ATOS Automation User Guide

Version 3.9.1
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List of Latest Changes

User Guide Enhancement

- A matrix describes columns in the Planning Year EPI and SAI displays.
  Chapter 5, Section 5.1.4, page 5-19

Risk Management Process

- The RMP closure functionality provides for the collection of a "PI Deny Closure Description" that will allow a PI to document why an RMP closure is being denied.
  Chapter 11, Section 11.6.5, page 11-46

RMP Reporting

Chapter 11, Section 11.7, pages 11-47 through 11-52

- RMP ACAT/Retarget/CSP Report
  - Views the relationship of RMP creation and progress compared to retargets of the surveillance plans.
- RMP Data and Information Report
  - Provides all the input and field names on a single page.
  - Summary report across RMPs with sorting capabilities
- RMP History Summary Report
  - Summary with audit trail of changes
- Action Item Report
  - Shows all action items for a given person
  - Shows all action items across RMPs for a CMT
  - Shows summary detail for a given RMP

DEPM CMT Administrative Functions

- DEPM is presented with the status of inspections assigned to a user whose status is being changed from Active to Inactive.
  Chapter 8, Section 8.2.1, page 8-7
- The DEPM Non-Concurrence report may be viewed with or without PI comments.
  Chapter 8, Section 8.7.3, page 8-33

Management of Inspection Records and DORs/ConDORs

- The view of work requests for your employees is unified, displaying EPIs, SAIs, ConDORs, RMPs, and (RMP) Action Items.
  Chapter 9, Section 9.5.2, page 9-9
- CMT Managers and Supervisors have access to all DORs related to the CMT, regardless of whether the reporting Inspector works for that particular Manager or Supervisor. The DOR report is available for HQ users, with access to all carriers for Final DORs and ConDORs. Managers and Supervisors not related to a CMT can see DORs submitted by Inspectors that report to them.
  Chapter 9, Section 9.14, page 9-28

Problem Reporting and Feedback Functionality

- AFS-900 personnel may use the ATOS PRF process to collect AFS-900 internal feedback.
  Chapter 1, Section 1.4.2.6, page 1-13
- PRF reports provide sort functions.
  Chapter 1, Section 1.4.2.6.3, page 1-18

Automation Reports and Displays

- A report of the status of Inspectors' baseline training is available from the Manager's home page.
  Chapter 9, Section 9.3, page 9-4
- The 8430-13 query display provides a sort function on the actual 8430-13 number.
  Chapter 10, Section 10.9, page 10-76

Data Collection Tools

- Navigation controls on the SAI and EPI Activity common data field page automatically returns the user to the Work Requests page when an Activity is saved Final.
  Chapter 2, Section 2.3.3, page 2-15
  Chapter 3, Section 3.3.3, page 3-15

ACAT Enhancements

- PIs may annotate certain elements as being N/A to the CMT's air carrier.
  Chapter 6, Section 6.2.2.2, page 6-9
- CMT Members may comment at the element level on an ACAT in Draft status.
  Chapter 6, Section 6.2.2.3, page 6-13

Work Request / Inspector Work Programs Functionality Enhancements

- SAI and EPI Work Request detail is derived from a Unified Work Request page. A complete summary of all work requests is also available.
  Chapter 2, Section 2.1, page 2-1
  Chapter 3, Section 3.1, page 3-1
- The View IWPs for Your Employees link opens the "Inspector Work Programs" window where an employee name is chosen to display his or her work requests awaiting managerial concurrence.
  Chapter 7, Section 7.4, page 7-7

DEPM Evaluation Functionality

- A link to the PI's instructions is available on the Activity Report reviewed by the DEPM.
  Chapter 8, Section 8.7.2, page 8-25

DOR / ConDOR Functionality Enhancements

- An automation save control requires the answering of at least one question, in addition to the required common data fields.
  Chapter 4, Section 4.1.2.1, page 4-3
- An element may be selected for a ConDOR without first having to specify a system and subsystem.
  Chapter 4, Section 4.2.1, page 4-11
- If no work has been started on a ConDOR, the instructions may be changed or it may be reassigned or deleted.
  Chapter 4, Section 4.2.1, page 4-14

Pop-up Notification

- A pop-up notification of a returned inspection (SAI, EPI, DOR, ConDOR) remains active until the inspection is again saved Final.
  Chapter 2, Section 2.4, page 2-16
  Chapter 3, Section 3.4, page 3-16
  Chapter 4, Section 4.1.3, page 4-8

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1 Overview and General Information

This document is the Air Transportation Oversight System (ATOS) Automation User Guide. This User Guide provides user instructions for accessing and using the online ATOS Data Repository. To proceed with this guide you need a computer running Windows 95, 98, or NT 4.0 with Microsoft Internet Explorer 4.0 or 5.0 installed. Please be sure that you meet these requirements and that your Internet connection is functioning properly before you proceed.

1.1 Introduction—Who Needs to Know What

The ATOS System is complex, and specific ATOS functionalities have special relevance for specific ATOS users. The list below identifies chapters of special use to various users. For some chapters primary and secondary levels of interest are indicated.

Chapter	***Users***
Chapter 1, Overview and General Information	All Users
Chapter 2, Safety Attribute Inspections	1. ASIs and ASI-Gs/RSIs 2. PIs and CSIs
Chapter 3, Element Performance Inspections	1. ASIs and ASI-Gs/RSIs 2. PIs and CSIs
Chapter 4, Dynamic Observation Reports	1. ASIs and ASI-Gs/RSIs 2. PIs and CSIs
Chapter 5, CSP Planning Tool	1. PIs, CSIs, and CHDO Managers 2. ASIs and ASI-Gs/RSIs
Chapter 6, Retarget Surveillance	1. PIs and CSIs 2. ASIs and ASI-Gs/RSIs
Chapter 7, IWP Instructions	Managers/Supervisors and PIs
Chapter 8, DEPM Options	DEPMs
Chapter 9, Manager/Supervisor Options	PIs, Managers and Supervisors
Chapter 10, Queries	All Users
Chapter 11, Risk Management	1. PIs, ASIs, and ASI-Gs/RSIs 2. Managers/Supervisors

This User Guide, along with the structured automation process, online help, and the job aids built into the software, gives you all the necessary tools and instructions to use the software and understand its features.

1.2 ATOS Overview

ATOS is a web-based application designed to facilitate the surveillance activities of Aviation Safety Inspectors. ATOS is a structured and controlled automated environment for the accomplishment of surveillance activities, and provides ready access to job aids and other inspector tools, and to a database of current surveillance activities and past surveillance results. "Context sensitive" help is provided on many screens: moving the cursor over a label will show either a hovering text or a question mark. Clicking on the question mark will then open a help screen.

1.2.1 Surveillance Implementation

The Surveillance Implementation process provides the FAA, through Safety Attribute Inspections (SAIs) and Element Performance Inspections (EPIs), with an accurate, real-time, comprehensive evaluation of the safety status of air carriers' systems and their compliance with the Federal Aviation Regulations.

SAIs and EPIs are used by Principal Inspectors (PIs) to determine the level of surveillance for each air carrier element, based on data and information analysis and on their own knowledge and experience. SAI/EPI development gives the PI the freedom and authority to increase surveillance in problem areas and reduce surveillance in proven areas.

SAIs and EPIs provide the information for assessing air carriers, identifying emerging safety trends, and allocating inspector resources to areas of concern. This process provides the Certificate Management Team (CMT) with a structure to coordinate, schedule, prepare, and implement the Inspector Work Programs that have been assigned to them. Information generated from the surveillance data permits the FAA to act upon deficiencies that affect or have a potential effect on aviation safety.

1.2.2 SAI and EPI Activity Reports

Aviation Safety Inspectors (ASIs) initiate and complete activity reports for their assigned portion of the surveillance inspections. The ASI determines the necessary number of activity reports required to complete each inspection. When first created, the activity report's status is Work-in-Progress. When the ASI saves the activity report to Draft, the Team Coordinator and supervisor/manager can view the data. When the ASI completes the activity report, he or she saves it as Final.

Once the inspection is complete and all the activity reports are Final, the Team Coordinator (for SAIs) or the individual inspector (for EPIs) saves the results to the master record. After the results are saved to the master record, no new inspection activity reports can be created for that element.

The Data Evaluation Program Manager (DEPM) reviews all inspection records to check the validity, accuracy, technical relevance, and completeness of the collected information prior to its release to the ATOS Data Repository. The DEPM may concur, not concur, or return the activity report to the ASI. If the DEPM concurs, the record is saved to the ATOS Data Repository. If the DEPM selects Non-Concur, the master record is submitted to the ATOS Data Repository, requiring PI and DEPM comments. The DEPM may also return the questioned activity report to the ASI in Draft status.

1.2.3 Dynamic Observation Reports

A Dynamic Observation Report (DOR) is accessible to inspectors to record surveillance information outside of the structured Comprehensive Surveillance Plans (CSPs). A DOR may be opened when an observation is made during the process of conducting an ATOS inspection or when special need arises. Although a DOR is not a planned part of the CSP, the data reported into it is available to the overall surveillance process. A DOR is able to collect information based on an element with EPI questions or another unrelated observation.

