

**Safety Attribute Inspection (SAI) Data Collection Tool  
5.1.9 RVSM Authorization (AW)**

**ELEMENT SUMMARY INFORMATION**

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

- To ensure that the Certificate Holder conducts RVSM operations safely and uses aircraft that are equipped, maintained, and capable of operating in RVSM airspace.

**Objective** (FAA oversight responsibility):

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

**Specific Instructions:**

- Intentionally left blank

**SUPPLEMENTAL INFORMATION**

**Specific Regulatory Requirement(s) (SRRs):**

- SRRs:
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.43(c)
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.367(b)
  - 121.375
  - 91.703(a)(4)
  - 91.706(a)(1)

**Related CFR(s) & FAA Policy/Guidance:**

- Related CFRs:
  - Intentionally left blank

- FAA Policy/Guidance:  
FAA Order 8300.10, Volume 2, Chapter 5

**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 RVSM Authorization process.
- 3 Review the Certificate Holder's manual to ensure that it contains policies, procedures, instructions and information necessary for the RVSM Authorization 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 an RVSM Authorization process:
 

1.1 Does the Certificate Holder's manual contain general policies for the RVSM Authorization process that comply with the specific regulatory requirements? SRRs: 91.703(a)(4); 91.706(a)(1); 121.135(b)(1); 121.367(b); 121.375; B.046; D.092  <i>Related Design JTI's:</i> 1. Check that the Certificate Holder's manual contains a policy that RVSM aircraft are equipped with Traffic Alert and Collision Avoidance System (TCAS) that meets TSO C-119b (Version 7.0 or later). <i>Sources:</i> 91 App..GSection 2(g); 121.135(b)(1) <i>Interfaces:</i> 1.3.10-aw; 1.1.2-aw; 1.1.2-op; 1.1.1-aw	<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 who will accomplish the RVSM Authorization process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.4 Does the Certificate Holder's manual include instructions and information for personnel to meet the requirements of the RVSM Authorization process? SRRs: 121.135(a)(1)</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual includes instruction and information necessary to allow personnel concerned to operate a civil aircraft of U.S. registry outside of the United States. When operating within airspace designated as Reduced Vertical Separation Minimum (RVSM) airspace, comply with 91.706. <i>Sources:</i> 91.703(a)(4); 121.135(a)(1) <i>Interfaces:</i> 1.3.14-aw</li> <li>2. Check that the Certificate Holder's manual includes information about operating civil aircraft of U.S. registry in airspace designated as Reduced Vertical Separation Minimum (RVSM) airspace unless: The operator and the operator's aircraft comply with the requirements of 14 CFR 91 Appendix G. <i>Sources:</i> 91.706(a)(1); 121.135(b)(24) <i>Interfaces:</i> 1.3.14-aw</li> <li>3. Check that the Certificate Holder's manual includes authorization to operate in RVSM airspace. <i>Sources:</i> 91.706(a)(2); 121.135(b)(1) <i>Interfaces:</i> 3.1.4-op; 5.1.7-op; 5.1.6-op</li> <li>4. Check that the Certificate Holder's manual includes information for a deviation from the requirements of this section in accordance with Section 5 of Appendix G to this part. <i>Sources:</i> 121.135(b)(1); 91.706(b) <i>Interfaces:</i> 5.1.6-op; 5.1.7-op; 3.1.4-op</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Does the Certificate Holder's RVSM maintenance program contain the following for ensuring continued compliance with the RVSM aircraft requirements: SRRs: 91 App..GSection 3(b)(1)</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder has an approved RVSM maintenance program outlining procedures to maintain RVSM aircraft in accordance with the requirements of this appendix. <i>Sources:</i> 91 App..GSection 3(b)(1) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw</li> </ol>	
<p>1.5.1 Periodic inspections? SRRs: 91 App..GSection 3(b)(1)(i)</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual contains an RVSM maintenance program that has periodic inspections with acceptable maintenance practices, for ensuring continued compliance with the RVSM aircraft requirements. <i>Sources:</i> 91 App..GSection 3(b)(1)(i) <i>Interfaces:</i> 1.3.2-aw</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.5.2 Functional flight tests? SRRs: 91 App..GSection 3(b)(1)(i)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual contains an RVSM maintenance program that includes functional flight tests with acceptable maintenance practices, for ensuring continued compliance with the RVSM aircraft requirements. <i>Sources:</i> 91 App..GSection 3(b)(1)(i) <i>Interfaces:</i> 3.1.4-op; 1.3.1-aw; 1.3.2-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.3 Maintenance and inspection procedures with acceptable maintenance practices? SRRs: 91 App..GSection 3(b)(1)(i)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual contains an RVSM maintenance program that includes maintenance and inspection procedures, with acceptable