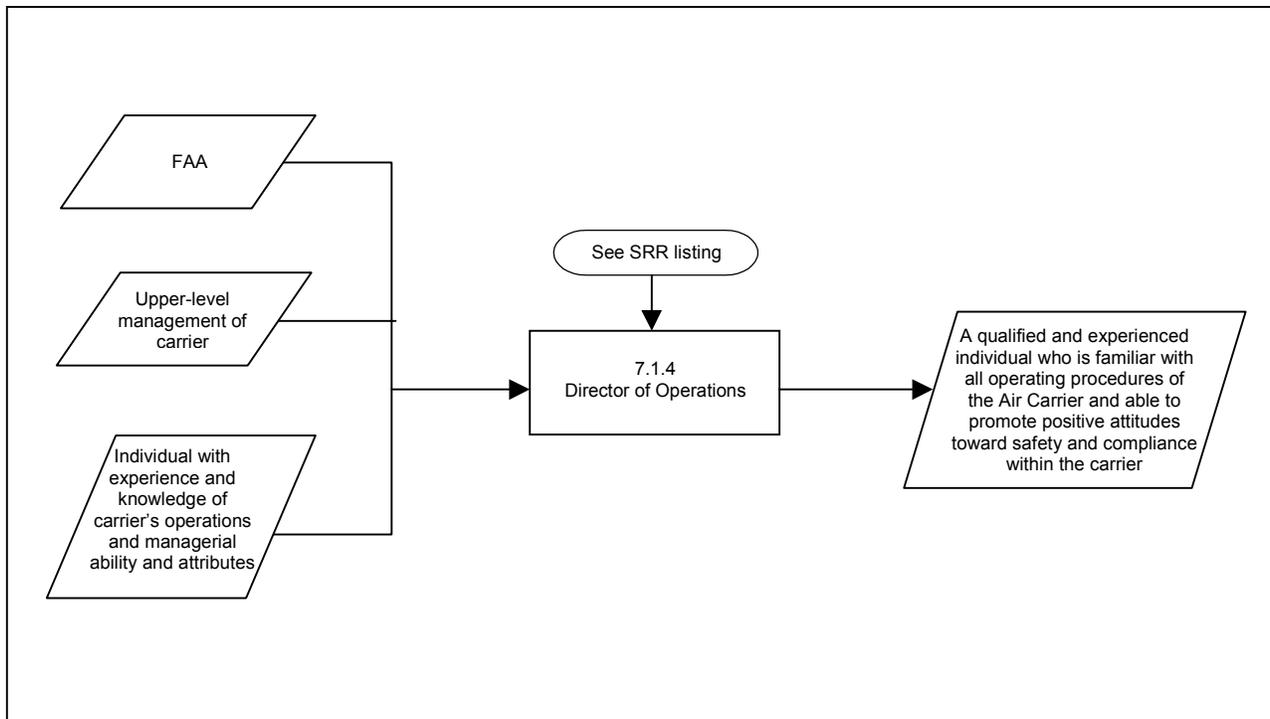


Safety Attribute Inspection (SAI) Job Aid



ELEMENT SUMMARY INFORMATION

Element: 7.1.4 Director of Operations

Purpose of this Element (Air Carrier's responsibility): To ensure that the Director of Operations accomplishes assigned duties and responsibilities.

Objective (FAA responsibility): To determine if the air carrier's Director of Operations position includes safety attributes.

Inputs:

- FAA
- Upper-Level Management of Carrier
- Individual with experience, knowledge of carrier's operations, and managerial abilities and attributes.

Output:

- A qualified and experienced individual who is familiar with all operating procedures of the air carrier, and able to promote positive attitudes toward safety and compliance within the carrier.

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Performance Measures:

- Director of Operations met the requirements of 119.67 when selected (e.g., experience or deviation approval, and Airline Transport Pilot (ATP) certificate).
- Director of Operations has knowledge of all operating procedures of the air carrier.
- Director of Operations takes an active role in promoting positive attitudes toward compliance and safety within the company, as evidenced by:
 - Exceeding minimum CFR requirements;
 - Preventing and correcting operational problems;
 - Ensuring no repeated violations;
 - Ensuring that the air carrier assumes an ongoing quality assurance role;
 - Ensuring rapid and complete implementation of new programs and regulations;
 - No increases in accidents, incidents, or violations;
 - Continually monitoring company policies and procedures to ensure that the highest degree of safety compliance is maintained; and
 - Ensuring that check airmen understand their responsibilities to promote safe aircraft operating procedures.

