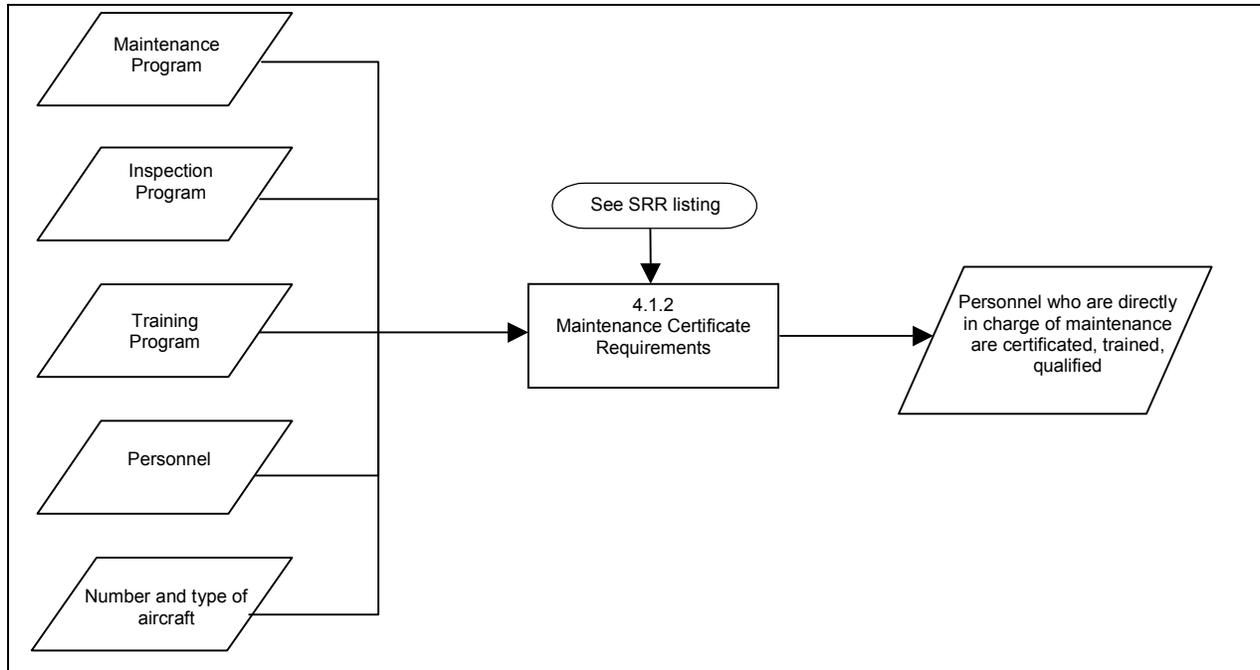


# Safety Attribute Inspection (SAI) Job Aid



## ELEMENT SUMMARY INFORMATION

**Element:** 4.1.2 Maintenance Certificate Requirements

**Purpose of this Element** (Air Carrier's responsibility): To ensure personnel directly in charge of maintenance are appropriately certificated, trained and qualified.

**Objective** (FAA responsibility): To determine if the air carrier's Maintenance Certificate Requirement process includes safety attributes.

**Inputs:**

- Maintenance Program
- Inspection Program
- Training Program
- Personnel
- Number and Type of Aircraft

**Outputs:**

- Personnel who are directly in charge of maintenance are certificated, trained, qualified

# Safety Attribute Inspection (SAI) Job Aid

## Performance Measures:

- Personnel directly in charge of maintenance are physically available for consultation when supervising uncertificated personnel.
- Personnel directly in charge of maintenance are appropriately certified.
- Air carrier provides training for personnel who are directly in charge of maintenance.
- The Air Carrier maintains training records for personnel directly in charge of maintenance.

# Safety Attribute Inspection (SAI) Job Aid

## **SRR:**

- 121.375 Maintenance and preventive maintenance training program.
- 121.378 Certificate requirements.

## **Other CFRs and/or FAA Guidance:**

- Preamble 60FR65832, Conversion from 14 CFR 135 to 14 CFR 121 Requirements.
- HBAW 98-01 “Air Carrier and Maintenance Provider Contracts”
- Legal Interpretation, 9912 March 29, 1991
- FAA Order 8300.10 Vol. 1, Chap. 6, Sec. 19 “The FAA and Flight Standards: History, Organization, and the Public Law”
- FAA Order 8300.10 Vol. 2, Chap. 70, Evaluate FAR Part 121/135.411(a)(2) Maintenance Training Program/Record
- FAA Order 8300.10 Vol. 3, Chap. 2, Sec. 2, Par. 7 “Conduct Spot Inspection of Operator’s Aircraft”

# Safety Attribute Inspection (SAI) Job Aid

## SRR SPECIFIC INFORMATION

<b>SRR</b>	<b>Intent</b>	<b>Inspectors</b>
<b>121.375</b>	To provide training for personnel who are directly in charge of maintenance.	<i>Certification: Airworthiness</i> <i>Surveillance: Airworthiness</i>
<b>121.378</b>	To ensure that any person who is directly in charge of maintenance must have as appropriate certificate.	<i>Certification: Airworthiness</i> <i>Surveillance: Airworthiness</i>

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

### **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 Maintenance Certificate Requirement process.

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

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

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

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

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

### **SECTION 3 – PROCEDURES ATTRIBUTE**

**Objective:** To determine if the air carrier has documented procedures for accomplishing the Maintenance Certificate Requirement process.

