

Safety Attribute Inspection (SAI) Data Collection Tool 4.1.1 RII Personnel (AW)

ELEMENT SUMMARY INFORMATION

Purpose of This Element (Certificate Holder's responsibility):

- To provide policy, procedures, instructions and/or information in the manual which allows personnel concerned with the RII Personnel process to perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder's RII Personnel process meets all applicable requirements of the Federal Aviation Regulations and FAA policies.
- To determine if the Certificate Holder's RII Personnel process incorporates the System Safety Attributes.
- To identify any shortfalls in the Certificate Holder's RII Personnel process.

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.371(a)
 - 121.371(b)
 - 121.371(c)
 - 121.371(d)
 - 121.378(a)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
- FAA Policy/Guidance:
 - FAA Order 8300.10, Volume 2, Chapter 70

SAI SECTION 1 – PROCEDURES ATTRIBUTE

Objective: Procedures, instructions and information contained in Certificate Holder's manual are documented methods for accomplishing a process. Policies contained in the Certificate Holder's manual should establish the Certificate Holder's compliance posture. Policies may not be stand-alone statements but may be imbedded within procedures, instructions or information regarding a particular regulatory requirement. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated who, what, when, where and how type questions. This section of the data collection tool contains policy questions, procedural questions and instructional or informational questions pertaining to various types of Certificate Holder requirements such as actions, prohibitions or resources (i.e., personnel, facilities, equipment, technical data, etc.).

Tasks

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

- 1 Review the information listed in the Supplemental Information section of this data collection tool.
- 2 Review the duties and responsibilities for management and other personnel identified by the Certificate Holder who accomplish the RII Personnel process.
- 3 Review the Certificate Holder's manual to ensure that it contains policies, procedures, instructions and information necessary for the RII Personnel process.

Questions

To meet this objective, the inspector must answer the following questions:

1. Does the Certificate Holder's manual content meet the specific regulatory, and FAA policy requirements for a RII Personnel process:

1.1 Does the Certificate Holder's manual contain general policies for the RII Personnel process that comply with the specific regulatory requirements? SRRs: 121.135(b)(1); 121.371(a); 121.371(b); 121.371(c); 121.371(d); 121.378(a)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2 Does the Certificate Holder's manual cite the regulatory requirements listed in the Supplemental Information section of this SAI? SRRs: 121.135(b)(3)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3 Does the Certificate Holder's manual contain the duties and responsibilities for personnel concerned to accomplish the RII Personnel process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4 Does the Certificate Holder's manual include instructions and information for personnel concerned to meet the requirements of the RII Personnel process? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5 Does the Certificate Holder's manual include instructions and information necessary for personnel to know that no person may use any person to perform required inspections unless: SRRs: 121.135(a)(1); 121.371(a)	
1.5.1 The person performing the inspection is appropriately certificated to do so?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>SRRs: 121.371(a)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary for personnel concerned to not use any person to perform required inspections (RII) unless that person is appropriately certificated. <p><i>Sources:</i> 121.371(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 1.1.1-aw; 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 2.1.2-aw; 4.4.3-aw; 7.1.2-aw</p>	
<p>1.5.2 The person performing the inspection is properly trained to do so? SRRs: 121.371(a)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.3 The person performing the inspection is qualified to do so? SRRs: 121.371(a)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to not use any person to perform an RII unless that person is qualified to do so. <p><i>Sources:</i> 121.371(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 1.1.1-aw; 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.4 The person performing the inspection is authorized to do so? SRRs: 121.371(a)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary for personnel concerned to not use any person to perform an RII unless that person is authorized to do so <p><i>Sources:</i> 121.371(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 1.1.1-aw; 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6 Does the Certificate Holder's manual include instructions and information for personnel concerned to know that no person may allow any person to perform a required inspection unless, at that time, the person performing that inspection is under the supervision and control of an inspection unit? SRRs: 121.135(a)(1); 121.371(b)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Does the Certificate Holder's manual include instructions and information for RII authorized personnel stating that they may not perform a required inspection if they performed the item of work that is required to be inspected? SRRs: 121.135(a)(1); 121.371(c)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 Does the Certificate Holder's manual include instructions and information necessary for personnel concerned to know that each person with whom it arranges to perform its required inspections must maintain a current listing of persons who have been trained, qualified, and authorized to conduct required inspections? SRRs: 121.135(a)(1); 121.371(d)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.9 Does the Certificate Holder's manual state that the persons on the required inspection list must be identified by name, occupational title and the inspections they are authorized to perform? SRRs: 121.135(a)(1); 121.371(d)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary for personnel concerned to maintain a current listing of persons, who have been trained, qualified and authorized to conduct RII. identified by name, occupational title and the inspections that they are authorized to perform <i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw • Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to determine that each person with whom it has arranged to perform its required inspections (RII) maintains a current listing of persons, identified by name, occupational title and the inspections that they are authorized to perform, who have been trained, qualified and authorized to conduct RII. <i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 1.3.7-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.10 Does the Certificate Holder's manual include instructions and information for personnel concerned (including persons with whom it has arranged to perform its required inspections)to know to give written information to each person authorized to perform its required inspections describing: SRRs: 121.135(a)(1); 121.371(d)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to determine that each person with whom it has arranged to perform its required inspections (RII) maintains a current listing of persons, identified by name, occupational title and the inspections that they are authorized to perform, who have been trained, qualified and authorized to conduct RII. <i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 1.3.7-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw 	
<p>1.10.1 The extent of their responsibilities? SRRs: 121.371(d)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to determine that each person with whom it has arranged to perform its required inspections (RII) maintains a current listing of persons, identified by name, occupational title and the inspections that they are authorized to perform, who have been trained, qualified and authorized to conduct RII. <i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 1.3.7-aw; 2.1.1-aw; 4.2.2-aw; 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

