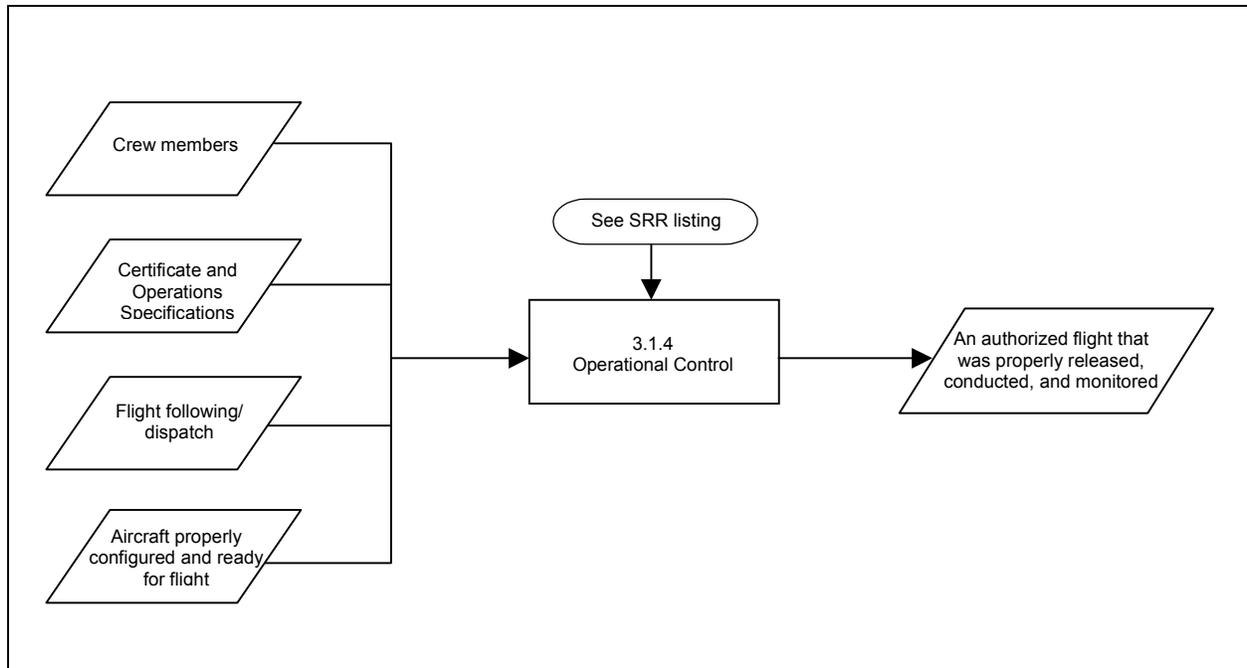


Safety Attribute Inspection (SAI) Job Aid



ELEMENT SUMMARY INFORMATION

Element: 3.1.4 Operational Control

Purpose of this Element (Air Carrier's responsibility): To exercise control and authority over initiating, conducting, or terminating flights.

Objective (FAA responsibility): To determine if the Air Carrier adheres to its approved procedures and controls for the Operational Control process.

Inputs:

- Crew Members
- Certificate and Operations Specifications
- Flight Following/Dispatch
- Aircraft Properly Configured and Ready for Flight

Outputs:

- An authorized flight that was properly released, conducted, and monitored.

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Performance Measures:

- All flights are operated in accordance with Operations Specifications over approved routes/areas.
- The air carrier has sufficient facilities for releasing and monitoring their flights.
- The air carrier can communicate with a flight at any point along their route.
- High minimum Pilots in Command are properly tracked and assigned.
- Pilots who have not accrued at least 75 hours of flight time in category, class, or type, are not paired together.
- Special airports are properly identified and flight crews assigned to use them are qualified.
- All flights are operated with properly trained and qualified crews.
- Dispatchers are properly qualified and certificated.
- All crewmembers are always in compliance with their flight and duty time limitations.
- All dispatchers are in compliance with their duty time limitations.
- All flights are properly released.
- While enroute, all flights are monitored for changes in airport conditions that may affect safety of flight.
- Destination and alternate airport weather is monitored for continued adequacy during flight.
- The air carrier collects and disseminates required, up to date, operational data when needed.
- Flight Followers/Dispatchers are aware of all mechanical irregularities affecting the flights they are monitoring.
- The air carrier exercises emergency handling, when necessary, in compliance with their accepted procedures.
- The air carrier maintains current records of crewmember and dispatcher training, qualifications, and any required physical examinations.
- The air carrier follows approved procedures for qualifying crewmembers and dispatchers in operations utilizing equipment interchange.
- The operator retains copies of the following documents:
 - Load Manifest;
 - Dispatch/Flight Release;
 - Airworthiness Release;
 - Flight Plan; and
 - Communication Log.