maintenance practices, for ensuring continued compliance with the RVSM aircraft requirements. <i>Sources:</i> 91 App..GSection 3(b)(1)(i) <i>Interfaces:</i> 1.3.2-aw; 1.3.1-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.4 A quality assurance program for ensuring continuing accuracy and reliability of test equipment used for testing aircraft to determine compliance with the RVSM aircraft requirements? SRRs: 91 App..GSection 3(b)(1)(ii)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual contains an RVSM quality assurance program that ensures continuing accuracy and reliability of test equipment used for testing aircraft to determine compliance with the RVSM aircraft requirements. <i>Sources:</i> 91 App..GSection 3(b)(1)(ii) <i>Interfaces:</i> 1.3.15-aw; 1.3.11-aw; 1.3.8-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.5 Procedures for returning non-compliant aircraft to service? SRRs: 91 App..GSection 3(b)(1)(iii)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's approved RVSM maintenance program contains procedures for returning non-compliant aircraft to service. <i>Sources:</i> 91 App..GSection 3(b)(1)(iii) <i>Interfaces:</i> 1.1.1-aw; 3.2.3-op; 1.3.1-aw; 3.2.1-op; 1.3.5-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.6 Policies and procedures that will enable it to conduct RVSM operations safely? SRRs: 91 App..GSection 3(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6 Does the Certificate Holder provide evidence through validation and demonstration that it is capable of operating and maintaining each aircraft or aircraft group for which it applies for approval to operate in RVSM airspace? SRRs: 121.367(b); 91 App..GSection 3(c)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.7 Does the Certificate Holder's manual include scheduled tests and/or inspections in conjunction with a continued airworthiness maintenance program to ensure that altitude-keeping systems continue to meet RVSM standards? SRRs: B.046(c)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 Does the Certificate Holder's manual contain the required references to, or excerpts from, operations specifications? SRRs: D.092</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.9 If the Certificate Holder's manual includes excerpts from its operations specifications, are the excerpts clearly identified as part of the operations specifications? SRRs: 119.43(b)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
<p>1.10 Does the Certificate Holder's manual require compliance with operations specifications? SRRs: 119.43(b)(2); D.092</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11 Does the Certificate Holder's manual contain a method for keeping all persons engaged in its operations informed of the provisions of operation specifications? SRRs: 119.43(c); D.092</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.12 Does the Certificate Holder or person performing maintenance functions for it have a training program that fully informs each person (including inspection personnel) who determines the adequacy of work done about procedures and techniques and new equipment in use for RVSM operations? SRRs: 121.375</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual includes a training program to ensure that each person (including inspection personnel) who determines the adequacy of work done is fully informed about procedures and techniques and new equipment in use and is competent to perform his duties. <i>Sources:</i> 121.375 <i>Interfaces:</i> 4.2.6-op; 4.2.1-aw; 4.2.2-aw</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.13 Does the Certificate Holder's RVSM maintenance program include the equipment, specifications and requirements identified in Appendix G Section 1 and 2 of 14 CFR Part 91 for a RVSM group aircraft? SRRs: 91 App..GSection 1; 91 App..GSection 2</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder manual contain instructions and procedures to assure that avionics units installed in each aircraft meet the minimum RVSM equipment requirements of this appendix that are manufactured to the same manufacturer specification and have the same part number. <i>Sources:</i> 121.135(b)(16); 91 App..GSection 1(c)(1) <i>Interfaces:</i> 1.1.1-aw; 1.1.2-op; 1.3.22-aw; 1.3.21-aw; 1.1.2-aw; 1.3.10-aw</li> <li>2. Check that the Certificate Holder manual contain instructions and procedures to assure that avionics units installed in each aircraft meet the minimum RVSM equipment requirements of this appendix</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<p>are of a different manufacturer or part number if the applicant demonstrates that the equipment provides equivalent system performance.  <i>Sources:</i> 121.135(b)(16); 91 App..GSection 1(c)(2)  <i>Interfaces:</i> 1.1.2–op; 1.3.10–aw; 1.3.22–aw; 1.1.2–aw; 1.1.1–aw; 1.3.21–aw</p>	
<p>1.14 Does the Certificate Holder's RVSM maintenance program include the equipment, specifications and requirements identified in Appendix G Section 1 and 2 of 14 CFR Part 91 for a RVSM non–group aircraft?  SRRs: 91 App..GSection 1; 91 App..GSection 2</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder manual contain instructions and procedures to assure that avionics units installed in each aircraft meet the minimum RVSM equipment requirements of this appendix that are manufactured to the same manufacturer specification and have the same part number.  <i>Sources:</i> 121.135(b)(16); 91 App..GSection 1(c)(1)  <i>Interfaces:</i> 1.1.1–aw; 1.1.2–op; 1.3.22–aw; 1.3.21–aw; 1.1.2–aw; 1.3.10–aw</li> <li>2. Check that the Certificate Holder manual contain instructions and procedures to assure that avionics units installed in each aircraft meet the minimum RVSM equipment requirements of this appendix are of a different manufacturer or part number if the applicant demonstrates that the equipment provides equivalent system performance.  <i>Sources:</i> 121.135(b)(16); 91 App..GSection 1(c)(2)  <i>Interfaces:</i> 1.1.2–op; 1.3.10–aw; 1.3.22–aw; 1.1.2–aw; 1.1.1–aw; 1.3.21–aw</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
<p>1.15 Does the Certificate Holder's RVSM maintenance program include the equipment and requirements identified in operations specifications?  SRRs: B.046; D.092</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.16 Does the Certificate Holder's manual include instructions and information for personnel concerned to perform their duties and responsibilities of reporting to the Administrator each event in which the aircraft has exhibited the following altitude–keeping performance:  SRRs: 91 App..GSection 6</p>	
<p>1.16.1 Total vertical error of 300 feet or more?  SRRs: 91 App..GSection 6(a)</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual includes instructions and information to report altitude–keeping errors, to the Administrator, each event in which the operator's aircraft has exhibited total vertical error of 300 feet or more.  <i>Sources:</i> 121.135(a)(1); 91 App..GSection 6(a)  <i>Interfaces:</i> 1.3.15–aw; 3.1.11–op; 3.1.4–op</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>1.16.2 Altimetry system error of 245 feet or more? SRRs: 91 App..GSection 6(b)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual includes instructions to report altitude-keeping errors, to the Administrator, each event in which the operator's aircraft has exhibited altimetry system error of 245 feet or more.</p> <p><i>Sources:</i> 121.135(a)(1); 91 App..GSection 6(b)</p> <p><i>Interfaces:</i> 1.3.15-aw; 3.1.4-op; 3.1.11-op</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.16.3 Assigned altitude deviation of 300 feet or more? SRRs: 91 App..GSection 6(c)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual includes instructions to report altitude-keeping errors, to the Administrator, each event in which the operator's aircraft has exhibited assigned altitude deviation of 300 feet or more.</p> <p><i>Sources:</i> 121.135(a)(1); 91 App..GSection 6(c)</p> <p><i>Interfaces:</i> 3.1.4-op; 3.1.11-op; 1.3.15-aw</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17 Does the Certificate Holder's RVSM maintenance program contain the following elements in accordance with FAA Order 8300.10, Volume 2, Chapter 5, Section 2, paragraph 5(B)(1)-(10):</p>	
<p>1.17.1 Identification of components considered to be RVSM critical, and identification of structural areas noted as RVSM critical areas?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.2 The name or title of the responsible person who will ensure that the aircraft is maintained in accordance with the approved program?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.3 The method the Certificate Holder will use to ensure that all personnel performing maintenance on the RVSM system are properly trained, qualified, and authorized for that specific system?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.4 The method the Certificate Holder will use to notify the crew if the aircraft has been restricted from RVSM but is airworthy for an intended flight?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.5 The method the Certificate Holder will use to ensure conformance to the RVSM maintenance standards, including the use of calibrated and appropriate test equipment and a quality assurance program for ensuring continuing accuracy and reliability of test equipment, especially when outsourced?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.6 The method the Certificate Holder will use to verify that components and parts are eligible for installation in the RVSM system, as well as to prevent ineligible components or parts from being installed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.7 The method the Certificate Holder will use to return an aircraft to service after maintenance has been performed on an RVSM component/system or after the aircraft was determined to be non-compliant?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.17.8 Periodic inspections, functional flight tests, and maintenance and inspection procedures with acceptable maintenance practices for ensuring continued compliance with the RVSM</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

aircraft requirements? NOTE: The need for functional flight tests may be limited to only after repairs or modifications that are deemed to warrant such testing.	
1.17.9 The maintenance requirements listed in Instructions for Continued Airworthiness (ICA) associated with any RVSM component or modification?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.17.10 Any other maintenance requirement that needs to be incorporated to ensure continued compliance with RVSM requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>SAI SECTION 1 – PROCEDURES ATTRIBUTE –Drop Down Menu</b>
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 accomplish 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 RVSM Authorization process:
 

2.1 Is there a control in place to ensure that the Certificate Holder complies with RVSM provisions of operations specifications D092?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2 Is there a control in place to ensure that personnel (including inspection personnel) who determine the adequacy of work are trained?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3 Is there a control in place to ensure that the Certificate Holder's aircraft maintenance is accomplished in accordance with the standards of the RVSM maintenance program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4 Is there a control in place to ensure that the Certificate Holder's current RVSM technical documents are available to RVSM maintenance personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.5 Is there a control in place to ensure that the Certificate Holder notifies the CHDO of any system failures or abnormalities in accordance with its policies and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.6 Is there a control in place to ensure that the Certificate Holder audits the RVSM process so that its policies and procedures are followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.7 Is there a control in place to ensure that the Certificate Holder's aircraft have the correct version of TCAS installed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.8 Is there a control in place to ensure that personnel who perform maintenance on the RVSM systems are properly trained, qualified, and knowledgeable?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.9 Is there a control in place to ensure that maintenance personnel follow the methods to verify that components and parts are eligible for installation in the RVSM system?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.10 Is there a control in place to ensure that maintenance personnel follow the Certificate Holder's method in notifying the crew when the	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

aircraft has been restricted from RVSM operations?	
2.11 Is there a control in place to ensure that maintenance personnel follow the Certificate Holder's method to ensure conformance to the RVSM maintenance standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.12 Is there a control in place to ensure that maintenance personnel follow the Certificate Holder's method in returning an aircraft to service after maintenance has been performed on an RVSM component/system?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.13 Is there a control in place to ensure that maintenance personnel follow the Certificate Holder's method in returning an aircraft to service after the aircraft was determined to be restricted from RVSM operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.14 Does the Certificate Holder have a documented method for assessing the impact of any changes made to the controls in the RVSM Authorization process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>SAI SECTION 2 – CONTROLS ATTRIBUTE –Drop Down Menu</b>
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 accomplish 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 RVSM Authorization process include the following process measurements:
 

3.1 Process measurements that would reveal when the Certificate Holder failed to comply with RVSM provisions of operations specifications D092?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Process measurements that would reveal when the Certificate Holder's personnel (including inspection personnel) who determine the adequacy of work were not trained in accordance with its policies and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Process measurements that would reveal when the Certificate Holder failed to accomplish aircraft maintenance in accordance with the standards of the RVSM maintenance program?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4 Process measurements that would reveal when the Certificate Holder failed to have current RVSM technical documents available for RVSM maintenance personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.5 Process measurements that would reveal when the Certificate Holder failed to notify the CHDO of any system failures or abnormalities in accordance with its 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 audit the RVSM process to ensure its policies and procedures are followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.7 Process measurements that would reveal when the Certificate Holder failed to have the correct version of TCAS installed on its	<input type="checkbox"/> Yes

aircraft?	<input type="checkbox"/> No, Explain
3.8 Process measurements that would reveal when the Certificate Holder failed to have properly trained, qualified, and knowledgeable personnel to perform maintenance on the RVSM systems.	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.9 Process measurements that would reveal when the Certificate Holder's maintenance personnel failed to follow the methods to verify that components and parts are eligible for installation in the RVSM system?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.10 Process measurements that would reveal when the Certificate Holder's maintenance personnel failed to follow the Certificate Holder's method in notifying the crew when the aircraft has been restricted from RVSM operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.11 Process measurements that would reveal when the Certificate Holder's maintenance personnel failed to follow the Certificate Holder's method to ensure conformance to the RVSM maintenance standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.12 Process measurements that would reveal when the Certificate Holder's maintenance personnel failed to follow the Certificate Holder's method in returning an aircraft to service after maintenance has been performed on an RVSM component/system?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.13 Process measurements that would reveal when the Certificate Holder's maintenance personnel failed to follow the Certificate Holder's method in returning an aircraft to service after the aircraft was determined to be restricted from RVSM operations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.14 Does the Certificate Holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.15 Does the organization that conducts the process measurements have direct access to the person with responsibility for the RVSM Authorization process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE –Drop Down Menu</b>
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 RVSM Authorization 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(S) OF THE INTERFACE(S) THAT WERE NOT ADDRESSED.

4 Does the Certificate Holder's manual:

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

<b>SAI SECTION 4 – INTERFACES ATTRIBUTE –Drop Down Menu</b>
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 RVSM Authorization process.
- 2 Identify the person who has overall authority for the RVSM Authorization 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 Attributes addressed in the RVSM Authorization process:

5.1 Does the Certificate Holder's manual clearly identify who is responsible for the quality of the RVSM Authorization process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input 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 RVSM Authorization process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
5.3 Does the Certificate Holder's manual include the duties and responsibilities of those who manage the work required by the RVSM Authorization 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 RVSM Authorization 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 RVSM Authorization 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 RVSM Authorization 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 RVSM Authorization process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>SAI SECTION 5 – MANAGEMENT RESPONSIBILITY &amp; AUTHORITY ATTRIBUTE –Drop Down Menu</b>
1. Not documented.
2. Documentation unclear.
3. Documentation incomplete.
4. Other.