7.1.2-aw	
<p>1.10.2 The extent of their authorities? SRRs: 121.371(d)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to determine that each person with whom it has arranged to perform its required inspections (RII) maintains a current listing of persons, identified by name, occupational title and the inspections that they are authorized to perform, who have been trained, qualified and authorized to conduct RII. <p><i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 1.3.7-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.10.3 The extent of their inspection limitations? SRRs: 121.371(d)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary to allow personnel concerned to determine that each person with whom it has arranged to perform its required inspections (RII) maintains a current listing of persons, identified by name, occupational title and the inspections that they are authorized to perform, who have been trained, qualified and authorized to conduct RII. <p><i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 1.3.7-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11 Does the Certificate Holder's manual state that the current listing of persons who have been trained, qualified, and authorized to conduct required inspections shall be made available for inspection by the Administrator upon request? SRRs: 121.371(d)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary for personnel concerned to provide written information to each person authorized to conduct RII describing the extent of his responsibilities, authorities and inspection limitations. <p><i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 7.1.2-aw</p> <ul style="list-style-type: none"> • The certificate holders manual system contains a policy to make available its current listing of persons who have been trained, qualified, and authorized to conduct required inspections to the Administrator upon request. <p><i>Sources:</i> 121.371(d); 121.135(b)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 4.2.2-aw; 7.1.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary for personnel concerned to determine that each person with whom it arranges to perform RII, provides each person so authorized written information describing the extent of their responsibilities, authority and inspection limitations. <i>Sources:</i> 121.371(d); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 1.3.7-aw; 2.1.1-aw; 7.1.2-aw 	
<p>1.12 Does the Certificate Holder's manual include instructions and information necessary for personnel concerned to know that each person performing required inspections must hold an appropriate airman certificate (except for required inspections performed by repair stations certificated under the provisions of 14 CFR 145, Subpart C, titled Foreign Repair Stations)? SRRs: 121.135(a)(1); 121.378(a)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holder's manual includes instructions and information necessary for personnel concerned that each person performing required inspections to hold an appropriate certificate. <i>Sources:</i> 121.378(a); 121.135(a)(1) <i>Interfaces:</i> 1.1.1-aw; 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 4.2.2-aw; 4.4.3-aw; 7.1.2-aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.13 Does the Certificate Holder's RII Personnel process comply with the guidance contained in FAA Order 8300.10?</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the certificate holders manual system includes a method for receiving confirmation by the candidate of acceptance of RII authorizations and responsibilities <i>Sources:</i> 8300.10 Vol. 2 Ch. 70 Section 2 para. 5. D.(3) <i>Interfaces:</i> 1.3.14-aw; 1.3.4-aw; 2.1.1-aw; 7.1.2-aw 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.14 If alternate procedures exist for use during irregular conditions, do the alternate procedures maintain an equivalent level of safety by achieving the same results as the primary procedures?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

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

SAI SECTION 2 – CONTROLS ATTRIBUTE

Objective: Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the data collection tool are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures or instructions and information will be complied with.