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SRR:

- 65.51, Certificate required. (*Dispatchers*)
- 119.5, Certifications, authorizations, and prohibitions.
- 119.7 (a), Operations specifications.
- 119.9 (a, b), Use of business names.
- 119.33 (a-c), General requirements.
- 119.47 (a, b), Maintaining a principal base of operations, main operations base, and main maintenance base; change of address.
- 119.49 (b), Contents of operations specifications.
- 119.63 (a, b), Recency of operation.
- 121.99 (a, b), Communications facilities.
- 121.351 (b, c), Radio and navigation equipment for extended overwater operations and for certain other operations.
- 121.395, Aircraft dispatcher: Domestic and flag operations.
- 121.443, Pilot in command qualification: Route and airports.
- 121.445, Pilot in command airport qualification: Special areas and airports.
- 121.463 (a-d), Aircraft dispatcher qualifications.
- 121.465 (a-c), Aircraft dispatcher duty time limitations: Domestic and flag operations.
- 121.533 (a-f), Responsibility for operational control: Domestic operations.
- 121.535 (a-f), Responsibility for operational control: Flag operations.
- 121.537 (a-f), Responsibility for operational control: Supplemental operations.
- 121.539, Operations notices.
- 121.541, Operations schedules: Domestic and flag operations.
- 121.551, Restriction or suspension of operation: Domestic and flag operations.
- 121.553, Restriction or suspension of operation: Supplemental operations.
- 121.555 (a, b), Compliance with approved routes and limitations: Domestic and flag operations.
- 121.557 (b, c), Emergencies: Domestic and flag operations.
- 121.559 (b, c), Emergencies: Supplemental operations.
- 121.561 (a, b), Reporting potentially hazardous meteorological conditions and irregularities of ground and navigation facilities.
- 121.569 (a, b), Equipment interchange: Domestic and flag operations.
- 121.599 (a, b), Familiarity with weather conditions.
- 121.601 (a-c), Aircraft dispatcher information to pilot in command: Domestic and flag operations.
- 121.603 (a, b), Facilities and services: Supplemental operations.
- 121.605, Airplane equipment.
- 121.607 (a, b), Communication and navigation facilities: Domestic and flag operations.
- 121.609, Communication and navigation facilities: Supplemental operations.
- 121.627 (a), Continuing flight in unsafe conditions.
- 121.631 (b-d), Original dispatch or flight release, redispach or amendment of dispatch or flight release.
- 121.652, Landing weather minimums: IFR: All certificate holders.
- 121.655, Applicability of reported weather minimums.
- 121.657 (a-d), Flight altitude rules.
- 121.667 (a), Flight plan: VFR and IFR: Supplemental operations.

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SRR: (Continued)

- 121.683 (a, b), Crewmember and dispatcher record.
- 121.711, Communication records: Domestic and flag operations.

Other CFRs and/or FAA Guidance:

- SFAR80 - Alternative Communications and Dispatching Procedures
- FAA Order 8400.10, Volume 3, Chapter 1, Section 3, Paragraph 77, Operations Specifications, Paragraph A8 - Operational Control.
- FAA Order 8400.10, Volume 3, Chapter 1, Section 3, Paragraph 105, Operations Specifications, Paragraph A28 - Aircraft Wet Lease Arrangements.
- FAA Order 8400.10, Volume 3, Chapter 1, Section 3, Paragraph 107, Operations Specifications, Paragraph A29 - Aircraft Interchange Arrangements.
- FAA Order 8400.10, Volume 3, Chapter 6, Section 1, Operational Control, General Topics
- FAA Order 8400.10, Volume 3, Chapter 6, Section 3, Paragraph 1203, Operational Control, Part 121 Flight Release Systems And Supplemental Operating Rules.
- FAA Order 8400.10, Volume 3, Chapter 8, Section 1, Paragraph 1479, Air Carrier Management Effectiveness, Emphasis Areas.
- FAA Order 8400.10, Volume 3, Chapter 8, Section 1, Paragraph 1489, Air Carrier Management Effectiveness, Operational Control.
- FAA Order 8400.10, Volume 3, Chapter 13, Section 1, Paragraph 1883, Lease and Interchange Agreements, Background and Definitions.
- FAA Order 8400.10, Volume 3, Chapter 13, Section 2, Paragraph 1889, Lease and Interchange Agreements, Dry Lease Agreements
- FAA Order 8400.10, Volume 3, Chapter 13, Section 3, Paragraph 1895, Lease and Interchange Agreements, Let Lease Agreements
- FAA Order 8400.10, Volume 3, Chapter 13, Section 3, Paragraph 1897, Lease and Interchange Agreements, Processing Wet Lease Agreements.
- FAA Order 8400.10, Volume 3, Chapter 13, Section 3, Paragraph 1899, Lease and Interchange Agreements, Determination of Operational Control.
- FAA Order 8400.10, Volume 3, Chapter 13, Section 3, Paragraph 1901, Lease and Interchange Agreements, Amending Operations Specifications.
- FAA Order 8400.10, Volume 3, Chapter 13, Section 4, Paragraph 1907, Lease and Interchange Agreements, Interchange Agreements
- FAA Order 8400.10, Volume 3, Chapter 13, Section 4, Paragraph 1909, Lease and Interchange Agreements, Approval Procedures.
- FAA Order 8400.10, Volume 3, Chapter 13, Section 4, Paragraph 1911, Lease and Interchange Agreements, Amending Operations Specifications.
- FAA Order 8400.10, Volume 4, Chapter 1, Section 6, Paragraph 289, Air Navigation and Communications, General Communication Concepts, Policies, and Guidance.
- FAA Order 8400.10, Volume 4, Chapter 2, Section 4, Paragraph 541. Basic Air Carrier Operation Minimums.
- FAA Order 8400.10, Volume 6, Chapter 2, Section 18, Figure 6.2.18.1, Operational Control Inspections, Dispatch Job Aid.

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Other CFRs and/or FAA Guidance: (Continued)

- FAA Order 8400.10, Volume 6, Chapter 2, Section 19, Paragraph 473, Station Facilities Inspections, Specific Inspection Practices and Procedures.
- FAA Order 8400.10, Volume 3, Chapter 5, SECTION 5. Aircraft Dispatcher Qualification Curriculum Segments and Recurrent and Requalification Curriculums
- FAA Order 8400.10, Volume 3, Chapter 6, Section 1, Paragraph 1153. Weather Information for Control of Flight Operations.
- FAA Order 8400.10, Volume 3, Chapter 6, SECTION 2. Flight Dispatch Systems and domestic Operating Rules
- FAA Order 8400.10, Volume 3, Chapter 6, Section 3, PART 121 Flight Release Systems and Supplemental Operating Rules
- FAA Order 8400.10, Volume 3, Chapter 6, Section 4, PART 121 Flag Operations, Supplemental Operations Outside the Contiguous States, and Extended Overwater Operations
- FAA Order 8400.10, Volume 3, Chapter 8, Section 1, Paragraph 1489. Operational Control.
- FAA Order 8400.10, Volume 3, Chapter 11, Section 3, Paragraph 1811. Currency Periods for recordkeeping Systems.
- FAA Order 8400.10, Appendix 3, HBAT 96-06 - Outsourced Crew Training: Audit by Operators
- FAA Order 8400.10, Appendix 4, Attachment G, Training/Testing & Operating Experience

Safety Attribute Inspection (SAI) Job Aid

SRR SPECIFIC INFORMATION

SRR	Intent	Inspectors
121.99 (a)	To ensure that the aircraft has 2-way radio communication with both ATC and the company along the scheduled route of flight.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.99 (b)	To ensure that the aircraft's 2-way radio communication is independent of air traffic control. (With the exception of domestic operations conducted in Alaska – see SFAR80).	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.395	To require that domestic or flag air carriers have enough qualified dispatchers to ensure proper operational control.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.463 (a-c)	Enumerates the Dispatcher qualification requirements for Domestic and Flag operators.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.465(a)	To provide the dispatcher time to become thoroughly familiar with current and forecast weather before dispatching aircraft.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.465 (b, c)	To limit duty time and to require rest periods for dispatchers.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.533 (a-f)	To list the duties and responsibilities of Dispatchers and Pilots in Command for operational control during domestic operations.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.535 (a-f)	To list the duties and responsibilities of Dispatchers and Pilots in Command for operational control during flag operations.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.539	To ensure that the company shall notify their operations personnel of changes in equipment, operations procedures, and flight hazards that may affect the safety of the flight.	<i>Certification: ASI</i> <i>Surveillance: ASI</i>
121.541	To ensure that prior to the beginning of each intermediate leg of flight, each Domestic or Flag Operator schedules sufficient time for the aircraft to be properly serviced and ready for departure.	<i>Certification: ASI</i> <i>Surveillance: ASI</i>
121.551	To require Domestic and Flag Operators to suspend operations when any conditions are discovered that are a hazard to safe operations.	<i>Certification: ASI</i> <i>Surveillance: ASI</i>
121.553	To require an air carrier or pilot in command, when conducting supplemental operations, to suspend operations when any conditions are discovered that are a hazard to safe operations.	<i>Certification: ASI</i> <i>Surveillance: ASI</i>
121.555 (a, b)	To prohibit pilots in scheduled air transportation from flying on route structures contrary to their approved Operations Specifications.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>

