

Safety Attribute Inspection (SAI) Data Collection Tool

7.1.4 Director of Operations (OP)

ELEMENT SUMMARY INFORMATION

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

- To ensure the Certificate Holder's manual contains the qualifications, duties, responsibilities and the authority necessary so that the individual serving as the Director of Operations (or equivalent) may discharge those duties in a manner that ensures the highest degree of safety in the Certificate Holder's operations.

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder's Director of Operations (or equivalent) position meets all applicable CFR regulatory requirements and FAA policy/guidance material.
- To determine if the Certificate Holder's Director of Operations (or equivalent) position incorporates the System Safety Attributes.
- To identify any shortfalls in the Certificate Holder's Director of Operations (or equivalent) position.

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 119.39(b)(3)
 - 119.65(a)(2)
 - 119.65(b)
 - 119.65(c)
 - 119.65(d)(1)
 - 119.65(d)(2)
 - 119.65(d)(2)(i)
 - 119.65(d)(2)(ii)
 - 119.65(d)(2)(iii)
 - 119.65(d)(2)(iv)
 - 119.65(d)(2)(v)
 - 119.65(d)(3)
 - 119.65(e)(1)
 - 119.65(e)(2)
 - 119.65(e)(3)
 - 119.67(a)(1)
 - 119.67(a)(2)

119.67(a)(3)(i)
119.67(a)(3)(ii)
121.135(a)(1)
121.135(b)(1)
121.135(b)(3)
A006 Management Personnel

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:

- FAA Policy/Guidance:
8400.10, Vol.2, Chapter 2
8400.10, Vol.3, Chapter 1
8400.10, Vol.3, Chapter 8
HBAT 98-27

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 Certificate Holder's manual for policies, duties, responsibilities and the authority of the Director of Operations (or equivalent) to ensure that they contain information on who, what, when, where and how (as appropriate).

Questions

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

1. Does the Certificate Holder's manual state the qualifications, duties, responsibilities and authority of the Director of Operations (or equivalent) (see below):

- | | |
|--|--|
| <ol style="list-style-type: none"> 1.1 Does the Certificate Holder's manual contain a general policy on staffing the Director of Operations (or equivalent) position, that complies with the specific regulatory requirements?
SRRs: 119.65(a)(2); 119.65(c); 121.135(b)(1); A006 Management Personnel; 119.39(b)(3); 119.65(b) | <input type="checkbox"/> Yes
<input type="checkbox"/> No, Explain |
|--|--|

Related Design JTIs:

- Check that the Certificate Holder's manual includes general policy that a person being considered to serve full time in the position or equivalent position of Director of Operations who exercised control over or who has held the same or similar position with a Certificate Holder whose certificate was revoked, or is in the process of being revoked, and that individual materially contributed to the circumstances causing revocation or causing the revocation process, the applicant may not be nominated for key management positions.

Sources: 119.39(b)(3); 121.135(b)(1)

Interfaces: 2.1.1-op; 2.1.2-aw

- Check that the Certificate Holder's manual includes general policy for a qualified person to serve full time in the position or equivalent position of Director of Operations.

Sources: 119.65(a)(2); 121.135(b)(1)

Interfaces: 2.1.1-aw; 2.1.1-op

- Check that the Certificate Holder's manual includes general policy that requires that the Director of Operations be listed by title on paragraph

<p>A006 of the operations specifications. <i>Sources:</i> 119.65(c); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	
<p>1.2 Does the Certificate Holder's manual refer to 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 state, in its general policy provisions, the duties of the Director of Operations (or equivalent) position? SRRs: 119.65(e)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder's manual contains a general policy of the duties, responsibilities, and authority for the Director of Operations position. <p><i>Sources:</i> 119.65(e)(1); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.4 Does the Certificate Holder's manual state, in its general policy provisions, the responsibilities of the Director of Operations (or equivalent) position? SRRs: 119.65(e)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder's manual contains a general policy of the duties, responsibilities, and authority for the Director of Operations position. <p><i>Sources:</i> 119.65(e)(1); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Does the Certificate Holder's manual state, in its general policy provisions, the authority of the Director of Operations (or equivalent) position? SRRs: 119.65(e)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder's manual contains a general policy of the duties, responsibilities, and authority for the Director of Operations position. <p><i>Sources:</i> 119.65(e)(1); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</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 to meet the requirements of this element? SRRs: 121.135(a)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Does the Certificate Holder's manual identify the training requirements for the Director of Operations (or equivalent) position? SRRs: 119.65(d)(1); 121.135(b)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder's manual includes general policy on 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>how the Director of Operations will be qualified through training, experience and expertise. <i>Sources:</i> 119.65(d)(1); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	
<p>1.8 Does the Certificate Holder's manual identify the experience requirements for the Director of Operations (or equivalent) position? SRRs: 119.65(d)(1); 121.135(b)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder's manual includes general policy on how the Director of Operations will be qualified through training, experience and expertise. <i>Sources:</i> 119.65(d)(1); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.9 Does the Certificate Holder's manual identify the expertise requirements for the Director of Operations (or equivalent) position? SRRs: 119.65(d)(1); 121.135(b)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder's manual includes general policy on how the Director of Operations will be qualified through training, experience and expertise. <i>Sources:</i> 119.65(d)(1); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.10 Do the qualifications contained in the Certificate Holder's manual require the Director of Operations (or equivalent) to:</p>	
<p>1.10.1 Hold an Airline Transport Pilot certificate? SRRs: 119.67(a)(1)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information regarding professional qualifications that the Director of Operations must hold an Airline Transport Pilot certificate. <i>Sources:</i> 119.67(a)(1); 121.135(a)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.10.2 Have supervisory or managerial experience in a position that exercised operational control over any operations conducted with large airplanes under 14 CFR Part 121 or Part 135? SRRs: 119.67(a)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that to serve as Director of Operations under § 119.65(a) a person must have at least 3 years supervisory or managerial experience within the last 6 years in a position that exercised operational control over any operations conducted with large airplanes under part 121 or part 135 of this chapter, or if the Certificate Holder uses only small airplanes in its operations, the experience may be obtained in large or small airplanes. 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p><i>Sources:</i> 119.67(a)(2); 121.135(a)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	
<p>1.10.3 Have pilot in command experience? SRRs: 119.67(a)(3)(i); 119.67(a)(3)(ii)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that to serve as Director of Operations under § 119.65(a) a person must, in the case of a person becoming a Director of Operations for the first time ever, have at least 3 years experience, within the past 6 years, as pilot in command of a large airplane operated under part 121 or part 135 of this chapter, if the Certificate Holder operates large airplanes. If the Certificate Holder uses only small airplanes in its operation, the experience may be obtained in either large or small airplanes. <i>Sources:</i> 119.67(a)(3)(i); 121.135(a)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op • Check the Certificate Holder's instructions and information that to serve as Director of Operations under § 119.65(a), a person must, in the case of a person with previous experience as a Director of Operations, have at least 3 years experience as pilot in command of a large airplane operated under part 121 or part 135 of this chapter, if the Certificate Holder operates large airplanes. If the Certificate Holder uses only small airplanes in its operation, the experience may be obtained in either large or small airplanes. <i>Sources:</i> 119.67(a)(3)(ii); 121.135(a)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.11 Does the Certificate Holder's manual state that the Director of Operations (or equivalent) will have a full understanding of the following materials: SRRs: 119.65(d)(2)</p>	
<p>1.11.1 Aviation safety standards and safe operating practices? SRRs: 119.65(d)(2)(i)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that the Director of Operations will have a full understanding of aviation safety standards and safe operating practices to the extent of his responsibilities. <i>Sources:</i> 119.65(d)(2)(i); 121.135(a)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.11.2 14 CFR (Code of Federal Regulations) Chapter I (Federal Aviation Regulations)? SRRs: 119.65(d)(2)(ii)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that the Director of Operations will have a full understanding of the Federal Aviation Regulations to the extent of his responsibilities. <i>Sources:</i> 119.65(d)(2)(ii); 121.135(a)(1) 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<i>Interfaces: 2.1.1-aw; 2.1.1-op</i>	
<p>1.11.3 The Certificate Holder's operations specifications? SRRs: 119.65(d)(2)(iii)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that the Director of Operations will have a full understanding of their operations specifications to the extent of his responsibilities. <p><i>Sources: 119.65(d)(2)(iii); 121.135(a)(1)</i> <i>Interfaces: 2.1.1-aw; 2.1.1-op</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11.4 All appropriate maintenance and airworthiness requirements of 14 CFR (e.g., parts 1, 21, 23, 25, 43, 45, 47, 65, 91, and 121)? SRRs: 119.65(d)(2)(iv)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that the Director of Operations will have a full understanding of the appropriate maintenance and airworthiness requirements contained in the FARs to the extent of his responsibilities. <p><i>Sources: 119.65(d)(2)(iv); 121.135(a)(1)</i> <i>Interfaces: 2.1.1-aw; 2.1.1-op</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.11.5 The Certificate Holder's manual required by 14 CFR Part 121.133? SRRs: 119.65(d)(2)(v)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information that the Director of Operations will have a full understanding of the manuals required by 14 CFR Section 121.133 to the extent of his responsibilities. <p><i>Sources: 119.65(d)(2)(v); 121.135(a)(1)</i> <i>Interfaces: 2.1.1-aw; 2.1.1-op</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.12 Does the Certificate Holder's manual state that the Director of Operations (or equivalent) must discharge their duties to meet the applicable legal requirements and to maintain safe operations? SRRs: 119.65(d)(3)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information regarding the Director of Operations will be able to perform his duties to meet applicable legal requirements and maintain safe operations. <p><i>Sources: 119.65(d)(3); 121.135(a)(1)</i> <i>Interfaces: 2.1.1-aw; 2.1.1-op</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.13 Does the Certificate Holder's manual contain the name and business address for the Director of Operations (or equivalent)? SRRs: 119.65(e)(2)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check that the Certificate Holder has a general policy to list the name and business address of the Director of Operations in their manual. 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p><i>Sources:</i> 119.65(e)(2); 121.135(b)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	
<p>1.14 Does the Certificate Holder's manual direct the appropriate management personnel to notify the certificate-holding district office within 10 days of any change to or the vacancy of the Director of Operations (or equivalent) position? SRRs: 119.65(e)(3)</p> <p><i>Related Design JTIs:</i></p> <ul style="list-style-type: none"> • Check the Certificate Holder's instructions and information regarding how to notify the certificate holding district office within 10 days of a change in personnel or a vacancy in the Director of Operations position. <p><i>Sources:</i> 119.65(e)(3); 121.135(a)(1) <i>Interfaces:</i> 2.1.1-aw; 2.1.1-op</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

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 accomplish the following tasks:

- 1 Review the control questions below.
- 2 Review the Certificate Holder's policies, duties, responsibilities and the authority of the Director of Operations, (or equivalent) position.

Questions

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

2. Are the following controls established for the Director of Operations (or equivalent):	
2.1 Is there a control in place to ensure that the Director of Operations (or equivalent) position is occupied?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2 Is there a control in place to ensure that the Director of Operations (or equivalent) meets the qualifications as stated in 14 CFR Sections 119.65, 119.67 and those contained in the Certificate Holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3 Is there a control in place to ensure the Director of Operations (or equivalent) performs the duties of the position full time, without the burden of additional job assignments?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4 Does the Certificate Holder have a documented method for assessing the impact of any changes made to the controls for the Director of Operations (or equivalent) position?	<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 accomplish the following tasks:

- 1 Review the process measurement questions below.
- 2 Review the Certificate Holder's policies, duties, responsibilities and the authority of the Director of Operations, (or equivalent) position.

Questions

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

3. Does the Certificate Holder's manual include the following process measurements for the Director of Operations (or equivalent) (see below):

3.1 Process measurements that would reveal when the Certificate Holder does not fill the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Process measurements that would reveal when the Certificate Holder assigned an individual as the Director of Operations (or equivalent) who did not meet the Qualifications as stated in 14 CFR Section 119.65, 119.67 and the Certificate Holder's Manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Process measurements that would reveal when the Certificate Holder failed to insure that the Director of Operations (or equivalent) satisfactorily fulfilled the duties of the position, on a full time basis, without being burdened with additional job assignments?	<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 Director of Operations (or equivalent) 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, duties, responsibilities and the authority of the Director of Operations, (or equivalent) position.

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 system (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 with the Director of Operations (or equivalent)? | <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 Review the appropriate organizational chart.
- 2 Record the name and title of the individual serving as the Director of Operations (or equivalent).
- 3 Review the duties and responsibilities for the Director of Operations (or equivalent).

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 for the Director of Operations (or equivalent) position (see below):

5.1 Is there a clearly identifiable person listed in the Certificate Holder's manual performing the duties and responsibilities of the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
5.2 Is there a clearly identifiable person listed in the Certificate Holder's manual who has the authority of the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
5.3 Are the Certificate Holder's procedures for delegation of authority for the Director of Operations (or equivalent) clearly and completely documented?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

**SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE
–Drop Down Menu**

1. Not documented.

2. Documentation unclear.

3. Documentation incomplete.

4. Other.