Controls may be in the form of "administrative controls" which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to the associated who, what, when, where and how type questions. Controls may also be in the form of "engineered controls" such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).

Tasks

To meet this objective, the inspector must perform the following tasks:

- 1 Review the control questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the controls that it has documented.

Questions

To meet this objective, the inspector must answer the following questions:

2. Are the following controls built into the RII Personnel process:	
2.1 Is there a control in place to ensure that RII inspections are performed only by properly certificated persons who hold an appropriate airman certificate?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2 Is there a control in place to ensure that RII inspections are performed only by properly qualified persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3 Is there a control in place to ensure that RII inspections are performed only by properly authorized persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4 Is there a control in place to ensure that RII inspections are performed only by properly trained persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.5 Is there a control in place to ensure that the Certificate Holder authorizes certificated individuals to be RII inspectors in accordance with the standards documented in their policies and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.6 Is there a control in place to ensure that it can be immediately determined that the person who performed an RII was authorized to perform that specific inspection?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.7 Is there a control in place to ensure that the Certificate Holder shows that no person can perform a required inspection if they performed the item of work required to be inspected?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.8 Is there a control in place to ensure that the Certificate Holder maintains a current list of RII personnel that is identified by the persons name, occupational title, and the inspections they are authorized to perform?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.9 Is there a control in place to ensure that the RII Inspectors are under the direct control of the Inspection Unit?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

2.10 Is there a control in place to ensure that the authorized RII persons are given written information describing the extent of their responsibilities, authorities and inspection limitations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.11 Does the Certificate Holder have a documented method for assessing the impact of any changes made to the controls in the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

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

SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE

Objective: Process measurements are used by the Certificate Holder to measure and assess its processes to identify and correct problems or potential problems and to make improvements to the processes. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder measures or assesses information to identify, analyze and document potential problems with the process. Process measurements are basically a Certificate Holder's internal evaluation or auditing of the most important policies, procedures or instructions and information associated with an element.

To prevent the duplication of work that would otherwise occur, Process Measurements are most commonly addressed through a combination of auditing features contained in both the Certificate Holder's Safety Program/Internal Evaluation Program (for Operations and Cabin Safety related issues) and the auditing function of the Continuous Analysis & Surveillance System (for Airworthiness or Maintenance/Inspection related issues). The Director of Safety and the Quality Assurance Department often work in conjunction to accomplish this function for the Certificate Holder. This approach simply requires amendment of the Safety Program/Internal Evaluation Program audit forms or checklists and the Continuous Analysis & Surveillance System audit forms or checklists to include the specific process measurements for each element.

Tasks

To meet this objective, the inspector must perform the following tasks:

- 1 Review the process measurement questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the process measurements that it has documented.

Questions

To meet this objective, the inspector must answer the following questions:

3. Does the Certificate Holder's RII Personnel process include the following process measurements (see 3.1 – 3.10 below):

3.1 Process measurements that would reveal when the Certificate Holder failed to ensure that RII inspections are not performed by improperly certificated persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Process measurements that would reveal when the Certificate Holder failed to ensure that RII inspections are not performed by unqualified persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Process measurements that would reveal when the Certificate Holder failed to ensure that RII inspections are not performed by unauthorized persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4 Process measurements that would reveal when the Certificate Holder failed to ensure that RII inspections are performed only by properly trained persons?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.5 Process measurements that would reveal when the Certificate Holder failed to ensure that RII inspectors are authorized and certificated in accordance with the standards documented in their policies and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.6 Process measurements that would reveal when the Certificate Holder failed to determine that the person who performed an RII was authorized	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