Safety Attribute Inspection (SAI) Job Aid

SRR	Intent	Inspectors
121.557 (b, c)	To ensure, during scheduled operations, that the dispatcher shall inform the pilot in command, operations management, and ATC of any emergencies and shall declare an emergency if the pilot cannot.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.559 (b, c)	To ensure, during supplemental operations, that operations management personnel shall inform the pilot in command and ATC of any emergencies and shall declare an emergency if the pilot cannot.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.561 (a)	To ensure that the pilot in command shall inform any ground radio station of hazardous weather or navigational irregularities.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.561 (b)	To ensure that a ground radio station notified of any hazardous weather or navigation irregularities shall report this information to the responsible operating facility.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.569 (a)	To ensure, during interchange agreements, that crewmembers, dispatchers, and maintenance personnel are properly trained and qualified. The aircraft operated must be the same type.	<i>Certification: ASI</i> <i>Surveillance: ASI</i>
121.569 (b)	To ensure that the procedures and provisions for interchange agreements must be included in the operator's Manuals.	<i>Certification: ASI</i> <i>Surveillance: ASI</i>
121.599 (a, b)	To require a thorough knowledge of weather conditions expected prior to releasing or beginning a flight.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.601 (a-c)	To ensure that all safety of flight information regarding navigation, communications, and weather is provided to the Pilot in Command, conducting domestic or flag operations, prior to and during flight.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.603 (a)	To require a PIC, when conducting supplemental operations, to obtain all available current reports on airport conditions and navigation irregularities that may affect the safety of the flight before departing.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.603 (b)	To require, during flight, that a PIC conducting supplemental operations obtain any additional available information on weather conditions and irregularities of facilities and services that may affect safety of flight.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.605	To prohibit the dispatch or release of an unairworthy aircraft.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.607 (a, b)	To prohibit dispatching aircraft along routes when required communication and navigation facilities are inoperative.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.609	To require sufficient operable navigation and communication facilities prior to release.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.627 (a)	To prohibit a pilot in command from continuing to a destination in unsafe conditions, unless, in his or the dispatcher's opinion (domestic and flag operations only), there is no safer alternative.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>

Safety Attribute Inspection (SAI) Job Aid

SRR	Intent	Inspectors
121.631 (b)	To prohibit the continuation of a flight to a destination when the specified alternate airport goes below weather minimums.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.631 (c, d)	To specify the conditions for changing destination or alternate airports while enroute.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.657 (a-d)	To increase terrain separation during air carrier operations.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.667 (a)	To ensure that a flight plan is filed for all operations conducted by Supplemental Air Carriers.	<i>Certification: Operations</i> <i>Surveillance: ASI</i>
121.683 (a, b)	To require air carriers to maintain records of crewmembers and dispatchers showing compliance with required qualifications, training, physical examinations, flight, duty, and rest time.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
121.711	To require the recording and retention for 30 days of enroute communications between domestic and flag operators and their flight crews.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.5	TBD	<i>Certification:</i> <i>Surveillance:</i>
119.7 (a)	TBD	<i>Certification:</i> <i>Surveillance:</i>
119.9 (a, b)	TBD	<i>Certification:</i> <i>Surveillance:</i>
119.33 (a-c)	TBD	<i>Certification:</i> <i>Surveillance:</i>
119.47 (a, b)	TBD	<i>Certification:</i> <i>Surveillance:</i>
119.49 (b)	TBD	<i>Certification:</i> <i>Surveillance:</i>
119.63 (a, b)	TBD	<i>Certification:</i> <i>Surveillance:</i>
121.351 (b, c)	TBD	<i>Certification:</i> <i>Surveillance:</i>
121.537 (a-f)	TBD	<i>Certification:</i> <i>Surveillance:</i>

Safety Attribute Inspection (SAI) Job Aid

3.1.4 Operational Control

SECTION 1 - RESPONSIBILITY ATTRIBUTE

Objective: To determine if there is a clearly identifiable, qualified, and knowledgeable person who is accountable for the quality of the Operational Control process.