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

1. Review the documented instructions and information related to the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process with appropriate personnel to gain an understanding of the procedures.
4. Observe the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process:

1.1 Do written procedures identify maintenance positions that require airman certificates? [SRR 121.378]

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

1.2 Do written procedures identify certificate requirements, duties and responsibilities for persons directly in charge? [SRR 121.378(a)]

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

1.3 Do written procedures require verification of airman certificates before assigning personnel to positions that require certificates? [SRR 121.378(a), SRR 121.378(b)]

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

1.4 Do written procedures identify training and qualifications for personnel that are assigned positions directly in charge of maintenance? [SRR 121.375]

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

2. Do the procedures identify: who, what, where, when and how?

- YES    **If no, explain:**  
 NO

3. Are the procedures in compliance with the CFR(s)?

- YES    **If no, explain:**  
 NO

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)?

- YES    **If no, explain:**  
 NO

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

### **SECTION 3 – PROCEDURES ATTRIBUTE**

5. Does the air carrier have the resources to support the written procedures for the Maintenance Certificate Requirements process?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO
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 <b>If no, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A, <b>No alternate procedures exist for this element</b>
7. Are the procedures published in different manuals relating to the Maintenance Certificate Requirements process consistent?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO
8. Does the air carrier have a documented method for assessing the impacts of procedural changes to the Maintenance Certificate Requirements process?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

### SECTION 4 – CONTROL ATTRIBUTE

**Objective:** To determine if checks and restraints are designed into the Maintenance Certificate Requirement 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 Maintenance Certificate Requirements process.
2. Review the FAA Guidance and Specific Regulatory Requirements (SRR) included in the supplemental information section of this SAI
3. Discuss the Maintenance Certificate Requirements process with appropriate personnel to gain an understanding of the controls.
4. Observe the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process:

<i>1.1 Does the Air Carrier use certified personnel in positions that are directly in charge of maintenance functions?[SRR 121.378(a)]</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.2 Are persons who are directly involved in maintenance functions and who supervise uncertified personnel physically available for consultation?[SRR 121.378(b)]</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.3 Does the Air Carrier verify airman certificate status through the FAA Airman Records Center?</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.4 Does the Air Carrier require specified training of personnel assigned positions that are directly in charge of maintenance?[SRR 121.375]</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
2. Do the checks and restraints ensure the desired result is achieved for the Maintenance Certificate Requirements process?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO
3. Does the air carrier have a documented method for assessing the impacts of any changes made to checks and restraints in the Maintenance Certificate Requirements process?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO
4. Does the air carrier have the resources to support the checks and restraints for the Maintenance Certificate Requirements process?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

### **SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE**

**Objective:** To determine if the air carrier measures and assesses the Maintenance Certificate Requirement 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 Maintenance Certificate Requirements process.
2. Discuss the Maintenance Certificate Requirements process with appropriate personnel to gain an understanding of the process measures.
3. Observe the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process include the following process measurements?

2.1 *The Air Carrier audits training records of personnel directly in charge of maintenance.*

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

2.2 *The Air Carrier audits personnel who are directly in charge of maintenance to verify that they hold proper airman certificates.*

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

6. Are the process measurement results accessible to the FAA?

YES    **If no, explain:**  
 NO

7. Does the organization that conducts the process measurement have direct access to the person with responsibility for the Maintenance Certificate Requirements process?

YES    **If no, explain:**  
 NO

8. Does the air carrier have the resources to support the process measurement for the Maintenance Certificate Requirements process?

YES    **If no, explain:**  
 NO

# Safety Attribute Inspection (SAI) Job Aid

## 4.1.2 Maintenance Certificate Requirements

### **SECTION 6 – INTERFACES ATTRIBUTE**

**Objective:** To determine if the air carrier identifies and manages the interactions between the Maintenance Certificate Requirement 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 Maintenance Certificate Requirements process.
2. Discuss the Maintenance Certificate Requirements process with appropriate personnel to gain an understanding of the interfaces.
3. Observe the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process:

<i>1.1 Maintenance Program (Element 1.3.1)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.2 Inspection Program (Element 1.3.2)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.3 Outsource Organization (Element 1.3.7)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.4 Continuing Analysis and Organization (Element 1.3.11)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.5 GMM (Element 1.3.14)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.6 Other Programs Approved by Operations Specifications</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.7 Maintenance Training Program (Element 4.2.1)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
<i>1.8 Line Stations (Element 5.1.1)</i>	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A

# Safety Attribute Inspection (SAI) Job Aid

4.1.2 Maintenance Certificate Requirements	
<b>SECTION 6 – INTERFACES ATTRIBUTE</b>	
1.9 Director of Maintenance (Element 7.1.1)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.10 Chief Inspector (Element 7.1.2)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.11 Director of Safety (Element 7.1.3)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.12 Manual Currency (Element 2.1.1)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.13 Content Consistency Across Manuals (Element 2.1.2)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.14 Manual Distribution (Element 2.1.3)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.15 Manual Availability (Element 2.1.4)	<input type="checkbox"/> YES <b>If no or N/A, explain:</b> <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 <b>If no, explain:</b> <input type="checkbox"/> NO
4. Are there controls to ensure that interfaces occur?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO
5. Are the interfaces between the Maintenance Certificate Requirements process and other processes treated consistently in the Manual(s)?	<input type="checkbox"/> YES <b>If no, explain:</b> <input type="checkbox"/> NO