to perform that specific inspection?	
3.7 Process measurements that would reveal when the Certificate Holder failed to ensure that no persons perform a required inspection if they performed the item of work required to be inspected?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.8 Process measurements that would reveal when the Certificate Holder failed to maintain a current list of RII personnel that is identified by the persons name, occupational title, and the inspections they are authorized to perform?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.9 Process measurements that would reveal when the Certificate Holder failed to ensure when RII Inspectors are not under the direct control of the Inspection Unit?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.10 Process measurements that would reveal when the Certificate Holder failed to ensure when authorized RII persons are not given written information describing the extent of their responsibilities, authorities and inspection limitations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.11 Does the Certificate Holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.12 Does the organization that conducts the process measurements have direct access to the person with responsibility for the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE –Drop Down Menu
1. No process measurements specified.
2. Documentation for the process measurements does not identify (who, what, when, where, how).
3. Inability to identify negative findings.
4. No provisions for implementing corrective actions.
5. Ineffective follow-up to determine effectiveness of corrective actions.
6. Resources requirements (personnel, facilities, equipment, technical data).
7. Other.

SAI SECTION 4 – INTERFACES ATTRIBUTE

Objective: Interfaces are used by the Certificate Holder to identify and manage the interactions between processes. The questions in this section of the data collection tool are designed to assist the inspector in determining whether or not interactions between the procedures, policies or instructions and information associated with other independent processes within the Certificate Holder's organization are documented. Written procedures, policies or instructions and information that are interrelated and located in different manuals within the Certificate Holder's manual system need to be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the Certificate Holder's manual system.

Tasks

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

- 1 Review the interfaces associated with the RII Personnel process that have been identified along with the individual questions in the Procedures Section (1) of this data collection tool.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the interfaces that it has documented.

Questions

To meet this objective, the inspector must answer the following questions:

NOTE: ALL EXPLANATIONS IN THE DROP DOWN MENU FOR "NO" ANSWERS MUST INCLUDE THE INDIVIDUAL QUESTION NUMBER FROM THE PROCEDURES SECTION (1) OF THIS DATA COLLECTION TOOL AND THE ELEMENT NUMBER OF THE INTERFACES THAT WERE NOT ADDRESSED.

4 Does the Certificate Holder's manual (see 4.1 and 4.2 below):

- | | |
|--|--|
| 4.1 Properly address the interfaces that are identified along with the individual questions in the Procedures Section (1)? | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
| 4.2 Document a method for assessing the impact of any changes to the associated interfaces within the RII Personnel process? | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
| 4.3 Were any additional interfaces identified during the accomplishment of this SAI? | |

<i>SAI SECTION 4 – INTERFACES ATTRIBUTE –Drop Down Menu</i>
1. No interfaces specified.
2. The following interfaces not identified within the Certificate Holder's manual system:
3. Interfaces listed are inaccurate.
4. Specific location of interfaces not identified within the manual system.
5. Other

SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE

Objective: The questions in this section of the data collection tool address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified and knowledgeable person who is responsible for the process, is answerable for the quality of the process and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

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

- 1 Identify the person who has overall responsibility for the RII Personnel process.
- 2 Identify the person who has overall authority for the RII Personnel process.
- 3 Review the duties and responsibilities of the person(s), documented in the Certificate Holder's manual.
- 4 Review the appropriate organizational chart.

Questions

To meet this objective, the inspector must answer the following questions:

5. Are the following aspects of the Management Responsibility and Authority Attribute addressed in the RII Personnel process:

5.1 Does the Certificate Holder's manual clearly identify who is responsible for the quality of the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
5.2 Does the Certificate Holder's manual clearly identify who has authority to establish and modify the policies, procedures, instructions and information for the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
5.3 Does the Certificate Holder's manual include the duties and responsibilities of those who manage the work required by the RII Personnel process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.4 Does the Certificate Holder's manual include instructions and information for those who manage the work required by the RII Personnel process? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.5 Does the Certificate Holder's manual clearly and completely document the authority for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.6 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having responsibility for the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.7 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

5.8 Does the Certificate Holder's manual clearly and completely document the procedures for delegation of authority for the RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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<i>SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE –Drop Down Menu</i>

1. Not documented.

2. Documentation unclear.

3. Documentation incomplete.

4. Other.