To meet this objective, the inspector will accomplish the following tasks:

1. Identify the person who is responsible for the quality of the Operational Control process
2. Review the description in the Manual that delineates the duties and responsibilities of the person.
3. Evaluate the person's qualifications and work experience (or resume', if appropriate).
4. Review the appropriate organizational chart.
5. Discuss the Operational Control process with the person.

To meet this objective, the inspector will determine and record answers to the following questions:

1. Is there a clearly identifiable person who is answerable for the quality of the Operational Control process?	<input type="checkbox"/> YES If yes, provide the name: <input type="checkbox"/> NO If no, explain:
2. Does the person understand the procedures associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Does the person understand the controls associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the person understand the interfaces associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the person understand the process measurements associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
6. Is the responsibility of this position clearly documented in the air carrier's Manual(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7. Are the qualification standards for this position clearly documented?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7a Are the qualification standards for this position appropriate for the duties that are assigned?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
8. Does the person meet the qualification standards?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
9. Does the person acknowledge that he/she has responsibility for the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
10. Does the person know who has authority to establish and modify the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

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3.1.4 Operational Control

SECTION 2 – AUTHORITY ATTRIBUTE

Objective: To determine if there is a clearly identifiable, qualified, and knowledgeable person with the authority to establish and modify the Operational Control process.

To meet this objective, the inspector will accomplish the following tasks:

1. Identify the person who has the authority to establish or modify the Operational Control process.
2. Review the description in the Manual that delineates the duties and responsibilities of the person.
3. Evaluate the person’s qualifications and work experience (or resume’, if appropriate).
4. Review the appropriate organizational chart.
5. Discuss the Operational Control process with the person.

To meet this objective, the inspector will determine and record answers to the following questions:

1. Is there a clearly identifiable person who has authority to establish and modify the air carrier’s policies for the Operational Control process?	<input type="checkbox"/> YES If yes, provide the name: <input type="checkbox"/> NO If no, explain:
2. Does the person understand the procedures associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Does the person understand the controls associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the person understand the interfaces associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the person understand the process measurements associated with the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
6. Is the authority of this position clearly documented in the air carrier’s Manual(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7. Are the qualification standards for this position clearly documented?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7a Are the qualification standards for this position appropriate for the duties that are assigned?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
8. Does the person meet the qualification standards?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
9. Does the person acknowledge that he/she has authority for the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
10. Does the individual know who has the responsibility for the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
11. Are the procedures for delegation of authority clearly documented for the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

Safety Attribute Inspection (SAI) Job Aid

3.1.4 Operational Control

SECTION 3 – PROCEDURES ATTRIBUTE

Objective: To determine if the air carrier has documented procedures for accomplishing the Operational Control process.

To meet this objective, the inspector will accomplish the following tasks:

1. Review the documented instructions and information related to the Operational Control process to ensure that they contain who, what, where, when, and how.
2. Review the FAA Guidance and Specific Regulatory Requirements (SRR) included in the supplemental information section of this SAI.
3. Discuss the Operational Control process with appropriate personnel to gain an understanding of the procedures.
4. Observe the Operational Control process to gain an understanding of the procedures.

To meet this objective, the inspector will determine and record answers to the following questions:

1. Do written procedures exist to achieve the desired result of the Operational Control process:

1.1 Do written procedures exist requiring all 121 flight operations conducted to be under the supervision of a certificated dispatcher?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.2 Do written procedures exist requiring that a Dispatcher provide a preflight briefing to the Pilot in Command? [121.601 (a-c)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.3 Do written procedures exist to require that a Dispatcher become familiar with current weather before dispatching aircraft?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.4 Do written procedures exist to ensure dispatcher and crewmembers meet the duty time and rest period requirements [SRR 121.465(b)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.5 Do written procedures exist delineating the duties of pilots in command and dispatchers/flight followers for operational control? [SRR 121.533(a-c), SRR 121.535(a-c)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.6 Do written procedures exist to ensure that sufficient time is scheduled for airplane servicing on intermediate legs? [SRR 121.541]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.7 Do written procedures exist requiring the suspension of flight operations by the air carrier (or PIC for supplemental operations) when any hazards to a safe operation are discovered? [SRR 121.551, SRR 121.553]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.8 Do written procedures exist delineating the emergency responsibilities of dispatchers/flight followers? [SRR 121.557(b, c), SRR 121.559(b, c)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A

