

## Safety Attribute Inspection (SAI) Data Collection Tool 5.1.9 RVSM Authorization (OP)

### *ELEMENT SUMMARY INFORMATION*

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

- To ensure continuous altitude reliability in accordance with the Air Carrier's Reduced Vertical Separation Minimum (RVSM) Authorization.

**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.

### *SUPPLEMENTAL INFORMATION*

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

- SRRs:
  - 119.43(b)
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.43(c)
  - 119.49(a)
  - 119.49(b)
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(21)
  - 121.135(b)(24)
  - 121.135(b)(3)
  - 121.135(b)(5)
  - 121.135(b)(6)
  - 121.135(b)(7)
  - 91.706(a)(1)
  - 91.706(a)(2)
  - Appendix G Section 3(b)(2) to Part 91
  - Appendix G Section 3(b)(3) to Part 91
  - Appendix G Section 3(c)(2) to Part 91

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

- Related CFRs:  
Intentionally left blank
- FAA Policy/Guidance:  
Memo-91-RVSM

**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:  
Related CFRs: Intentionally left blank

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: 91.706(a)(1); 91.706(a)(2); 121.135(b)(1); 121.135(b)(5); 121.135(b)(6); 121.135(b)(7); 121.135(b)(21); 119.49(a); 119.49(b); Appendix G Section 3(b)(3) to Part 91

- Yes  
 No, Explain

**Related Design JTIs:**

- Check that the Certificate Holder's manual has a policy that each person requesting a clearance to operate within RVSM airspace shall correctly annotate the flight plan filed with air traffic control with the status of the operator with regard to RVSM approval.  
*Sources:* Appendix G Section 4(a) to Part 91; 121.135(b)(1)  
*Interfaces:* 3.1.4-op; 3.2.1-op
- Check that the Certificate Holder's manual has a policy that each person requesting a clearance to operate within RVSM airspace shall correctly annotate the flight plan filed with air traffic control with the status of the aircraft with regard to RVSM approval.  
*Sources:* Appendix G Section 4(a) to Part 91; 121.135(b)(1)  
*Interfaces:* 3.1.4-op; 3.2.1-op
- Check that the Certificate Holder's manual has a policy that they shall verify RVSM applicability for the flight planned route through the

<p>appropriate flight planning information sources.  <i>Sources:</i> Appendix G Section 4(a) to Part 91; 121.135(b)(1)  <i>Interfaces:</i> 3.1.4–op; 3.2.1–op</p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder’s manual has a policy that no person may show, on the flight plan filed with air traffic control, an operator as approved for RVSM operations, or operate on a route or in an area where RVSM approval is required, unless the operator is authorized by the Administrator to perform such operations.  <i>Sources:</i> Appendix G Section 4(b)(1) to Part 91; 121.135(b)(1)  <i>Interfaces:</i> 3.1.4–op; 3.2.1–op</li> <li>• Check that the Certificate Holder’s manual has a policy that no person may show, on the flight plan filed with air traffic control, an aircraft as approved for RVSM operations, or operate on a route or in an area where RVSM approval is required, unless the operator is authorized by the Administrator to perform such operations.  <i>Sources:</i> Appendix G Section 4(b)(1) to Part 91; 121.135(b)(1)  <i>Interfaces:</i> 3.1.4–op; 3.2.1–op</li> <li>• Check that the Certificate Holder’s manual has a policy for submitting a request for a deviation of RVSM operations with the air traffic control center controlling the airspace.  <i>Sources:</i> Appendix G Section 5(a) to Part 91; 121.135(b)(1)  <i>Interfaces:</i> 3.1.4–op; 3.2.1–op; 4.2.5–op; 4.2.9–op; 7.2.1–op</li> <li>• Check that the Certificate Holder’s manual has a policy for recurrent pilot training for RVSM operations.  <i>Sources:</i> Appendix G Section 3(b)(2) to Part 91; 121.135(b)(1)  <i>Interfaces:</i> 4.2.3–op; 4.2.9–op; 4.3.2–op</li> </ul>	
<p>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)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>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)</p>	<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>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Does the Certificate Holder’s manual contain RVSM procedures for the following to ensure that it can conduct RVSM operations safely:  SRRs: Appendix G Section 3(b)(3) to Part 91</p>	
<p>1.5.1 Flight planning requirements?  SRRs: 121.135(b)(5)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder’s manual system has information for enroute flight procedures.  <i>Sources:</i> 121.135(b)(5)  <i>Interfaces:</i> 1.1.2–aw; 1.1.2–op; 3.1.3–op; 3.2.1–op; 3.2.3–op;</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

5.1.6–op; 5.1.7–op; 5.1.8–aw; 5.1.8–op	
<p>1.5.2 Procedures for determining RVSM areas of operation? SRRs: 121.135(b)(5)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder’s manual system has information for navigation procedures. <i>Sources:</i> 121.135(b)(5) <i>Interfaces:</i> 1.1.2–aw; 1.1.2–op; 3.1.3–op; 3.2.1–op; 3.2.3–op; 5.1.6–op; 5.1.7–op; 5.1.8–aw; 5.1.8–op</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.3 Procedures for the dispatch or release of a flight if any item of equipment required for RVSM operations is inoperative? SRRs: 121.135(b)(5)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder’s manual system has procedures for dispatch or release if any item of equipment required for the particular type of operation becomes inoperative. <i>Sources:</i> 121.135(b)(5) <i>Interfaces:</i> 1.1.2–aw; 1.1.2–op; 3.1.3–op; 3.2.1–op; 3.2.3–op; 5.1.6–op; 5.1.7–op; 5.1.8–aw; 5.1.8–op</li> <li>• Check that the Certificate Holder’s manual system has procedures for continuance of flight if any item of equipment required for the particular type of operation becomes inoperative. <i>Sources:</i> 121.135(b)(5) <i>Interfaces:</i> 1.1.2–aw; 1.1.2–op; 3.1.3–op; 3.2.1–op; 3.2.3–op; 5.1.6–op; 5.1.7–op; 5.1.8–aw; 5.1.8–op</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.4 Procedures for providing the appropriate information from the operations specifications, including areas where RVSM is authorized, the identification number of the airplanes authorized, and any other pertinent information to flight operations personnel? SRRs: 121.135(b)(6)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder’s manual has information and instructions authorizing their areas of operation (domestic – flag). <i>Sources:</i> 119.49(a)(6); 121.135(b)(6) <i>Interfaces:</i> 1.1.2–aw; 1.1.2–op; 5.1.6–op; 5.1.7–op; 5.1.8–aw; 5.1.8–op</li> <li>• Check that the Certificate Holder’s manual has information and instructions authorizing their areas of operation (supplemental). <i>Sources:</i> 119.49(b)(6); 121.135(b)(7) <i>Interfaces:</i> 1.1.2–aw; 1.1.2–op; 5.1.6–op; 5.1.7–op; 5.1.8–aw; 5.1.8–op</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
<p>1.6 Does the Certificate Holder’s manual have initial and recurrent pilot training requirements for RVSM operations that would ensure that they have adequate knowledge of: SRRs: 121.135(a)(1); Appendix G Section 3(b)(2) to Part 91</p>	

<p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder's manual has a policy for initial pilot training for RVSM operations.</li> </ul> <p>Sources: Appendix G Section 3(b)(2) to Part 91; 121.135(b)(1) Interfaces: 4.2.3–op; 4.2.9–op; 4.3.2–op</p>	
<p>1.6.1 RVSM requirements? SRRs: 121.135(b)(24); Appendix G Section 3(c)(2) to Part 91</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder's manual has a policy that ensures each pilot has an adequate knowledge of RVSM requirements.</li> </ul> <p>Sources: Appendix G Section 3(c)(2) to Part 91; 121.135(b)(1) Interfaces: 4.2.3–op</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6.2 RVSM policy? SRRs: 121.135(b)(24); Appendix G Section 3(c)(2) to Part 91</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder's manual has a policy that ensures each pilot has an adequate knowledge of RVSM policies.</li> </ul> <p>Sources: Appendix G Section 3(c)(2) to Part 91; 121.135(b)(1) Interfaces: 4.2.3–op</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6.3 RVSM procedures? SRRs: 121.135(b)(24); Appendix G Section 3(c)(2) to Part 91</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check that the Certificate Holder's manual has a policy that ensures each pilot has an adequate knowledge of RVSM procedures.</li> </ul> <p>Sources: Appendix G Section 3(c)(2) to Part 91; 121.135(b)(1) Interfaces: 4.2.3–op</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Does the Certificate Holder's manual contain the required references to, or excerpts from, operations specification paragraph B046? SRRs: 119.43(b)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 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>1.9 Does the Certificate Holder's manual require compliance with operations specifications paragraph B046? SRRs: 119.43(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.10 Does the Certificate Holder's manual contain a method for keeping all persons engaged in its operations informed of the provisions of operations specifications paragraph B046? SRRs: 119.43(c)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.11 Does the Certificate Holder's RVSM Authorization process comply with the guidance contained in Memo-91-RVSM?

Yes

No, Explain

*Related Design JTIs:*

- Check that the Certificate Holder's instructions and information regarding dispatchers be knowledgeable on contingency and other procedures unique to specific areas of operation.  
*Sources:* 91-RVSM Paragraph 11 (b)(3)(i)  
*Interfaces:* 3.1.4-op; 3.2.1-op; 4.2.5-op; 4.2.9-op; 7.2.1-op
- Check that the Certificate Holder's instructions and information regarding that during flight planning, the flight crew and dispatchers should pay particular attention to conditions which may affect operation in RVSM airspace.  
*Sources:* 91-RVSM Appendix 4 Paragraph 2  
*Interfaces:* 3.1.3-op; 3.1.4-op; 3.2.1-op; 5.1.7-op; 7.2.1-op
- Check that the Certificate Holder's instructions and information regarding review of maintenance logs and forms to ascertain the condition of equipment required for flight in the RVSM airspace.  
*Sources:* 91-RVSM Appendix 4 Paragraph 3(a)  
*Interfaces:* 3.1.3-op; 3.2.1-op; 5.1.7-op
- Check that the Certificate Holder's instructions and information regarding procedures to ensure that maintenance action has been taken to correct defects to required equipment.  
*Sources:* 91-RVSM Appendix 4 Paragraph 3(a)  
*Interfaces:* 3.1.3-op; 3.2.1-op; 3.2.3-op; 5.1.7-op
- Check that the Certificate Holder's instructions and information regarding that during the external inspection of aircraft, particular attention should be paid to the condition of static sources and the condition of the fuselage skin in the vicinity of each static source and any other component that affects altimetry system accuracy.  
*Sources:* 91-RVSM Appendix 4 Paragraph 3(b)  
*Interfaces:* 3.1.3-op; 3.2.1-op; 3.2.3-op
- Check that the Certificate Holder's instructions and information regarding that before takeoff, the aircraft altimeters should be set to the local altimeter (QNH) setting and should display a known elevation. An alternative procedure using QFE may also be used.  
*Sources:* 91-RVSM Appendix 4 Paragraph 3(c)  
*Interfaces:* 3.1.3-op; 3.2.1-op; 3.2.3-op
- Check that the Certificate Holder's instructions and information regarding that before take-off, equipment required for flight in RVSM airspace should be operational, and indications of malfunction should be resolved.  
*Sources:* 91-RVSM Appendix 4 Paragraph 3(d)  
*Interfaces:* 1.1.2-aw; 1.1.2-op; 3.1.3-op; 3.2.1-op; 3.2.3-op; 4.2.3-op; 4.2.9-op
- Check that the Certificate Holder's instructions and information regarding that prior to RVSM airspace entry, two primary altitude measurement systems must be operating normally.  
*Sources:* 91-RVSM Appendix 4 Paragraph 4  
*Interfaces:* 1.1.2-aw; 1.1.2-op; 3.1.3-op; 3.2.1-op; 3.2.3-op;

4.2.3–op; 4.2.9–op

- Check that the Certificate Holder's instructions and information regarding that prior to RVSM airspace entry, one automatic altitude–control system must be operating normally.  
*Sources:* 91–RVSM Appendix 4 Paragraph 4  
*Interfaces:* 1.1.2–aw; 1.1.2–op; 3.1.3–op; 3.2.1–op; 3.2.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding that prior to RVSM airspace entry, one altitude–alerting device must be operating normally.  
*Sources:* 91–RVSM Appendix 4 Paragraph 4  
*Interfaces:* 1.1.2–aw; 1.1.2–op; 3.1.3–op; 3.2.1–op; 3.2.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding that should any of the required equipment fail prior to the aircraft entering RVSM airspace, the pilot must request a new clearance so as to avoid flight in this airspace.  
*Sources:* 91–RVSM Appendix 4 Paragraph 4  
*Interfaces:* 3.1.3–op; 3.1.9–op; 3.2.1–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding how flight crews should comply with aircraft operating restrictions related to RVSM.  
*Sources:* 91–RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding setting the sub–scale on all primary and standby altimeters to 29.92 in. Hg/1013.2 (hPa) when passing the transition altitude and rechecking for proper altimeter setting when reaching the initial cleared flight level (CFL).  
*Sources:* 91–RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding that in level cruise it is essential that the aircraft is flown at the CFL.  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding that during transition between levels, the aircraft should not be allowed to overshoot or undershoot the cleared flight level by more than 150 ft (45 m).  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding automatic altitude–control system be operative and engaged during level cruise except when circumstance, such as the need to retrim the aircraft or turbulence, requires disengagement.  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information

regarding that the altitude–alerting system should be operational.

*Sources:* 91– RVSM Appendix 4 Paragraph 5

*Interfaces:* 3.1.3–op; 3.2.1–op; 3.2.3–op

- Check that the Certificate Holder’s instructions and information regarding that at intervals of approximately one hour crosschecks between the primary altimeters and the stand–by altimeter be made.  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op
- Check that the Certificate Holder’s instructions and information regarding that at least the initial altimeter cross–check in the vicinity of the point where Class II navigation is begun should be recorded. The readings of the primary and standby altimeters should be recorded and available for use in contingency situations.  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op
- Check that the Certificate Holder’s instructions and information regarding that if the pilot is notified by ATC of an AAD error which exceeds 300 ft (90 m) then the pilot should take action to return to CFL as quickly as possible.  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op
- Check that the Certificate Holder’s instructions and information regarding that after entering RVSM airspace the pilot should notify ATC of contingencies (aircraft system failures, weather conditions) which affect the ability to maintain the CFL and co–ordinate a plan of action.  
*Sources:* 91– RVSM Appendix 4 Paragraph 5  
*Interfaces:* 3.1.3–op
- Check that the Certificate Holder’s instructions and information regarding that in making maintenance log book entries against malfunctions in height–keeping systems, the pilot should provide sufficient detail to enable maintenance to effectively troubleshoot and repair the system.  
*Sources:* 91–RVSM Appendix 4 Paragraph 6  
*Interfaces:* 3.1.3–op; 3.2.3–op
- Check that the Certificate Holder’s instructions and information regarding special emphasis training for flight crews on knowledge and understanding of standard ATC phraseology used in each area of operations.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder’s instructions and information regarding special emphasis training for flight crews on the importance of crewmembers cross checking each other to ensure that ATC clearances are promptly and correctly complied with.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder’s instructions and information regarding special emphasis training for flight crews on the use and limitations in terms of accuracy of standby altimeters in contingencies.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7

*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op

- Check that the Certificate Holder's instructions and information regarding special emphasis training for flight crews on the problems of visual perception of other aircraft at 1,000 ft (300 m) planned separation during night conditions, when encountering local phenomena such as northern lights, for opposite and same direction traffic, and during turns.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding special emphasis training for flight crews on the characteristics of aircraft altitude capture systems, which may lead to the occurrence of overshoots.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding special emphasis training for flight crews on operational procedures and operating characteristics related to TCAS (ACAS) operation in an RVSM operation.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding special emphasis training for flight crews on the relationship between the altimetry, automatic altitude control, and transponder systems in normal and abnormal situations.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding special emphasis training for flight crews on the aircraft operating restrictions related to RVSM operations.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding special emphasis training for flight crews on the use of track offset procedures to mitigate the effect of wake turbulence.  
*Sources:* 91–RVSM Appendix 4 Paragraph 7  
*Interfaces:* 3.1.3–op; 4.2.3–op; 4.2.9–op
- Check that the Certificate Holder's instructions and information regarding Doc 7030 be considered the source document for specific contingency procedures applicable to individual ICAO regions.  
*Sources:* 91–RVSM Appendix 5 Paragraph 7  
*Interfaces:* 3.1.3–op; 3.2.1–op
- Check that the Certificate Holder's instructions and information regarding that they will follow In–flight contingency procedures applicable to Pacific oceanic operations referenced in Paragraph 4.0 of the Regional Supplementary Procedures for the Pacific and the Middle East/Asia (Mid/Asia).  
*Sources:* 91–RVSM Appendix 5 Paragraph 7  
*Interfaces:* 3.1.3–op

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|---|--|
| <ul style="list-style-type: none"><li>• Check that the Certificate Holder's instructions and information regarding that they will follow In-flight contingency procedures applicable to NAT oceanic operations are published in Paragraph 5.0 of NAT Regional Supplementary Procedures.</li></ul> |  |
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*Sources:* 91-RVSM Appendix 5 Paragraph 7

*Interfaces:* 3.1.3-op

<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 flight crew members are qualified to operate in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2 Is there a control in place to ensure that aircraft are qualified to operate in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3 Is there a control in place to ensure that there are procedures to follow in case an aircraft becomes unqualified for operation in RVSM airspace while enroute?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4 Is there a control in place to ensure that approved procedures are followed for operations in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.5 Is there a control in place to ensure that operations specifications and other information for operations in RVSM airspace are issued?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.6 Is there a control in place to ensure that dispatchers or flight followers are qualified to conduct flights in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.7 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 if the flight crew members were not qualified to operate in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Process measurements that would reveal if aircraft were not qualified to operate in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Process measurements that would reveal if there were no procedures to follow in case an aircraft becomes unqualified for operation in RVSM airspace while enroute?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4 Process measurements that would reveal if approved procedures were not followed for operations in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.5 Process measurements that would reveal if operations specifications and other information for operations in RVSM airspace were not issued?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.6 Process measurements that would reveal if the dispatchers or flight followers were not qualified to conduct flights in RVSM airspace?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.7 Does the Certificate Holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.8 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 indentified during the accomplishment of this SAI.   |  |

<b><i>SAI SECTION 4 – INTERFACES ATTRIBUTE –Drop Down Menu</i></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 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 RVSM Authorization 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 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?

Yes

No, Explain

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