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SRR:

- 119.65 (a - e) Management Personnel Required for Operations Conducted Under CFR 121
- 119.67 (a, e) Management Personnel: Qualifications for Operations Conducted Under CFR 121

Other CFRs and/or FAA Guidance:

- FAA Order 8400.10, Volume 2, Chapter 2, Section 1, Paragraph 71B. Formal Application Letter
- FAA Order 8400.10, Volume 2, Chapter 2, Section 1, Paragraph 73D. Management Qualification Resumes
- FAA Order 8400.10, Volume 3, Chapter 8, Section 1, Paragraph 1475. Management Overview.
- HBAAT 96-01 - Part 119: Certification of Air Carriers and Commercial Operators Flight Standards Handbook Bulletin for Air Transportation
- HBAAT 96-07 - New Paragraph A006 for Operations Specifications (Ops Specs) Flight Standards Handbook Bulletin (HBB) for Air Transportation
- HBAAT 97-06 - Use of the “Gate System” During the Initial Certification of Part 121 Air Carriers
- HBAAT 97-13, HBAW 97-16 - Deviations from Part 119 for Management Personnel
- Preamble - 60 FR 65832, December 20, 1995, Commuter Operations and General Certification and Operations Requirements

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SRR SPECIFIC INFORMATION

SRR	Intent	Inspectors
119.65 (a)	To require qualified, full-time personnel to ensure the highest level of safety.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.65 (b)	To require the operator to show that it can operate, with the highest degree of safety, when under the direction of fewer or different categories of management personnel than required by CFR 119.65(a)	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.65 (c)	To require the air carrier to provide the Certificate Holding District Office with the titles of its required management personnel.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.65 (d)	To stipulate the qualifications and working knowledge for the required management personnel.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.65 (e)	To specify the management personnel information in the air carrier's manual and the notification procedures for changes in management.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.67 (a)	To specify the qualifications and experience requirements for the Director of Operations.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>
119.67 (e)	To require that any deviations in management personnel experience be approved by AFS-200/300.	<i>Certification: Operations</i> <i>Surveillance: Operations</i>

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7.1.4 Director of Operations

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 Director of Operations position.

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

1. Identify the person who is responsible for the quality of the Director of Operations 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 Director of Operations 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 Director of Operations 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 Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Does the person understand the controls associated with the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the person understand the interfaces associated with the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the person understand the process measurements associated with the Director of Operations 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 Director of Operations 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 Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

Safety Attribute Inspection (SAI) Job Aid

7.1.4 Director of Operations

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 Director of Operations position.

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

1. Identify the person who has the authority to establish or modify the Director of Operations 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 Director of Operations 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 Director of Operations 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 Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Does the person understand the controls associated with the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the person understand the interfaces associated with the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the person understand the process measurements associated with the Director of Operations 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 Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
10. Does the individual know who has the responsibility for the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
11. Are the procedures for delegation of authority clearly documented for the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

Safety Attribute Inspection (SAI) Job Aid

7.1.4 Director of Operations

SECTION 3 – PROCEDURES ATTRIBUTE

Objective: To determine if the air carrier has documented procedures for accomplishing the Director of Operations position.

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

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

<p>1.1 Do written procedures exist to ensure that the employee is assigned full time to the Director of Operations position? [SRR 119.65 (a)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>
<p>1.2 Do written procedures exist to ensure the highest degree of safety when FAA approval has been obtained for operating with fewer or different categories of management personnel then required by CFR 119.65 (a)? [SRR 119.65 (b)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>
<p>1.3 Do written procedures exist to have the air carrier provide the Certificate Holding District Office with the titles of its required management personnel? [SRR 119.65 (c)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>
<p>1.4 Do written procedures exist to evaluate the qualifications, experience and knowledge of candidates prior to filling management positions? [SRR 119.65 (d)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>
<p>1.5 Do written procedures exist to update manuals and notify the FAA when changes in management occur? [SRR 119.65 (e)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>
<p>1.6 Do written procedures exist to identify the requirements to become a Director of Operations? [SRR 119.67 (a)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>
<p>1.7 Do written procedures exist to obtain approval from the FAA prior to employing management personnel who do not meet the requirements specified in CFR 119.6? [SRR 119.67 (e)]</p>	<p><input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A</p>

Safety Attribute Inspection (SAI) Job Aid

7.1.4 Director of Operations

SECTION 3 – PROCEDURES ATTRIBUTE

1.8 Do written procedures exist to ensure that management personnel maintain currency through continuing education, on job related functions/information, such as:

1.8.1 The carrier's policies and procedures;	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.8.2 The air carrier's Operations Specifications;	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.8.3 CFR;	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.8.4 The air carrier's Manuals; and	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.8.5 Aviation safety standards and safe practices?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
2. Do the procedures identify: who, what, where, when and how?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
3. Are the procedures in compliance with the CFR(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> 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)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
5. Does the air carrier have the resources to support the written procedures for the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <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 If no, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A, No alternate procedures exist for this element
7. Are the procedures published in different manuals relating to the Director of Operations 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 Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

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7.1.4 Director of Operations

SECTION 4 – CONTROL ATTRIBUTE

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

1.1 Does the Director of Operation's resume' meet the job qualifications?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.2 Is the information in the Director of Operation's resume' verified through background checks?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.3 Is the Director of Operations position periodically evaluated against performance standards?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.4 Are records maintained to document the ongoing training/continuing education of the Director of Operations?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.5 Does the Director of Operations have the resources necessary to support the duties and responsibilities as outlined in the Manual?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.6 Does the air carrier have a back-up person to cover the responsibilities of the Director of Operations in his/her absence?	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
2. Do the checks and restraints ensure the desired result is achieved for the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <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 Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO
4. Does the air carrier have the resources to support the checks and restraints for the Director of Operations process?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO

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7.1.4 Director of Operations

SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE

Objective: To determine if the air carrier measures and assesses its process for the Director of Operations position, 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 Director of Operations process.
2. Discuss the Director of Operations process with appropriate personnel to gain an understanding of the process measures.
3. Observe the Director of Operations 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 Director of Operations process include the following process measurements?

2.1 Does the air carrier record substandard performance on the part of the Director of Operations? YES **If no or N/A, explain:**
 NO
 N/A

2.2 Does the air carrier record potential operational problems that may compromise safety and take steps to prevent those problems? YES **If no or N/A, explain:**
 NO
 N/A

2.3 Does the air carrier conduct an independent evaluation of the Operations Department? YES **If no or N/A, explain:**
 NO
 N/A

2.4 Does the air carrier record the number of times a document submitted for FAA approval or acceptance is returned for correction? YES **If no or N/A, explain:**
 NO
 N/A

2.5 Does the air carrier record the Number of times the carrier has nominated unqualified candidates for management positions? 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 Director of Operations process? YES **If no, explain:**
 NO

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7.1.4 Director of Operations

SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE

8. Does the air carrier have the resources to support the process measurement for the Director of Operations process?

YES **If no, explain:**
 NO

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7.1.4 Director of Operations

SECTION 6 – INTERFACES ATTRIBUTE

Objective: To determine if the air carrier identifies and manages the interactions between the Director of Operations position 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 Director of Operations process.
2. Discuss the Director of Operations process with appropriate personnel to gain an understanding of the interfaces.
3. Observe the Director of Operations 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 Director of Operations process:

1.1 Manuals (System 2.0)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.2 Flight Operations (System 3.0)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.3 Training of Crewmembers (Element 4.2.3)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.4 Training of Flight Attendants (Element 4.2.4)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.5 Training of Dispatchers (Element 4.2.5)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.6 Other Personnel/Ground Training (Element 4.2.6)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.7 Training of Check Airmen and Instructors (Element 4.2.7)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.8 Simulators/Training Devices (Element 4.2.8)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.9 Outsource Crewmember Training (Element 4.2.9)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A

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7.1.4 Director of Operations

SECTION 6 – INTERFACES ATTRIBUTE

1.10 Crewmember and Dispatcher Qualifications (Sub-System 4.3)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.11 Route Structures (System 5.0)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.12 Airmen and Crewmember Limitations for Domestic, Flag, and Commercial (Sub-System 6.1)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.13 Director of Maintenance (Element 7.1.1)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.14 Director of Safety (Element 7.1.3)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.15 Chief Pilot (Element 7.1.5)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.16 Government Entities (e.g., FAA, DOT, NTSB, etc.)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.17 Professional Aviation Organizations	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.18 Manual Currency (Element 2.1.1)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.19 Content Consistency Across Manuals (Element 2.1.2)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.20 Manual Distribution (Element 2.1.3)	<input type="checkbox"/> YES If no or N/A, explain: <input type="checkbox"/> NO <input type="checkbox"/> N/A
1.21 Manual Availability (Element 2.1.4)	<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

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7.1.4 Director of Operations

SECTION 6 – INTERFACES ATTRIBUTE

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 Director of Operations process and other processes treated consistently in the Manual(s)?	<input type="checkbox"/> YES If no, explain: <input type="checkbox"/> NO