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3.1.4 Operational Control		
SECTION 3 – PROCEDURES ATTRIBUTE		
1.9 Do written procedures exist to ensure that interchange agreements provide for the training and qualification of crewmembers, dispatchers, and maintenance personnel? [SRR 121.569(a, b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.10 Do written procedures exist to ensure that the Pilot in Command obtains all available safety of flight information? [SRR 121.599 (b), SRR 121.601 (a-c)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.11 Do written procedures exist to ensure that only airworthy airplanes are released?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.12 Do written procedures exist to ensure that sufficient navigation and communications facilities are available prior to release? [SRR 121.99 (a, b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.13 Do written procedures exist for changing destination or alternate airports while a flight is enroute? [SRR 121.631 (b-d)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.14 Do written procedures exist for the recording and retention of enroute radio communications [SRR 121.711]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.15 Do written procedures exist to ensure that the air carrier does not conduct operations under a business name not appearing in the air carrier's operations specifications? [SRR 119.9 (a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.16 Do written procedures exist to ensure that the air carrier displays its name or operating certificate number so that it is legible from the outside of the aircraft to a person standing on the ground? [SRR 119.9 (b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.17 Do written procedures exist to ensure that the air carrier: (1) Is a citizen of the United States; (2) Obtains an Operating Certificate; and, (3) Obtains operations specifications that prescribe the authorizations, limitations, and procedures under which each kind of operation must be conducted. [SRR 119.33 (a, b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.18 Does the air carrier have procedures to ensure that new kinds of operations subject to § 121.163 of this chapter require that they conduct proving tests. [SRR 119.33 (c)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.19 Does the air carrier have procedures to ensure that it maintains a principal base of operations. [SRR 119.47 (a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:

Safety Attribute Inspection (SAI) Job Aid

3.1.4 Operational Control	
SECTION 3 – PROCEDURES ATTRIBUTE	
1.20 Does the air carrier have procedures to ensure that at least 30 days before establishing or changing the location of its principal base of operations, its main operations base, or its main maintenance base, it provides written notification to its certificate-holding district office. [SRR 119.47 (b)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.21 Does the air carrier have procedures to ensure it does not resume operations for which it holds authority unless it has conducted that kind of operation within the preceding number of consecutive calendar days applicable. (e.g. domestic/flag, 30 days & supplemental, 90 days) [SRR 119.63 (a)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.22 Does the air carrier have procedures to ensure that it does not resume operation unless: (1) It advises the Administrator at least 5 consecutive calendar days before resumption of operations; and (2) It makes itself available to the FAA during that period for any required inspections. [SRR 119.63 (b)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.23 For operations conducted solely within the State of Alaska, does the air carrier have procedures to ensure that it operates with the equipment as specified in 14 CFR 121.351 (a)? [SRR 121.351 (b)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.24 Does the air carrier list each person authorized by it to exercise operational control in its operator's manual? (Supplemental Operations Only) [SRR 121.537 (a)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.25 When exercising the provisions of this SRR, does the air carrier have procedures to determine that communication and navigation facilities equal to those required by 14 CFR §§ 121.99 and 121.103 are available and in satisfactory operating condition. [SRR121.607 (b)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.26 Does the air carrier have procedures to ensure that it does not conduct operations involving a wet lease without first providing the Administrator with a copy of the wet lease to be executed? [SRR 119.53 (a, b)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.27 Does the air carrier have procedures to ensure that it does not conduct any operation for another certificate holder under 14 CFR Parts 121 and 129, or a foreign person engaged in common carriage wholly outside the United States, unless it holds applicable DOT economic authority, and is authorized under its operations specifications to conduct the same kinds of operations (as defined in § 119.3). [SRR 119.53 (e)]	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A

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3.1.4 Operational Control		
SECTION 3 – PROCEDURES ATTRIBUTE		
1.28 Does the air carrier have procedures to ensure that it provides enough qualified aircraft dispatchers at each dispatch center to ensure proper operational control of each flight. [SRR 121.395]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.29 Do written procedures exist to ensure that the air carrier has a system to provide route and airport information to pilots in command? [SRR 121.443 (a, b), SRR 121.445 (b-d)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.30 Do written procedures exist to maintain all required (FAA and air carrier) records? [SRR 121.453 (a), SRR 121.463 (a-d)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.31 Do written procedures exist to provide dispatchers time to become familiar with weather conditions prior to dispatching a flight? [SRR 121.465 (a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.32 Do written procedures exist to provide alternate rest periods when the person dispatching flag operations is outside of the contiguous U.S.? [SRR 121.465 (c)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.33 Do written procedures exist to notify appropriate operations personnel of each change in equipment and operating procedures, NOTAMS, and potentially hazardous meteorological conditions? [SRR 121.539]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.34 Do written procedures exist to ensure that all operations are conducted along approved routes in accordance with any limitations in their operations specifications? [SRR 121.555 (a, b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.35 Do written procedures exist for the reporting of hazardous meteorological condition or an irregularity in a ground or navigational facility encountered in flight? [SRR 121.561(a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.36 Do written procedures exist for the ground radio station that is notified in question 1.35 above to report that information to the agency directly responsible for operating the facility? [SRR 121.561 (b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.37 When conducting supplemental operations, do written procedures exist to ensure that before the beginning of, and during a flight, each pilot in command obtains all current and available reports or information on airport conditions and irregularities of navigation facilities that may affect the safety of the flight? [SRR 121.603 (a, b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.38 Do written procedures exist to ensure an airplane is not dispatched or released unless it is airworthy and is equipped for the type of operation contemplated? [SRR 121.605]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:

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3.1.4 Operational Control		
SECTION 3 – PROCEDURES ATTRIBUTE		
1.39 Do written procedures exist to ensure an airplane is not dispatched or released over an approved route or route segment unless the communication and navigation facilities required for the route or segment are in satisfactory operating condition? [SRR 121.607, SRR 121.609]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.40 Do written procedures exist to ensure that a pilot in command discontinues a flight toward any airport to which the flight has been dispatched or released if, in the opinion of the pilot in command or dispatcher (domestic and flag operations only), the flight cannot be completed safely; unless, in the opinion of the pilot in command, there is no safer procedure? [SRR 121.627 (a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.41 Does the air carrier have a documented method to ensure that pilots with less than 100 hours as pilot in command (PIC) use higher landing minimums? [SRR 121.652 (a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.42 Does the air carrier have a documented method to ensure that no person may operate an aircraft below the minimums set forth in CFR 121.657(b) and (c) except when necessary for takeoff or landing, except when the Administrator prescribes other minimums for any route or part of a route where the Administrator finds that the safe conduct of the flight requires other altitudes. [SRR 121.657 (a-c)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.43 While conducting supplemental operations, does the air carrier have a documented method to ensure that no person takes off an aircraft unless the pilot in command has filed a flight plan and that stipulates the flight plan continues in effect for all parts of the flight? [SRR 121.667 (a)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
2. Do the procedures identify: who, what, where, when and how?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
3. Are the procedures in compliance with the CFR(s)?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
4. Do the procedures conform to other written guidance (E.g., Operations Specifications, FAA Orders, Airworthiness Directives, Advisory Circulars, Handbook Bulletins, Directives, and Manufacturer’s Recommendations)?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
5. Does the air carrier have the resources to support the written procedures for the Operational Control process?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
6. If alternate procedures exist for use during irregular conditions, do they achieve the same desired results as the primary procedures so that an equivalent level of safety is maintained? (E.g., a manual system used as a result of equipment failure).	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A, No alternate procedures exist for this element	If no, explain:

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SECTION 3 – PROCEDURES ATTRIBUTE

7. Are the procedures published in different manuals relating to the Operational Control process consistent?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
8. Does the air carrier have a documented method for assessing the impacts of procedural changes to the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

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3.1.4 Operational Control

SECTION 4 – CONTROL ATTRIBUTE

Objective: To determine if checks and restraints are designed into the Operational Control process to ensure a desired result is achieved.

To meet this objective, the inspector will accomplish the following tasks:

1. Review the documented instructions and information related to the Operational Control process.
2. Review the FAA Guidance and Specific Regulatory Requirements (SRR) included in the supplemental information section of this SAI
3. Discuss the Operational Control process with appropriate personnel to gain an understanding of the controls.
4. Observe the Operational Control process to gain an understanding of the controls.

To meet this objective, the inspector will determine and record answers to the following questions:

1. Are the following checks and restraints built into the Operational Control process:

1.1 Does the air carrier create and maintain records of enroute communications between operations and flight crews? [SRR 121.711]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.2 Does the air carrier maintain records of flight releases?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.3 Does the air carrier schedule their dispatchers to remain within duty time limits? [SRR 121.465 (b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.4 Does the air carrier schedule their crewmembers to remain within duty time limits?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.5 Does the air carrier utilize a dispatcher sign-in log?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.6 Does the air carrier require dispatchers to keep a log of significant events in order to assist in reporting, follow-up, and relief briefing?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.7 Does the air carrier utilize a system of mechanical irregularity reporting such that the dispatcher/flight follower is aware of the airworthiness status of their assigned airplane?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:

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1.8 Does the air carrier conduct an annual competency test for dispatchers?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.9 Does the air carrier ensure that all dispatchers and crewmembers assigned to operations are current and qualified?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.10 Does the air carrier have a separation of duties between dispatcher and pilot in command?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.11 Does the air carrier require that a final review of flight release is conducted by pilot in command?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.12 Does the air carrier have a method of insuring that safety of flight information (e.g. NOTAMS, weather, obstruction data, and airplane performance data) is up to date?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	If no or N/A, explain:
1.13 Does the air carrier maintain records required by Title 49 U.S.C. § 44936(f) (Pilot Records Improvement Act of 1996 (PRIA))? [SRR 121.683 (a, b)]	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
2. Do the checks and restraints ensure the desired result is achieved for the Operational Control process?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
3. Does the air carrier have a documented method for assessing the impacts of any changes made to checks and restraints in the Operational Control process?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:
4. Does the air carrier have the resources to support the checks and restraints for the Operational Control process?	<input type="checkbox"/> YES <input type="checkbox"/> NO	If no, explain:

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3.1.4 Operational Control

SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE

Objective: To determine if the air carrier measures and assesses the Operational Control process, to identify and correct problems or potential problems.

To meet this objective, the inspector will accomplish the following tasks:

1. Review the documented instructions and information related to the Operational Control process.
2. Discuss the Operational Control process with appropriate personnel to gain an understanding of the process measures.
3. Observe the Operational Control process to gain an understanding of the process measures.

To meet this objective, the inspector will determine and record answers to the following questions:

1. <Deleted>

2. Does the air carrier's Operational Control process include the following process measurements?

2.1 Does the air carrier have an independent review of diversions due to fuel or weather?

YES **If no or N/A, explain:**
 NO
 N/A

2.2 Does the air carrier have an independent review of crew and dispatchers duty and rest period records?

YES **If no or N/A, explain:**
 NO
 N/A

2.3 Does the air carrier have an independent review of weight and balance records (load manifest) to assure quality?

YES **If no or N/A, explain:**
 NO
 N/A

2.4 Does the air carrier have an independent review of communication logs to assure quality?

YES **If no or N/A, explain:**
 NO
 N/A

2.5 Does the air carrier have an independent review of dispatcher training records to assure quality?

YES **If no or N/A, explain:**
 NO
 N/A

2.6 Does the air carrier have an independent review of flight plans to assure quality?

YES **If no or N/A, explain:**
 NO
 N/A

3. Does the air carrier document their process measurement methods and results?

YES **If no, explain:**
 NO

4. Are the air carrier's process measurement methods effective?

YES **If no, explain:**
 NO

5. Does the air carrier use their process measurement results to improve their programs?

YES **If no, explain:**
 NO

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SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE

6. Are the process measurement results accessible to the FAA?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
7. Does the organization that conducts the process measurement have direct access to the person with responsibility for the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
8. Does the air carrier have the resources to support the process measurement for the Operational Control process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

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3.1.4 Operational Control

SECTION 6 – INTERFACES ATTRIBUTE

Objective: To determine if the air carrier identifies and manages the interactions between the Operational Control process and the other element processes within the air carrier organization.

To meet this objective, the inspector will accomplish the following tasks:

1. Review the documented instructions and information related to the Operational Control process.
2. Discuss the Operational Control process with appropriate personnel to gain an understanding of the interfaces.
3. Observe the Operational Control process to gain an understanding of the interfaces.

To meet this objective, the inspector will determine and record answers to the following questions:

1. Are the following interfaces identified for the Operational Control process:

<i>1.1 MEL/CDL/Deferred Maintenance (Element 1.3.5)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.2 Weight and Balance Program (Element 1.3.17)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.3 Manuals (Element 2.0)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.4 MEL/CDL Procedures (Element 3.2.3)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.5 Training Program (Element 4.2)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.6 Pilot Operating Limitations/Recent Experience (Element 4.3.1)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.7 Appropriate Airman/Crewmember Checks and Qualifications (Element 4.3.2)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.8 Flight Crewmember Flight/Duty/Rest Time (Element 6.1.2)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.9 Flight Attendant Duty/Rest Time (Element 6.1.3)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A

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<i>1.10 Dispatcher Duty/Rest Time (Element 6.1.4)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.11 Duty Time (Element 6.2.1)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.12 Scheduling (Element 6.1.1)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.13 Computer Based Record Keeping (Element 3.1.11)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.14 Maintenance Control (Element 7.1.6)</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.15 Operations Specifications</i>	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
2. List any additional interfaces identified:	
3. Are there written procedures for the use of air carrier personnel in the application of these interfaces?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Are there controls to ensure that interfaces occur?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Are the interfaces between the Operational Control process and other processes treated consistently in the Manual(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO