.3, Definitions
117.5, Fitness for duty
117.7, Fatigue risk management system
117.9, Fatigue Education and Awareness Training
117.11, Flight time limitation
117.13, Flight Duty Period: Unaugmented Operations
117.15, Flight duty period: Split duty
117.17, Flight duty period: Augmented flightcrew
117.19, Flight duty period extensions
117.21, Reserve status
117.23, Cumulative limitations
117.25, Rest period
117.29, Emergency and government sponsored operations
117.Table C to Part 117, Flight Duty Period: Augmented Operations
117.Table B to Part 117, Flight Duty Period: Unaugmented Operations
117.Table A to Part 117, Maximum Flight Time Limits for Unaugmented Operations
119.43, Certificate holder's duty to maintain operations specifications.
121.135, Manual contents

121.394, Flight attendant requirements during passenger boarding and deplaning
121.467, Flight attendant duty period limitations and rest requirements: Domestic, flag, and supplemental operations.
121.683, Crewmember and dispatcher record.

Related CFRs & FAA Policy/Guidance:

Related CFRs:

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FAA Policy/Guidance:

FAA Order 8900.1, Volume 3, Chapter 33, Section 6
Interpretation 1997-6, FAD Digest of Interpretation: Federal Aviation Decisions
Amendment 121-241, 59FR42974

SAI SECTION 1 - PROCEDURES ATTRIBUTE

Objective:

The questions in this section of the SAI will help verify that the operator's documented procedures identify who, what, when, where, and how those procedures are accomplished. These procedures must allow all personnel to perform their duties and responsibilities with a high degree of safety.

14 CFR part 121.135(a)(1)

Tasks

	The inspector shall accomplish the following tasks:
1	Review the information in the Supplemental Information section of this SAI.
2	Review the duties and responsibilities for management and other personnel who accomplish the processes associated with this element.
3	Review the documentation of the processes associated with this element.
4	Review documented interfaces to identify interactions between related processes, interactions within this element process, and between one person, workgroup, or organization to another that the operator uses to accomplish this process.

Questions

1.1	<p>Do procedures prohibit assigning a flight attendant to a duty period of more than 14 hours, except when the following provisions are met?</p> <ul style="list-style-type: none"> • If the duty period is more than 14 hours and no more than 16 hours, there is at least one more flight attendant than the minimum number required by the operations specifications. • If the duty period is more than 16 hours and no more than 18 hours, there are at least two more flight attendants than the minimum number required by the operations specifications. • If the duty period is more than 18 hours and no more than 20 hours and includes one or more flights that land or take off outside the 48 contiguous states and the District of Columbia, there are at least three more flight attendants than the minimum number required by the domestic operations specifications. <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(1); 121.467(b)(4); 121.467(b)(5); 121.467(b)(6) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.2	<p>When flight attendants have a duty period of 14 hours or less, do procedures specify rest requirements of:</p> <ul style="list-style-type: none"> • At least 9 consecutive hours between completion of one duty period and the beginning of the next duty period; or • At least 8 consecutive hours if at least a 10-hour rest period is provided no later than 24 hours after the beginning of the reduced rest period and between the end of the completed duty period and the beginning of the next duty period? 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(2); 121.467(b)(3) Kind Of Question: Flag, Supplemental, Domestic</p>	
<p>1.3</p>	<p>When flight attendants have a duty period of more than 14 hours but no more than 20 hours, do procedures specify rest requirements of:</p> <ul style="list-style-type: none"> • At least 12 consecutive hours between completion of duty period and the beginning of the next duty period; or • At least 10 consecutive hours if at least a 14-hour rest period is provided no later than 24 hours after the beginning of the reduced rest period and between the end of the completed duty period and the beginning of the next duty period. <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(7); 121.467(b)(8) Kind Of Question: Flag, Supplemental, Domestic</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>
<p>1.4</p>	<p>When a flight attendant has had a duty period of more than 14 hours but no more than 20 hours, and if a rest period has been reduced to 10 consecutive hours, do procedures prohibit assigning that flight attendant to a duty period of no more than 14 hours during the 24-hour period starting after the beginning of the reduced rest period?</p> <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(9) Kind Of Question: Flag, Supplemental, Domestic</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>
<p>1.5</p>	<p>Do procedures prohibit assigning a flight attendant to any duty unless that flight attendant has had at least the minimum rest required?</p> <p>Note(s): <i>For duty periods of 14 hours or less, rest requirements are:</i></p> <ul style="list-style-type: none"> • <i>At least 9 consecutive hours between completion of one duty period and the beginning of the next duty period; or</i> • <i>At least 8 consecutive hours if at least a 10-hour rest period is provided no later than 24 hours after the beginning of the reduced rest period and between the end of the completed duty period and the beginning of the next duty period.</i> <p><i>For duty periods of more than 14 hours but no more than 20 hours, rest requirements are:</i></p> <ul style="list-style-type: none"> • <i>At least 12 consecutive hours between completion of duty period and the beginning of the next duty period; or</i> • <i>At least 10 consecutive hours if at least a 14-hour rest period is provided no later than 24 hours after the beginning of the reduced rest period and between the end of the completed duty period and the beginning of the next duty period.</i> <p><i>The operator is prohibited from assigning a flight attendant to any duty with the operator during any required rest period.</i></p> <p>Updated: Rev # 3 on 03/03/2010</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>

	SRRs: 121.467(b)(10); 121.467(b)(11) Kind Of Question: Flag, Supplemental, Domestic	
1.6	Do procedures specify that time spent by any crew member conducting passenger boarding or deplaning duties is considered duty time? Updated: Rev # 5 on 03/01/2011 SRRs: 121.394(d) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7	Do procedures specify that time spent in transportation not local in character, as defined in 14 CFR 121.467(b)(12), is not part of a rest period? Note(s): <i>Time spent transporting the flight attendant to a non-local airport at which the next duty period begins, or transporting the flight attendant to the home station from a non-local airport where the previous duty period ended is not considered part of a rest period.</i> Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(12) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.8	Do procedures require each flight attendant to be relieved of all duty for at least 24 consecutive hours during any seven consecutive calendar days? Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(13) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.9	Do procedures specify that a flight attendant is not considered to be scheduled in excess of duty period limitations if the flights to which the flight attendant is assigned are scheduled and normally terminate within the limitations but, due to circumstances beyond the control of the operator, are not at the time of departure expected to reach their destination within the scheduled time? Updated: Rev # 3 on 03/03/2010 SRRs: 121.467(b)(14) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.10	If the operator elects to apply the flight crewmember flight time, duty limitations, and rest requirements of 14 CFR part 117 to flight attendants, do procedures: <ul style="list-style-type: none"> • Apply to all flight attendants used in the operation; • Include the flight crewmember requirements of 14 CFR part 117, as appropriate, except that rest facilities onboard the aircraft are not required; • Include provisions to add one flight attendant to the minimum number required for each flight crewmember added under 14 CFR part 117; and • Have the approval of the Administrator and a description or reference in the operations specifications? Note(s): <i>OpSpec A032 must reflect the applicable requirements of 14 CFR part 117.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p>Updated: Rev # 9 on 06/23/2014 SRRs: A.032; 117.3; 121.467(c)(1)(i); 121.467(c)(1)(ii); 121.467(c)(1)(iii); 121.467(c)(1)(iv) Kind Of Question: Flag, Supplemental, Domestic</p>	
<p>1.11</p>	<p>When issued operations specifications A032, and authorized to utilize flight crewmember flight, duty, and rest requirements for flight attendants, do procedures specify the appropriate flight time limitations and rest requirements?</p> <p>Note(s): <i>If unforeseen operational circumstances occur after takeoff beyond the operator's control, a flightcrew member may exceed the maximum flight time specified in 14 CFR part 117.23(a) and the cumulative flight time limits in 14 CFR part 117.23(b) to the extent necessary to safely arrive at the next destination airport or alternate, as appropriate.</i></p> <p>Updated: Rev # 11 on 07/24/2015 SRRs: A.032; 117.11; 117.13; 117.15; 117.17; 117.19; 117.21; 117.23; 117.25; 117.29; 117.Table A to Part 117; 117.Table B to Part 117; 117.Table C to Part 117 Kind Of Question: Flag, Supplemental, Domestic</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>
<p>1.12</p>	<p>When utilizing flight crewmember flight, duty, and rest requirements, do the fitness for duty procedures specify that:</p> <ul style="list-style-type: none"> • Each flight attendant reports for flight duty rested and prepared for duty performance; • The operator refrain from assigning and/or a flight attendant refrains from accepting an assignment to a flight-duty period if the flight attendant reports too fatigued to safely perform their assigned duties; and • Each flight attendant follows the operator's process to affirmatively state they are fit for duty prior to commencing each flight? <p>Note(s): <i>The flight attendant's affirmative fit for duty statement must be in accordance with the operator's process for each dispatch or flight release, as applicable.</i></p> <p>Updated: Rev # 9 on 06/23/2014 SRRs: 117.5 Kind Of Question: Flag, Supplemental, Domestic</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>
<p>1.13</p>	<p>When utilizing flight crewmember flight, duty, and rest requirements, do procedures require that crew schedulers who assign flight attendants under the provisions of 14 CFR part 117, be trained in accordance with an approved fatigue education and awareness program?</p> <p>Note(s): <i>The requirements of this training program may be found in 14 CFR 117.9(b). Fatigue education and awareness training programs are a requirement of an operator's Fatigue Risk Management System (FRMS) or Fatigue Education and Awareness Training (FEAT), as applicable according to operations specifications.</i></p> <p>Updated: Rev # 9 on 06/23/2014</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable</p>

	SRRs: A.318; A.319; 117.7; 117.9(a); 117.9(b) Kind Of Question: Flag, Supplemental, Domestic	
1.14	<p>Do procedures require records for each flight attendant showing compliance with flight, duty, and rest time requirements?</p> <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.683(a)(1); 121.683(b); 121.683(c) Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> The operator conducting supplemental operations includes instructions and information necessary to allow personnel concerned to maintain the records required by 14 CFR section 121.683(a) at its principal base of operations or at another location used by the operator, if approved by the Administrator. <p><i>Sources:</i> 121.683(b)</p> <ol style="list-style-type: none"> If the operator has a computer record system approved by the Administrator, the operator specifies current records of compliance with flight/duty limitations and rest requirements are maintained. <p><i>Sources:</i> 121.683(c)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.15	<p>Do procedures comply with the related requirements of Preamble Amendment PRE 121-241 published in 59FR42974?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> If an operator assigns a flight attendant to an interim break in duty at a hotel (i.e., less than a minimum rest period), the operator specifies that a break is included within the duty period limitations. <p><i>Sources:</i> Amendment 121-241, 59FR42974</p> <ol style="list-style-type: none"> The operator specifies that a flight attendant who reports for duty to find that the flight has been canceled has begun a duty period and, if released, requires a complete rest period unless the operator keeps the flight attendant on duty for reassignment. <p><i>Sources:</i> Amendment 121-241, 59FR42974</p> <ol style="list-style-type: none"> The operator specifies that the operator does not manipulate the use of time zones when calculating 7 consecutive calendar days so as to vary the number of hours that comprise any 7 consecutive calendar days. <p><i>Sources:</i> Amendment 121-241, 59FR42974</p> <ol style="list-style-type: none"> The operator specifies that if a flight attendant reports for duty and is later reassigned, the scheduled duty time before reassignment must be counted as part of the total duty period. Any changes to a flight attendant's schedule after a duty period begins must be made in 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p>accordance with the duty period limitations and rest requirements.</p> <p>Sources: Amendment 121-241 59FR42974</p>	
1.16	<p>Do the procedures address the intent of the guidance contained in Pilot in Command Responsibility regarding Flight Attendant Duty and Rest, Interpretation 1997-6?</p> <p>Note(s): Cabin Safety Legal Interpretations may be found at http://www.faa.gov/about/initiatives/cabin_safety/regs/legal/.</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> The operator's instructions and information regarding flight attendant duty and rest rules include that the Pilot in Command cannot initiate an aircraft operation if he/she knows that certain safety regulations, including flight attendant duty and rest rules, would be violated. <p>Sources: Interpretation 1997-6, Federal Aviation Decisions, page I-137</p> <ol style="list-style-type: none"> The operator's instructions and information regarding flight attendant duty and rest rules include that if a flight attendant knows he/she will exceed duty time limitations before the completion of all of his assigned flights for the day, he/she should communicate that fact to both the operator's management and the Pilot-in-Command. <p>Sources: Interpretation 1997-6, Federal Aviation Decisions, page I-137</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.17	<p>Do the procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 33, Section 6?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> If an operator chooses to apply the flight crewmember flight time and duty limitations and rest requirements of 14 CFR section 121 to flight attendants, the operator has established written procedures that show that the operator applies the definition of "rest period" to flight attendants. <p>Sources: FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3571A.7</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.18	<p>Does the manual include a requirement to comply with the operations specifications related to this element including clearly identified excerpts, references, mandatory compliance requirements, or other information that will keep employees informed of the impact on their duties and responsibilities?</p> <p>Updated: Rev # 3 on 03/03/2010 SRRs: 119.43(b); 119.43(c); 121.135(a)(4)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	Kind Of Question: Flag, Supplemental, Domestic	
1.19	<p>Does the manual contain policies and procedures that include the duties and responsibilities for personnel involved with this element?</p> <p>Note(s): <i>This includes personnel, in addition to those required by 14 CFR part 119, who have authority and responsibility for processes covered by this element.</i></p> <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.135(b)(2) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.20	<p>Does the manual refer to the appropriate sections of 14 CFR, and are the procedures consistent with the appropriate 14 CFR references or operating certificate concerning this element?</p> <p>Note(s): <i>Procedures for Flag and Supplemental operations must be consistent with applicable foreign regulations as well.</i></p> <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.135(a)(4); 121.135(b)(3) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.21	<p>Does the manual contain general policies that require compliance with the SRRs?</p> <p>Updated: Rev # 3 on 03/03/2010 SRRs: 121.135(b)(1) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.22	<p>Are the procedures written in enough detail to ensure the effective coordination of work activities from one person, workgroup, or organization to another to ensure the desired result?</p> <p>Updated: Rev # 8 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 1 - PROCEDURES ATTRIBUTE	
Drop-Down Menu	
1.	No policy, procedures, instructions, or information specified.
2.	Procedures or instructions and information do not identify who, what, when, where, how.
3.	Policy, procedures, or instructions and information do not comply with CFR.
4.	Policy, procedures, or instructions and information do not comply with FAA policy and guidance.
5.	Policy, procedures, or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen Charts, etc.).
6.	Policy, procedures, or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Policy, procedures, or instructions and information inconsistent across certificate holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Policy, procedures, or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE

Objective:

The questions in this section of the SAI will help determine if controls (i.e. checks and restraints) are designed into the processes associated with this element to ensure policies and procedures are followed to achieve desired results.

Tasks

The inspector shall accomplish the following task:

- 1 Review the control questions below.
- 2 Review the policies, procedures, instructions and information to understand the controls associated with this element.

Questions

2.1	<p>Are there controls that ensure flight attendants are given the required rest periods by the operator before reporting for duty?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2	<p>Are there controls that ensure flight attendants are free from duties assigned by the operator during required rest periods?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3	<p>Are there controls that ensure the operator releases flight attendants from duty for 24 consecutive hours in each 7 consecutive calendar day period?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4	<p>If applicable, are there controls that ensure flight crewmember flight time and duty limitations and rest requirements are met for flight attendants?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5	<p>Are controls in place that ensure, for operators applying the provisions of flight crewmember flight, duty and rest under 14 CFR part 117, that the fitness for duty requirements are met for flight attendants?</p> <p>Updated: Rev # 9 on 06/23/2014 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.6	<p>Are controls in place that ensure, for operators applying the provisions of flight crewmember flight, duty and rest under 14 CFR part 117, that the flight attendants are assigned by crew schedulers trained in accordance with an approved fatigue education and awareness program?</p> <p>Updated: Rev # 11 on 07/24/2015 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

2.7	<p>Are there controls that ensure flight attendants are scheduled so their duty periods will not be exceeded without the required rest and/or augmentation?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8	<p>Are there controls that ensure the operator maintains current records of each flight attendant showing compliance with flight/duty limitations and rest requirements?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 2 - CONTROLS ATTRIBUTE

Drop-Down Menu

1.	No controls specified.
2.	Documentation for the controls do not identify who, what, when, where, how.
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

Objective:

Process measurements ensure the operator uses an internal evaluation function to detect, identify, and eliminate or control hazards and the associated risk. For airworthiness elements this is a required function of the operator's Continuing Analysis and Surveillance System (CASS), required by 14 CFR part 121.373. The director of safety and the quality assurance department often work together to accomplish this function for the operator. Negative findings could require amendments to the safety/internal evaluation program or CASS audit forms or checklists.

Tasks

	The inspector shall accomplish the following tasks:
1	Review the control questions in Section 2 of this SAI.
2	Review the operator's policies, procedures, instructions, and information to gain an understanding of the process measurements accomplished for this element.

Questions

3.1	<p>Are there process measurements that evaluate whether the operator's policies, procedures, and controls are achieving the desired results?</p> <p>Note(s): <i>Inspectors should refer to the controls in Section 2 of this SAI for possible process measurements for this element.</i> <i>Persons engaged in this process should have a method for identifying undesired results.</i></p> <p>Updated: Rev # 4 on 09/01/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2	<p>Do the operator's process measurements assess the performance of the processes associated with this element?</p> <p>Note(s): <i>Verify audits exist to measure this elements performance.</i> <i>Verify audits are scheduled for this element.</i> <i>Verify audits ensure everyone, including all outsource providers, comply with the operator's program, manual and all applicable regulations and statutes.</i></p> <p>Updated: Rev # 4 on 09/01/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3	<p>Does the operator's program require the documentation of process measurement results?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4	<p>Does the operator's program describe how the process measurement results are used to improve the ability to achieve the desired results?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

3.5	<p>Does the organization that conducts the process measurements have direct access to the person with responsibility for this element?</p> <p>Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE Drop-Down Menu	
1.	No process measurements specified.
2.	Documentation for the process measurements does not identify (who, what, when, where, how).
3.	Inability to identify negative findings.
4.	No provisions for implementing corrective actions.
5.	Ineffective follow-up to determine effectiveness of corrective actions.
6.	Resources requirements (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 4 - INTERFACES ATTRIBUTE

Objective:

Data collected in this section helps the principal inspector determine if the operator identifies, documents and manages change between this process and other related processes within the operator's organization. It is important for the operator to identify and document where interactions between processes exist, and to have a method of managing change between these processes. Written policies, procedures, or instructions and information that are interrelated and located in different manuals within the operator's manual system must be consistent to allow personnel to perform their duties and responsibilities with a high degree of safety.

Tasks

	The inspector shall accomplish the following task:
1	Review interfaces associated with the processes for this element.

Questions

4.1	Does the operator identify and document the interfaces between processes? Updated: Rev # 8 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.2	Does the operator have a method to evaluate the impact of changes in this process to other related processes that interface with this process? Updated: Rev # 8 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 4 - INTERFACES ATTRIBUTE

Drop-Down Menu

1.	No interfaces specified.
2.	The following interfaces not identified within the certificate holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

Objective:

Data from questions in this section will help determine if there is an identifiable, qualified (when required by CFR), and knowledgeable person who:

- Is responsible for the process,
- Is answerable for the quality of the process, and
- Has the authority to establish and modify the process.

Tasks

	The inspector shall accomplish the following tasks:
1	Identify the person(s) who has overall responsibility for this element.
2	Identify the person(s) who has the authority to revise the procedures associated with this element.
3	Review the duties and responsibilities of the above person(s).
4	Review the appropriate organizational chart.

Questions

5.1	Is an individual(s) identified who is responsible for the quality of the procedures associated with this element? Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.2	Is an individual(s) identified who has the authority to establish and modify the policies, procedures, instructions, and information associated with this element? Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.3	Are duties and responsibilities documented for those who manage the procedures associated with this element? Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.4	Does the operator document the procedures for delegation of authority for this element? Updated: Rev # 3 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE
Drop-Down Menu

1.	Not documented.
2.	Documentation unclear.

3. Documentation incomplete.
4. Other.