When an inspector saves a DOR, the DOR is immediately available to PIs, Operations Research Analysts (ORAs), Managers, and Supervisors of the air carrier being reported regardless of technical discipline. A DOR goes to the DEPM of the air carrier being reported on for evaluation. The DEPM reviews the DOR and sends it back to the reporting Inspector for correction or clarification if necessary. Once the DEPM saves the DOR, it is considered part of the Data Repository and available for general querying.

1.2.4 Create Constructed Dynamic Observation Reports

Principal Inspectors may construct a DOR, selecting questions from any combination of elements and request that it be completed by one or more Inspectors. Inspectors are automatically notified when they are selected to receive a constructed DOR (ConDOR). The Manager and Supervisor of these Inspectors will also be notified that the request has been made.

Inspectors may save their input to a constructed DOR as Draft until they are ready to submit a Final to the Principal Inspector who originated it.

1.3 Quick Reference Matrix – Status Lifecycle

The following matrix provides additional information and clarification on the status lifecycle of records and activities as they pertain to EPIs, SAIs, DORs, ConDORs, Risk Management Process (RMP), and RMP Action Items.

	Principal Inspector	Inspector	ASA	DEPM	Manager
ACAT – Draft	Creates, modifies, & saves	Views & comments			Views
ACAT – Final	Saves				Views
EPI / SAI Assignments	Generates from ACAT results				
Draft	Saves				
Final	Saves	Approved assignments appear under **EPI/SAI Work Requests**			
CSP	Releases AFTER approval by Manager	Views after release		Views after release	Concurs to approve
EPI / SAI Inspections					
Work in Progress		Creates & edits	May input as WIP		
Draft	View	Saves			
Final	***May*** comment on Activity/Inspection, upon request from Inspector	Saves (for SAIs, Team Leader must save to Final) *May* request PI comment on "No" response.		Evaluates surveillance activities in accordance with DQ Guidelines. May concur or non- concur. May return activity or record to Inspector. Forwards completed records to the Data Respository.	

	Principal Inspector	Inspector	ASA	DEPM	Manager
DOR	*Anyone* may create & save	*Anyone* may create & save		May return to originator with comment; approves for release to Data Repository	
ConDOR	Creates, requests assignment via IWP	Appears on Work Requests page.			
Work-in-Progress		Creates & saves (An Inspector may create and submit to final without the interim step of WIP.)			
Final		Saves; may request PI comment for "No" response		*May* comment / return to Inspector; approves Final for release to Data Repository	
RMP	Identifies hazard; requests assignment of DP				Approves assignment of DP
Draft		DP creates RMP & Action Items			Approves Action Item assignments t
Final	Approves RMP				

1.4 Using ATOS Automation

Inspectors assigned to ATOS CMTs, as well as the Managers and Supervisors to whom they are assigned, should access the ATOS web site on a regular basis through http://atos.fass.gov to accomplish and/or monitor the Inspector Work Programs and keep abreast of recent developments.

1.4.1 Logging on to the ATOS Web Site

After typing the ATOS web site address and pressing Enter, a network password box appears asking you to enter your authentication information (Figure 1-1).

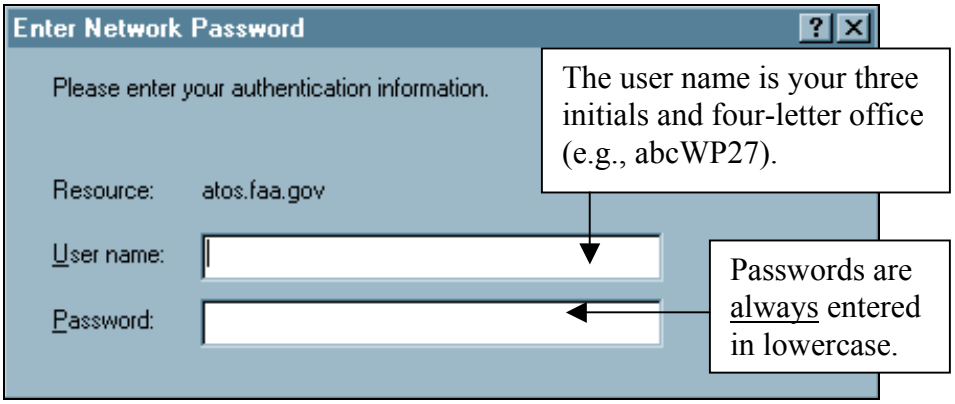


Figure 1-1: ATOS ID/Password Screen

Your initial password is set as "**atosfaa.**" You will be asked to change this the first time you log in. If you forget your password or are locked out of the system for any reason, contact the ATOS Automation Help Desk at **1-888-482-2867**.

ATOS features are accessed through a bulleted list of links appearing on the ATOS Home Page. Prior to reaching the home page, however, you may encounter a "Broadcast" message or a "pop-up" alert. Once into ATOS, there are automation features that are common to many tasks, such as "drop-down" lists for data entry. These common features are described below, followed by specific features of the ATOS home page.

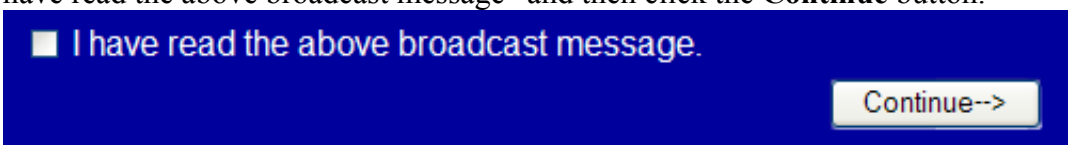
1.4.2 Automation Features

ATOS users are provided with a broad range of automation tools to facilitate the receipt of information, navigation through the system, and simplify data entry.

1.4.2.1 ATOS Broadcast

A "Broadcast" is an important notice that must be acknowledged before the user may continue with the ATOS program. Instead of seeing your home page, you will be presented with a screen that contains new information regarding, for example, a revision to a Data Collection Tool or a

planned period of system maintenance. After reading the notice, click in the square just left of "I have read the above broadcast message" and then click the **Continue** button.

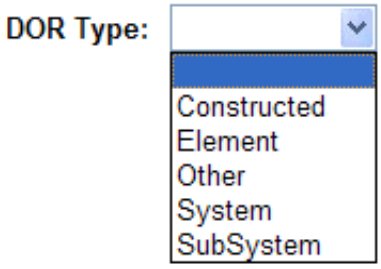


1.4.2.2 Pop-Ups

A "pop-up" is a window that pops up over your home page to alert you to a returned inspection, or some other situation that requires your attention. These alerts contain hyperlinks to further information, for example, an inspection activity that is being returned to you from the DEPM. Once you have used this hyperlink and taken the required action, the pop up window will close. If you wish, you may close the pop up window without using the hyperlink. The pop up will reappear each time you return to your home page. Further information about specific pop ups may be found in later Chapters on SAIs, EPIs, DORs, ConDORs, and RMP Action Items.

1.4.2.3 Drop-Down Lists

Many input fields are limited to a predefined set of values, accessible by clicking on the down arrow just right of the field. In the example shown below, clicking on the down arrow on the right side of the **DOR Type** input field brought up the list showing. Clicking on one of the types shown on the list places that selection in the input field.



1.4.2.4 Calendar Functions

Providing input to, or requesting information from, ATOS will often include providing one or more dates. The method of entering dates varies by task.

Today's Date

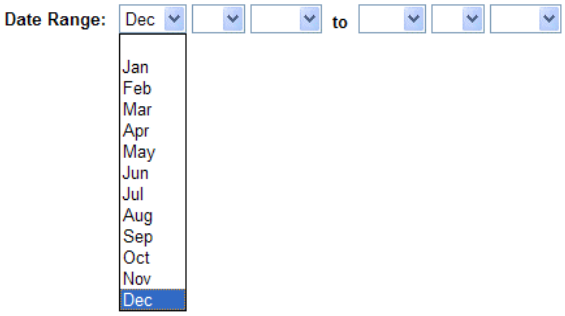
A **Today's Date** button may appear just right of (or below) a field. Clicking on that button automatically fills the field with the current date.

Floating Calendar

Clicking inside a date field will bring up the current month's calendar. Clicking on a day in that calendar will enter the date in the date field and the calendar window will disappear. You can see a different month by clicking on the down arrow to the right of the month header to access the drop down list of all months. You may also edit the year field.

Drop-Down Boxes Calendar

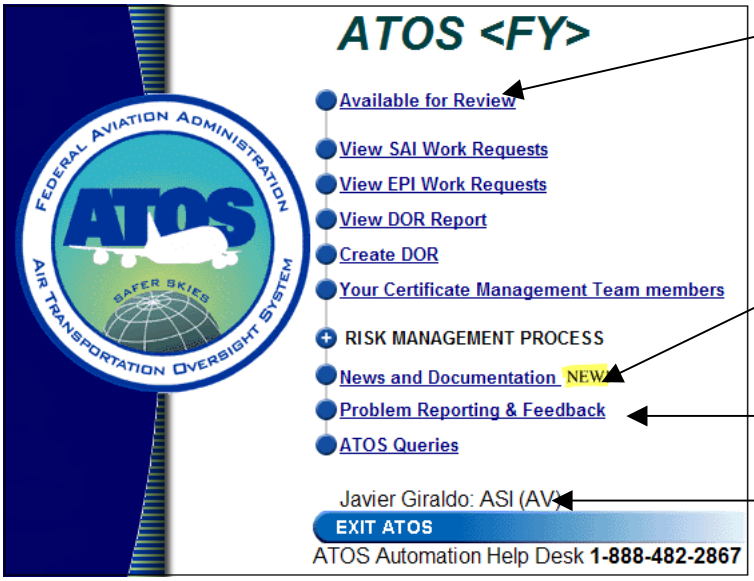
Three drop-down boxes are provided for each date – the first for the month, the second for the day, and the third for the year. Clicking on the down arrow to the right of each box shows the list from which to select.



1.4.3 ATOS Features

An individual user's job classification code will determine the links that are presented on a home page. The sample shown as Figure 1-2 is that of an Aviation Safety Inspector with the technical discipline of Avionics. The links shown are representative of those available to most users:

- Available for Review
- View SAI Work Requests
- View EPI Work Requests
- View DOR Report
- Create DOR
- Your Certificate Management Team members
- Risk Management Process
- News and Documentation
- Problem Reporting and Feedback
- ATOS Queries



Access for review Final and Final Released ACAT, SAI, and EPI Plans.

ATOS and ATOS Automation related documents, including ATOS Policy and Procedures and this User Guide online.

Report ATOS problems and suggest ATOS improvements.

User's Name, Job Classification Code, and Technical Discipline

Figure 1-2: Sample Inspector's ATOS Home Page

ATOS Automation users will access the Work Requests features far more frequently then the other ATOS features. These two features are also the most complicated ATOS features. Each is addressed at length in a separate chapter, SAI Work requests in Chapter 2 and EPI Work requests in Chapter 3. ATOS Queries are addressed separately in Chapter 10.

During the time of year in which Managers and Supervisory personnel create initial CSPs for the year ahead (August and September), ATOS Home Pages will include Planning Year links specific to the job classification of the user. These links, and their associated functions, are addressed in Chapter 5.

Other links, common to most ATOS users, are discussed below.

1.4.3.1 Available for Review

Clicking the Available for Review link accesses for review a list of ACATs, CSP SAIs, and CSP EPIs for the user's assigned air carrier (Figure 1-3). Each item on the list is a link to the actual item in the Data Repository. Review documents are for reference. They are read-only.

Figure 1-3: Available for Review by [user] Screen

1.4.3.2 Your Certificate Management Team members

Clicking the Your Certificate Management Team members link (which may be on the main menu of the home page or listed under **REPORTS)** brings you a read-only view of your ***active*** CMT roster– complete with telephone numbers and links to each member's supervisor and manager. Figure 1-4 is an example.

American Airlines Active Roster Print Close

Last Name	First	User ID	Job Class. Code	Tech Disc.	Office Code	Sup.	Mgr.	Phone	Ext.
Alaman	Beverly	baaSW21	ASA	OT	SW21	Colin	Pool	(972) 456-6738	
Allen	Frank	flaSW21	ASI	OP	SW21	Talmadge	Pool	(972) 456-6743	

Figure 1-4: Certificate Management Team roster - Excerpt (top)

(DEPMs will be able to see a listing that shows both active and inactive members as a reference.)

Click on the **Print** icon at the top of the page to print the entire listing.

Click on the **Close** in the upper right corner to return to your Home Page. (There is also a Close link at the end of the roster.)

Clicking on any supervisor's or manager's name brings another window with contact information for that person. Figure 1-5 is an example.

David Parsley User Information Print Close

Last Name	First	User ID	Job Class. Code	Tech Disc.	Office Code	Sup.	Mgr.	Phone	Ext.
Parsley	David	dhpNM07	SPV	OT	NM07	**N/A**	**N/A**	(801)524-4247	121

Figure 1-5: CMT roster link to Supervisor

Click on **Close** in the upper right corner to return to the roster.

In the example presented, another click on the Manager's name would present a window with information on that person.

1.4.3.3 Create DOR

Clicking the Create DOR link allows Inspectors to create a DOR to record unplanned surveillance information. The DOR feature allows Inspectors to enter relevant unplanned observations that fall outside of the CSP. These observations may be made either during a regular inspection or when a special need arises. The DOR is intended to capture unplanned

observations by Inspectors as well as non-specific observations made during surveillance activities. DORs are immediate in nature and, once submitted, go immediately to the PI, ORA, Managers, and Supervisors of the carrier involved. For more information about creating DORs, refer to Chapter 4, "Dynamic Observation Reports."

1.4.3.4 Create Constructed DOR (PIs only)

PIs may construct a DOR, selecting questions from any combination of elements and request that it be completed by one or more Inspectors. Inspectors selected to receive the constructed DOR are automatically notified by a pop up window on their ATOS Home Page. The Manager and Supervisor of these Inspectors will be notified in the same manner. The constructed DOR is listed on the pop up window as a hyperlink so that Inspectors, Managers, and Supervisors may click on the Record ID to go directly to the constructed DOR. For more information about responding to a request for a constructed DOR, refer to Chapter 4, "Dynamic Observation Reports."

1.4.3.5 News and Documentation

Clicking the News and Documentation link accesses online versions of ATOS and ATOS Automation related documents (Figure 1-6), including printer friendly CMT Contact Lists, ATOS Guidelines, *HowGoesIt* Newsletters, ATOS Job Aids, ATOS Policies and Procedures, *ATOS User Guides* (including this document) and an archive of old ATOS documents (including archived broadcast messages). This information is updated frequently, and new categories of information may be added on occasion.

News and Documentation menu items are marked with a yellow "NEW!" flag when new content has been added to the item. Clicking a News and Documentation menu item marked with a "NEW!" flag opens either a secondary menu or the list of documents. For each individual ATOS user, "NEW!" flags will remain in place until the flagged new document has been accessed.

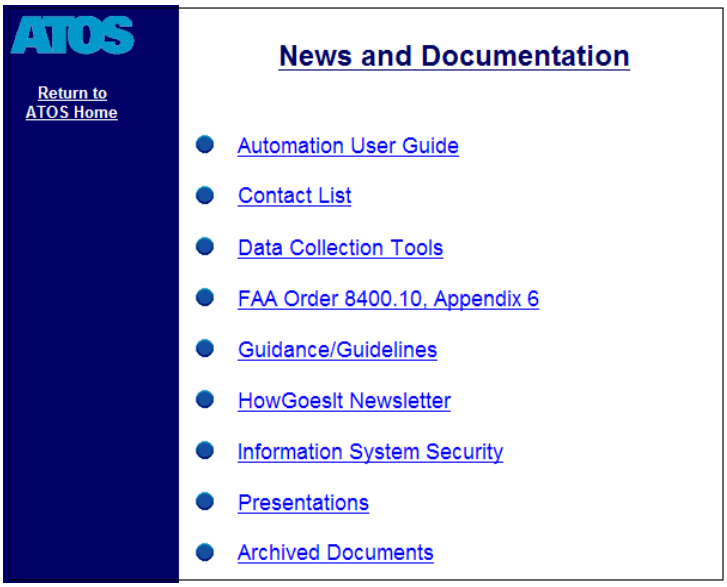


Figure 1-6: News and Documentation Screen

1.4.3.6 Problem Reporting and Feedback

ATOS provides a convenient method for all users to submit both problem reports and suggestions on how to improve the ATOS system. A quick navigation link is provided to the Problem Reporting and Feedback menu (Figure 1-7) for every base work screen (e.g., DCTs, DORs, Work Request pages, and Plan pages). The options available from the **Problem Reporting & Feedback** link on your home page allow you to:

- Report a problem with the ATOS Automation System
- Submit an Enhancement Recommendation/Process Feedback
- View Enhancement Recommendation/Process Feedback Reports
- View any one of your Problem Tickets
- View all of your Problem Tickets

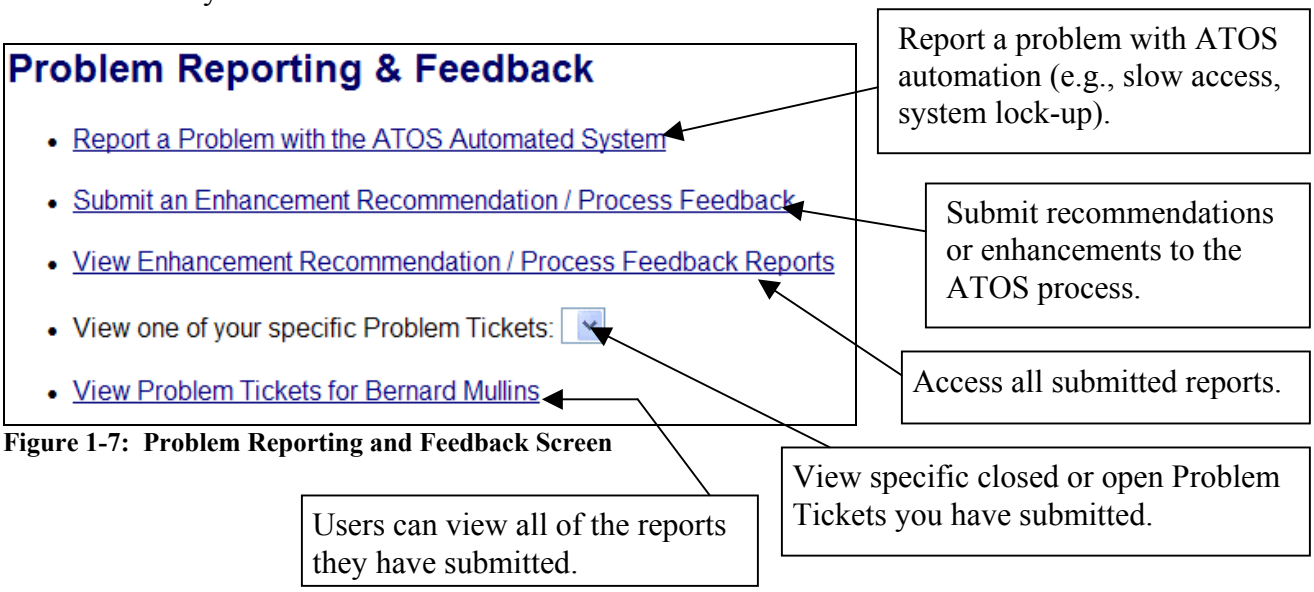


Figure 1-7: Problem Reporting and Feedback Screen

AFS-900 personnel (FSAIC, CSET, and ATOS CMO) may use the ATOS Problem Reporting and Feedback (PRF) process to collect AFS-900 internal feedback to provide the same documentation, accountability, and controls that exist in ATOS. These submissions are identified as "Internal" and are not viewable to the entire ATOS community. Individuals who transfer into AFS-900 will be granted submission and viewing rights to all internal PRFs. Those who transfer out of the division will be unable to submit or view internal PRFs.

1.4.3.6.1 Reporting a Problem with Automation

When you select Report a Problem with the ATOS Automated System link from the Problem Reporting and Feedback screen (Figure 1-7), you are connected to the Automation Problem Report form (Figure 1-8). This option is used ONLY to report a problem with the ATOS automation system. If a CMT user is having automation difficulties, a first step might be to contact the Automation Help Desk at 1-888-482-2867 to make sure that it is not a "user problem."

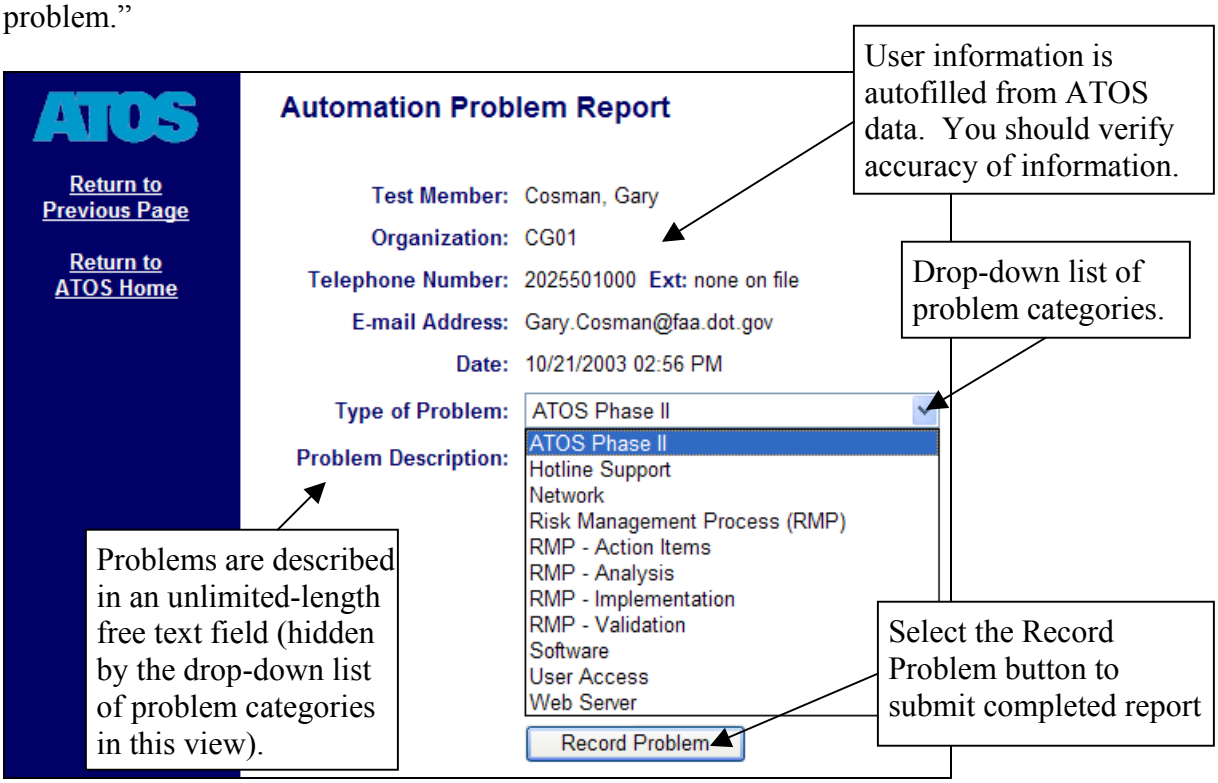


Figure 1-8: Automation Problem Report Form

When this report is submitted, you receive a confirmation and report number back via e-mail.

Identifying ATOS Pages

When reporting problems or providing feedback, it is often useful to be able to identify a particular ATOS page. This can always be done using the ATOS Address (URL). To find the URL for any page:

- Position your cursor anywhere on the page except on a link, i.e., anywhere the cursor is an arrow, not a pointing hand (Figure 1-9).

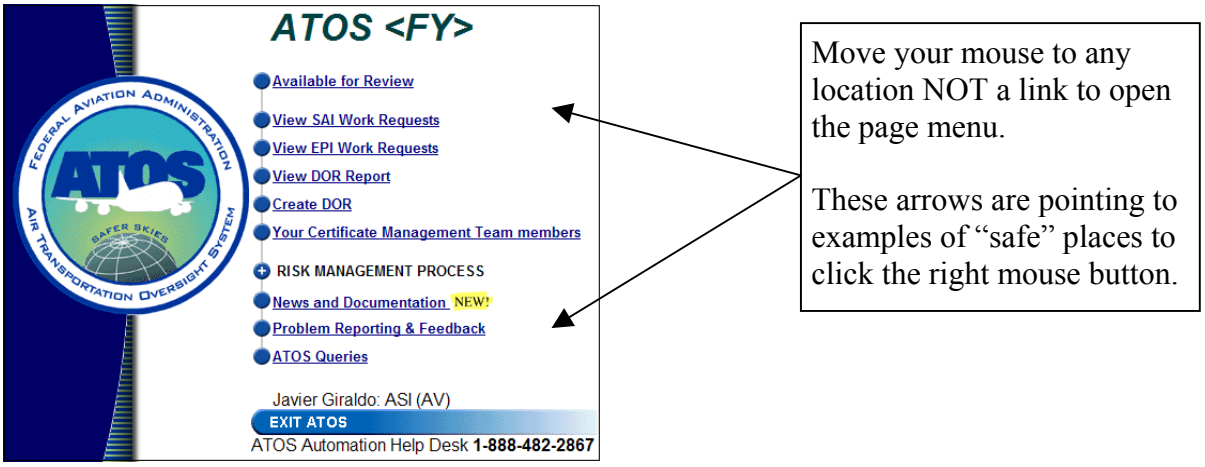


Figure 1-9: Mouse Cursor in Position for Accessing Page Menu

- Click the right mouse button. This opens the Page Menu (Figure 1-10).

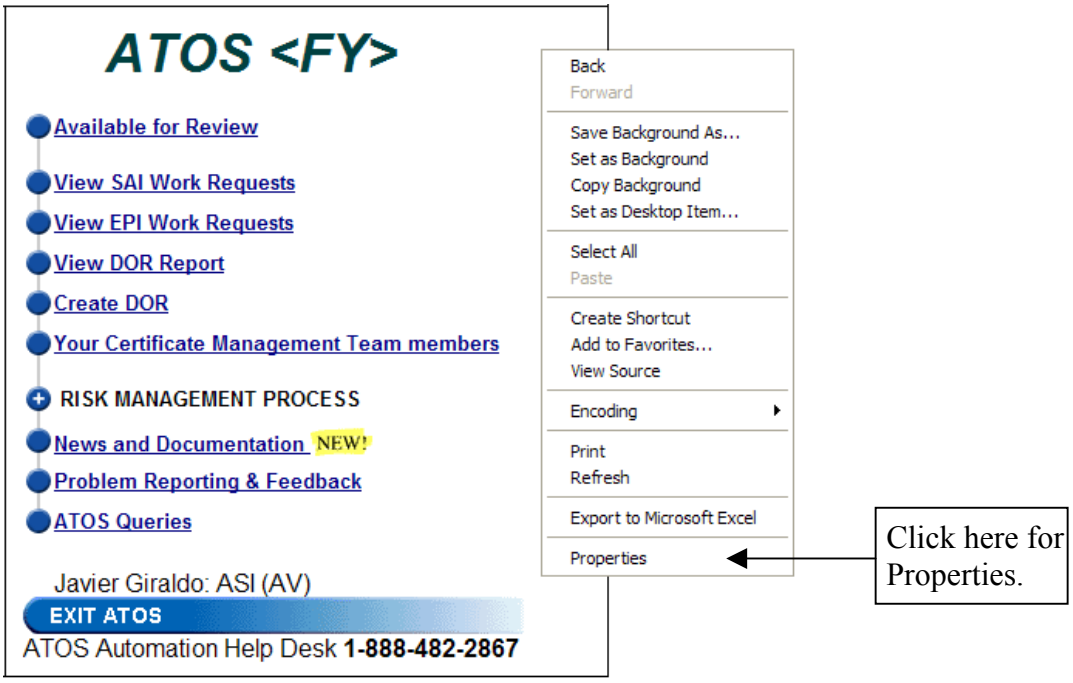


Figure 1-10: Home Page Menu

- Clicking on **Properties** opens the Properties message box (Figure 1-11). The URL for the page you were originally viewing is displayed near the center of the message box, next to the label "Address: (URL)."

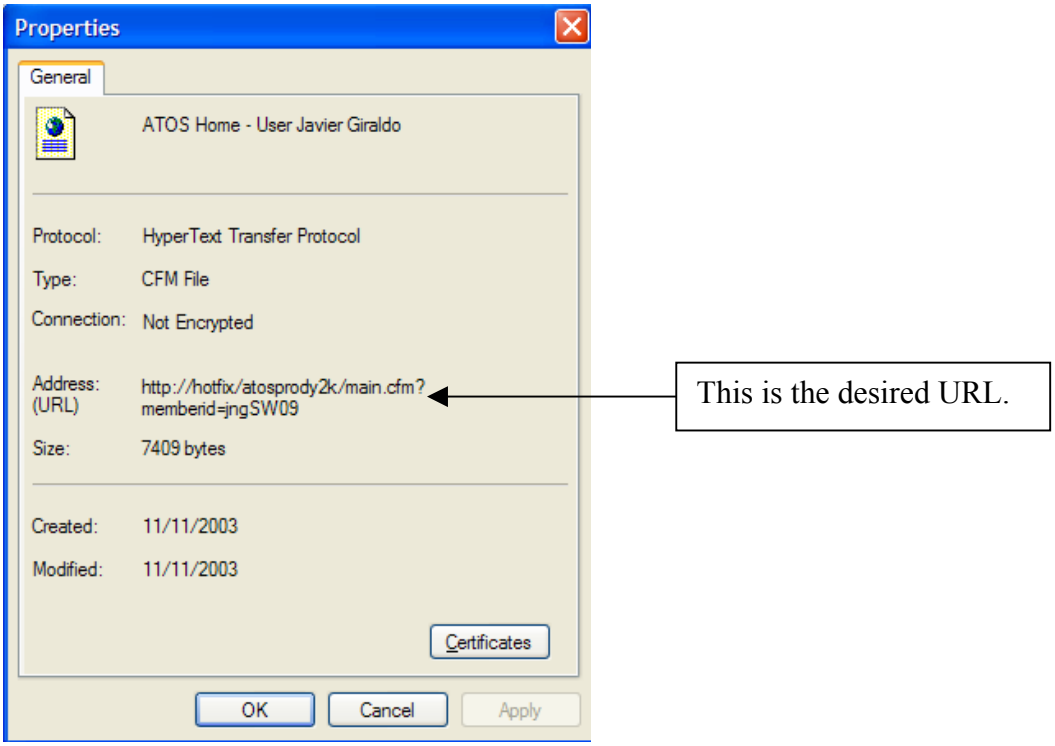


Figure 1-11: Properties Message Box

Using standard Windows procedures, you can use your mouse cursor to highlight the URL, so that it can be copied and pasted into the text box of an ATOS Problem Report or an ATOS Feedback Form:

1. Position your cursor at the beginning of the first line of the URL. The cursor should be an "I" shape, not an arrow.

2. Highlight the URL by holding down the left mouse button and moving the mouse cursor to the end of the line, then down if the URL is more than one line long.

3. On your keyboard, press the "Control" (or "Ctrl") key and the "C" key at the same time. This copies the URL.

4. Go to the Problem Reporting or Process Feedback form, position the cursor in the text box of the form, and click the left mouse button.

On your keyboard, press the "Control" (or "Ctrl") key and the "V" key at the same time. This pastes the URL into the text box. You can key in a message before or after the pasted URL. Once it has been pasted into the text box it moves and acts like text you key in yourself.

1.4.3.6.2 ATOS Process Feedback and Continuous Improvement

An integral part of the ATOS process is continuous improvement. When you select Submit an Enhancement Recommendation/Process Feedback from the Problem Reporting and Feedback Screen (Figure 1-7), you are connected to the Process Feedback and Continuous Improvement Reporting form (Figure 1-12). The purpose of this form is to provide you with a convenient way to express your concerns with ATOS policies and procedures or to recommend enhancements to ATOS.

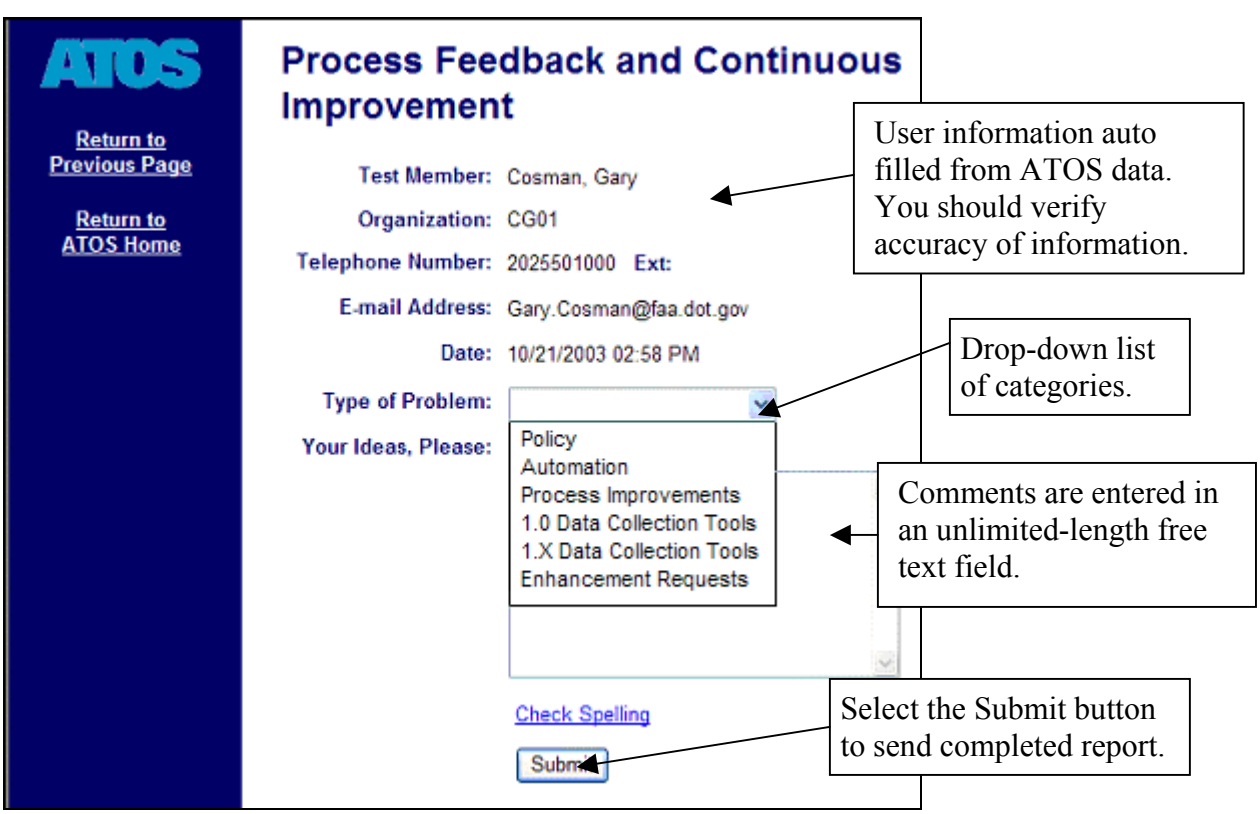


Figure 1-12: Process Feedback and Continuous Improvement Form

This information is sent directly to the ATOS CMO, where a specialist is assigned to respond to the reporting ATOS user via e-mail.

1.4.3.6.3 View Enhancement Recommendation / Process Feedback Reports

To view Enhancement Recommendation/Process Feedback Reports, select the View Enhancement Recommendation/Process Feedback Reports link on the Problem Reporting and Feedback screen (Figure 1-7). The Process Feedback Reports screen (Figure 1-13) appears.

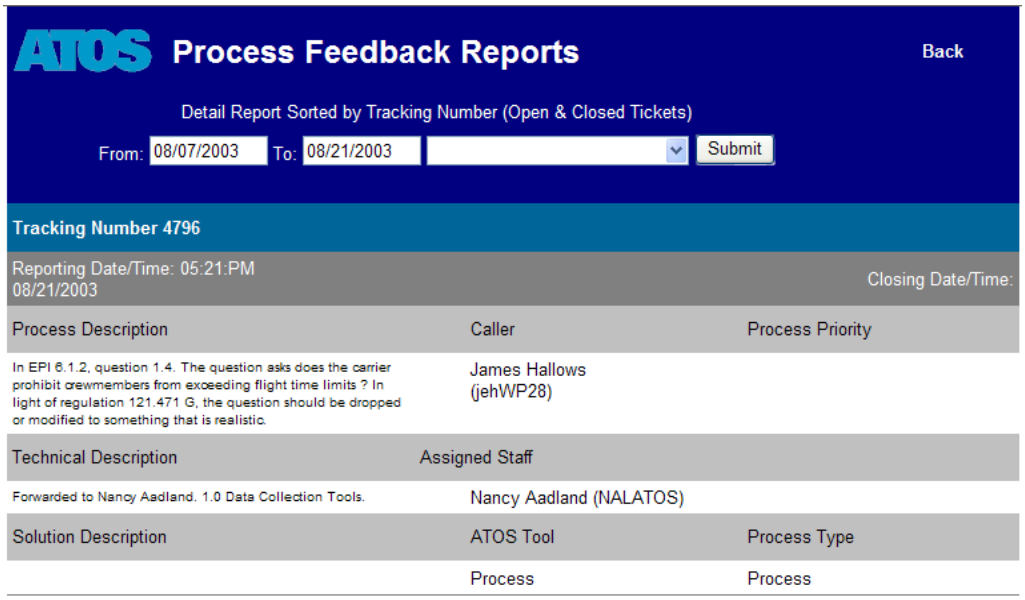


Figure 1-13: Process Feedback Reports Screen

By default, the Process Feedback Report screen lists all Process Feedback Reports for the past 2 weeks. The "From" and "To" date fields may be changed as desired. To view only open or only closed reports, use the drop-down list to select the desired option (Figure 1-14).

Figure 1-14: Open or Closed Reports Drop-Down List

Problem Reporting and Feedback Report screens provide sort functions to facilitate review of multiple reports.

1.4.3.6.4 View One of Your Specific Problem Tickets

To view a specific Problem Report that you submitted, select a Problem Report ticket number from the drop-down list located next to the View one of your specific Problem Tickets link on the Problem Reporting and Feedback screen (Figure 1-15).

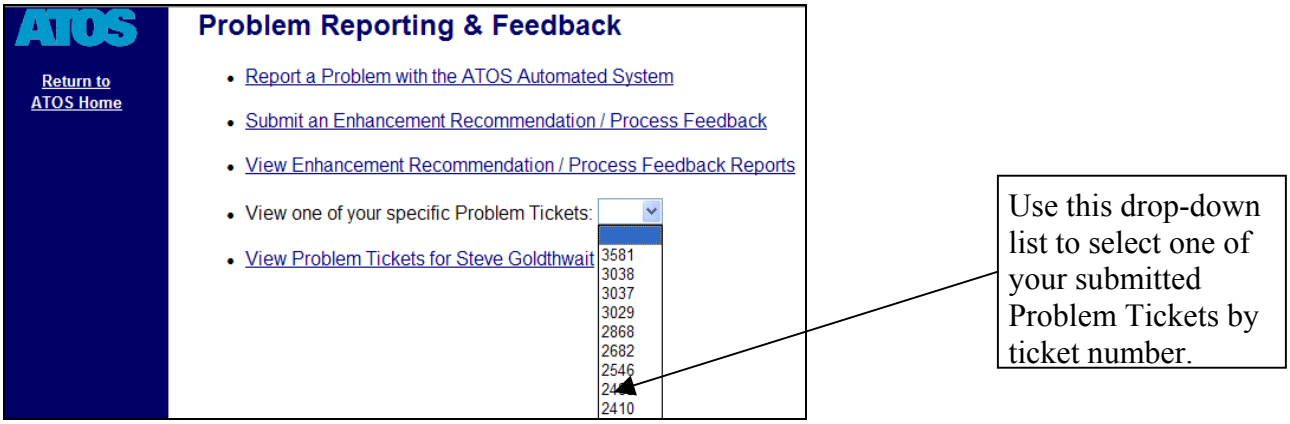


Figure 1-15: Problem Ticket Drop-Down List

This opens a Problem Report screen displaying Problem Report information, including the current status of the problem (closed or open), and the resolution if the problem has been closed (Figure 1-16).

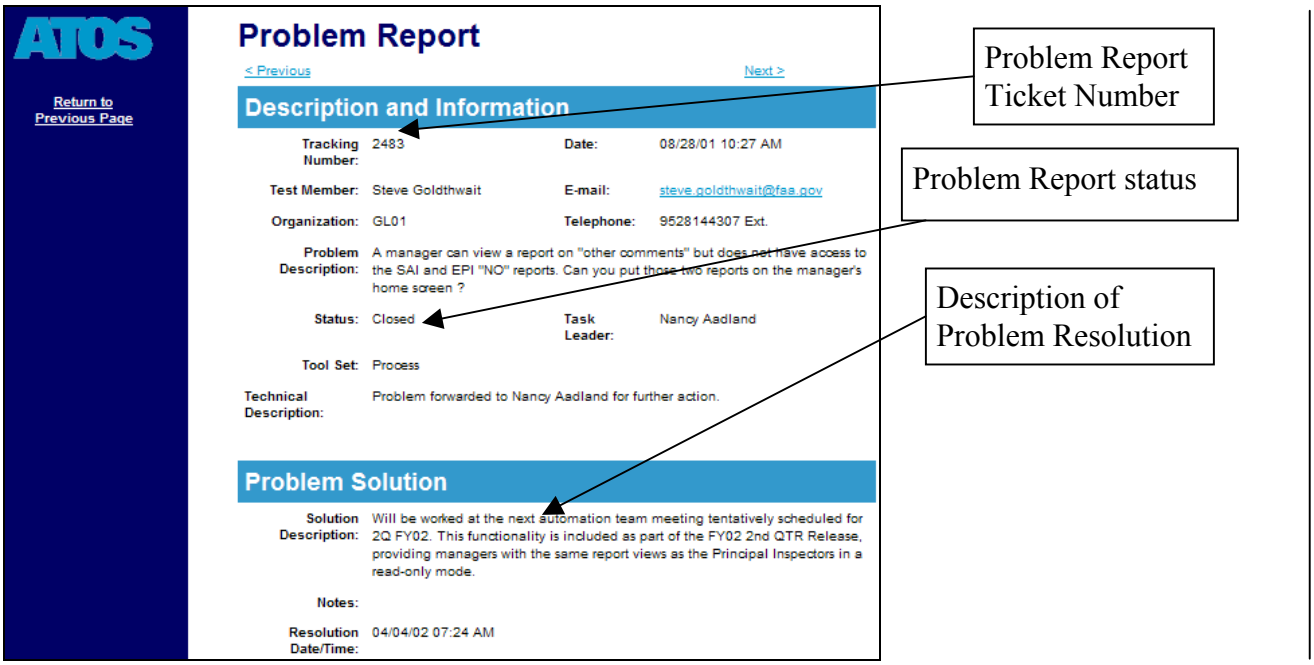


Figure 1-16: View Problem Report Screen

1.4.3.6.5 View Problem Tickets for [User Name]

To view all of your problem tickets in one list, click the View Problem tickets for [Your Name] link on the Problem Reporting and Feedback screen (Figure 1-7), which opens the ATOS Problem and Process Feedback Reports screen (Figure 1-17). This screen also lists Process Feedback reports after they have been submitted but before they are assigned to particular ATOS CMO or ATOS Automation Help Desk staff member.

ATOS Problem & Process Feedback Reports Back

for John Carl

Open/Close Dates	Problem Status	Tracking Number	Problem Type	Problem Description
03/01/2002 03/04/2002	Closed	3505	Software	When anyone views 'Your CMT Roster' it should be read-only and only show those CMT members that belong to that airline.
08/15/2003	Open	4781		Request a review on all 1.X current release DCTS for applicable SRR. Reference 2.1.1 Operations Question 2 in section 1 has SRR related to that question. When you review the 2.1.1 Airworthiness question 2 in section 1. There are no SRR listed for that question.

Figure 1-17: Problem and Process Feedback Reports Screen

1.4.4 Resetting an ATOS Password

ATOS users may occasionally be locked out of the ATOS environment.

Your DEPM is the primary contact for reestablishing ATOS access. The DEPM should ensure that you are a current member of the CMT and that your CMT roster information is correct. Once this is verified, your password can be reset using the ATOS User Administration functionality (available to DEPMs only) in the automation. If this is a recurring problem for you, the DEPM may instruct you to contact the ATOS Automation Help Desk for assistance. The Help Desk will help you correct any problems associated with logging on and ensure that subsequent logins are successful.

When the DEPM is unavailable, you should contact the ATOS Automation Help Desk at 1-888-482-ATOS (2867). The Help Desk staff will:

- Ask for your name so it can be verified against the CMT Members table in the database.
- Direct you to contact your DEPM for password reset assistance if you have not done so.
- Verify the lockout status.
- Ask for your office code and telephone number.
- Once all identifications are confirmed, your password is reset through ATOS User Administration. If the information given is incorrect, you are instructed to call the DEPM for assistance.

1.4.5 Using a Web Application

ATOS is more than a collection of web pages; it is a web-based application and as such users need to become familiar with appropriate rules and protocols to use it successfully.

ATOS uses IDs and passwords to identify individual users when they access the system. ATOS Automation uses its knowledge of users and of the users' job classifications to present you with your own ATOS Home Page, which reports your current activities and allows you to accomplish your activities.

- Do not use short cuts or bookmarks to access your ATOS application. These can prevent ATOS Automation from executing certain intermediate steps which, although not apparent to users, are required by Automation to properly link users to their data.

- Do not use browser Back buttons when ATOS includes on-screen buttons for navigation. Again, this will prevent Automation from executing internal processes required to update your newly entered data.

- Empty your browser cache frequently. ATOS is viewed using the Internet Explorer browser Version 4 (IE4) or Internet Explorer Version 5 (IE5). Emptying the cache requires the same actions in both browser versions, but some screen options are differently labeled or placed.

To empty your cache:

1. In IE4 select View | Internet Options from your browser's menu bar (Figure 1-18A). In IE5 select Tools | Internet Options from your browser's menu bar (Figure 1-18B).

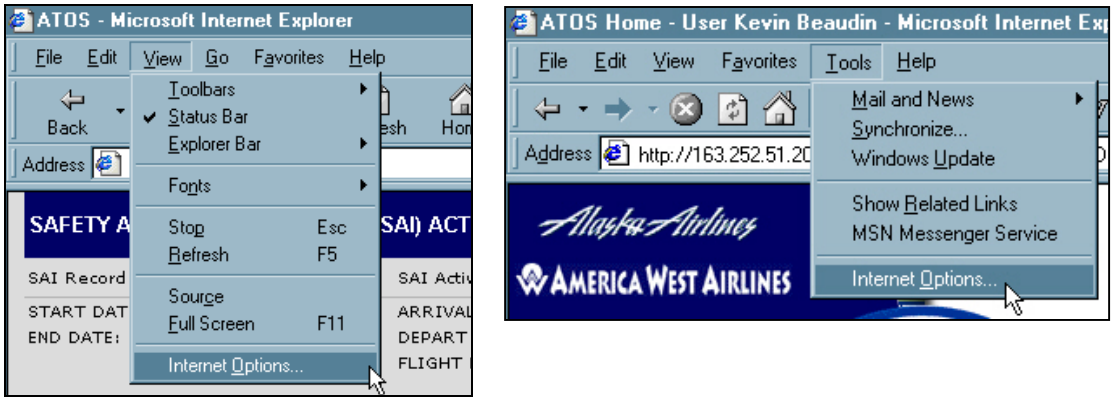


Figure 1-18A and B: Accessing Internet Options, IE4 on the Left and IE5 on the Right

2. On the General tab of the Internet Options window, click the **Delete Files** button (Figure 1-19).

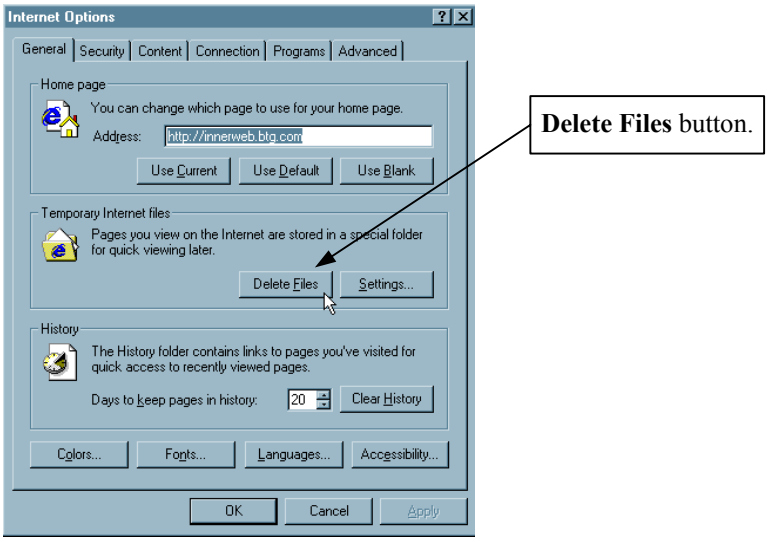


Figure 1-19: Internet Options Window

3. This will open the Delete Files dialog box. Make sure the "Delete all subscription content." checkbox (in IE4; Figure 1-20A) or the "Delete all offline content." check box (in IE5; Figure 1-20B) is checked, and then click the Delete Files box **OK** button.

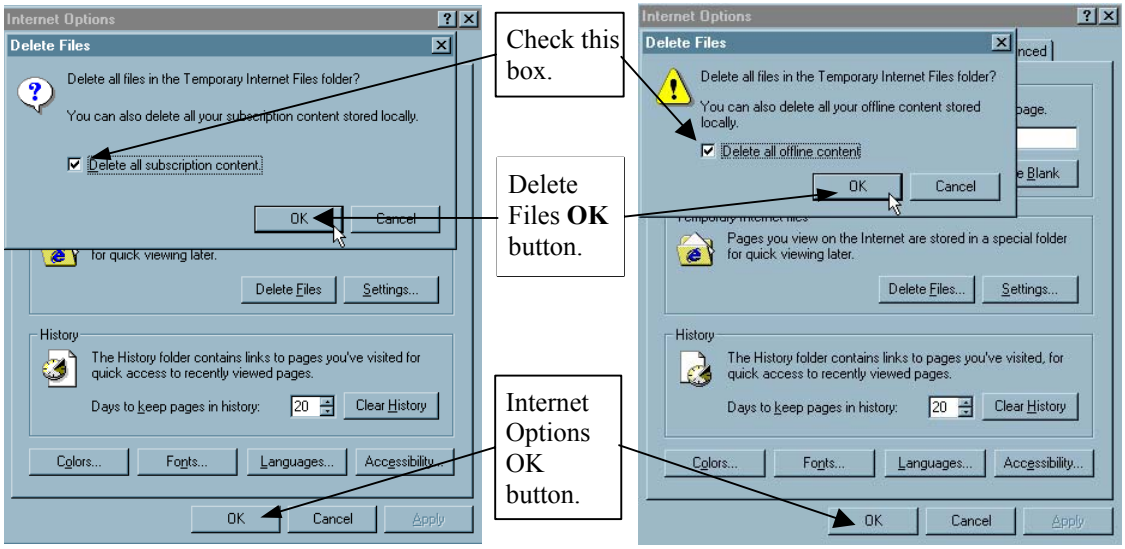


Figure 1-20A and B: Delete Files Dialog Box, IE4 on the Left and IE5 on the Right

4. Click the Internet Options **OK** button, located at the bottom of the Internet Options screen.

- Finally, when printing Adobe Acrobat files accessed using ATOS (the job aids, for example), use the Print button located on the Adobe Acrobat menu bar, not your browser print button. See Figures 1-21 and 1-22.

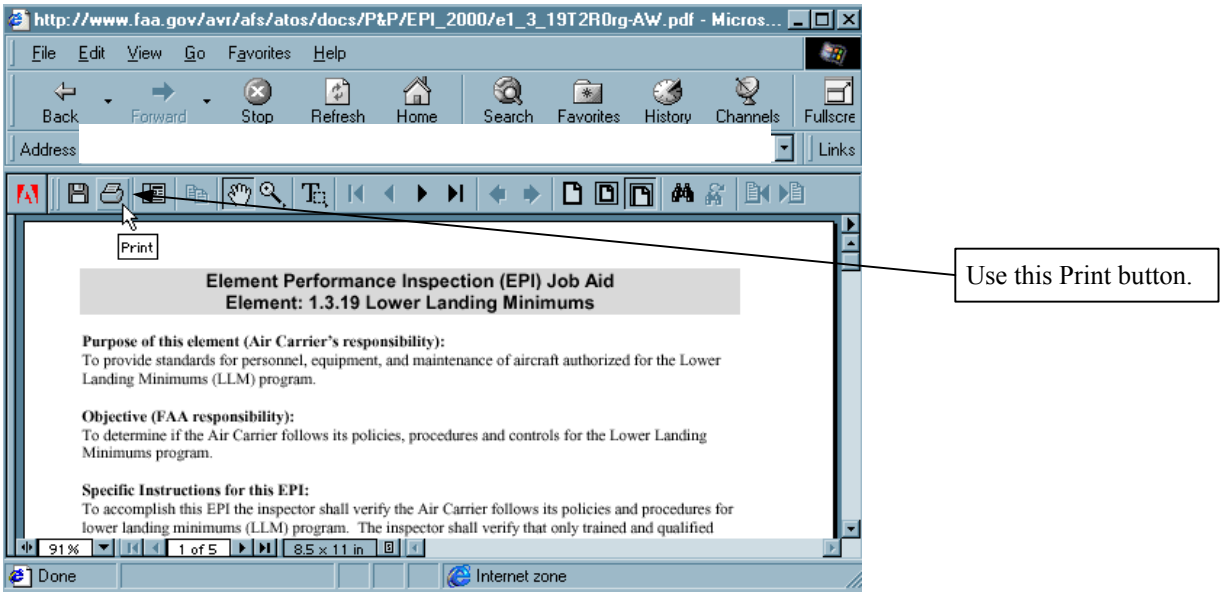


Figure 1-21: Printing a Job Aid

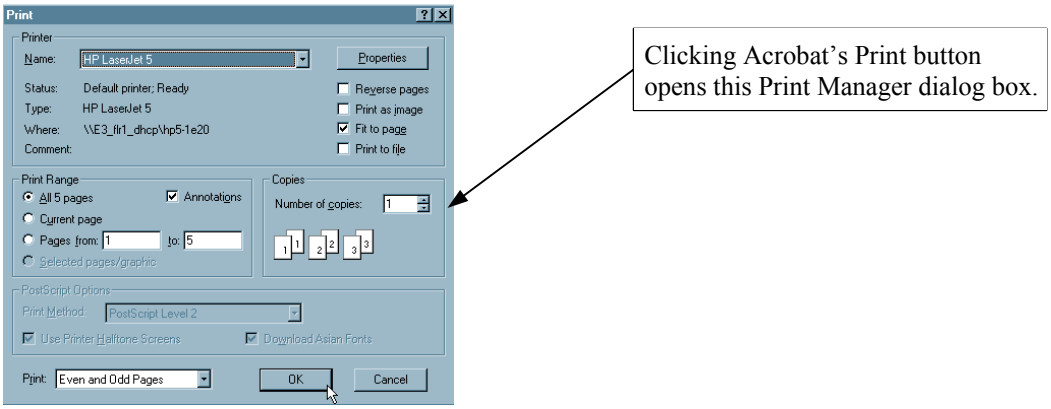


Figure 1-22: Acrobat Print Manager

2 Safety Attribute Inspections

Use of ATOS Automation to complete a Safety Attribute Inspection is described in this chapter.

2.1 View SAI Work Requests

From the ATOS home page, Figure 2-1, click on the **Work Requests** link to open the Unified Work Request page, Figure 2-2. From there, you may create, work on, or review SAI work requests.

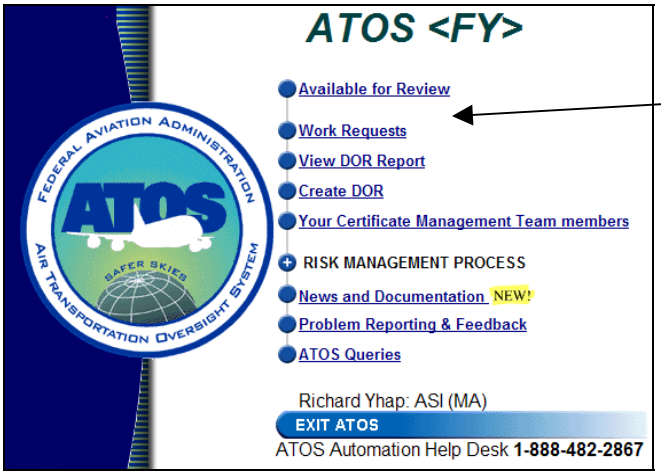


Figure 2-1: ATOS Home Page - ASI

This link opens the Unified Work Request page.

Inspectors see their own work requests. Managers, Supervisors, and PIs may view multiple work requests.

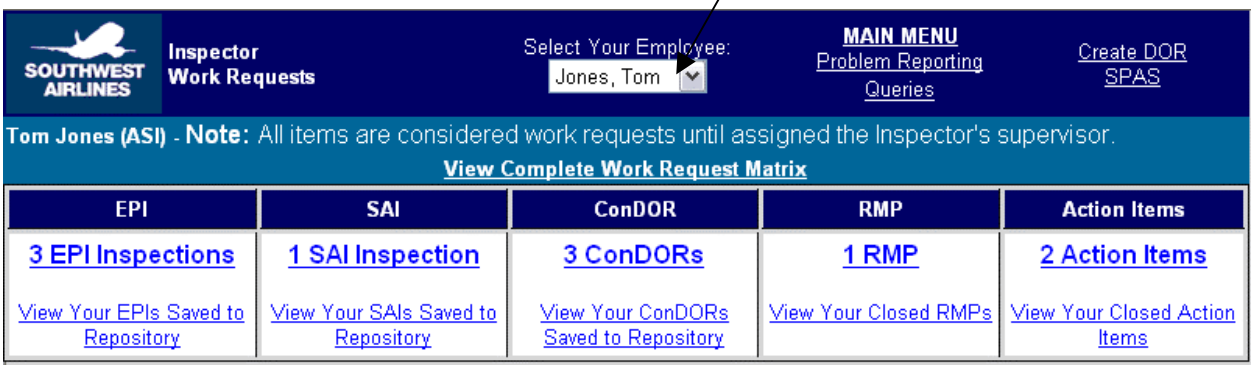


Figure 2-2: Unified Work Request Page

The top of the Unified Work Request Page provides links back to the MAIN MENU, to report a problem, to make a query, to create a Dynamic Observation Report (DOR) and to access the Safety Analysis Performance System (SPAS).

A complete summary of all work requests is available by clicking **View Complete Work Request Matrix**. In this view the status of each inspection activity is listed, along with links to view further detail.

Clicking on the upper of the two links under SAI opens a menu of those elements for which SAI inspections are in progress, that is, those that have not yet been saved to the Data Repository, as illustrated by Figure 2-3.

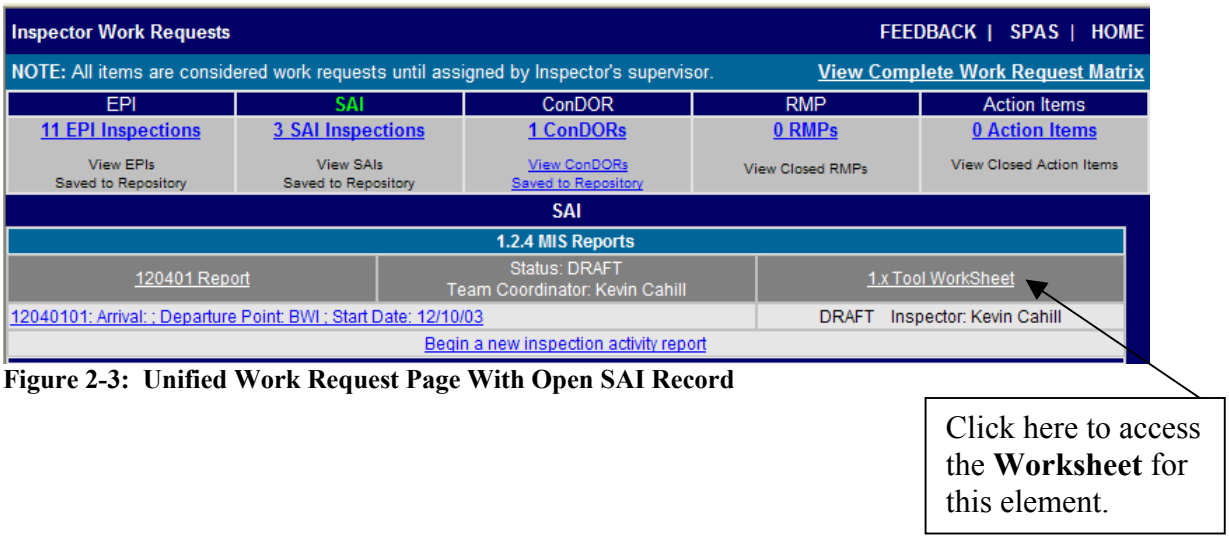
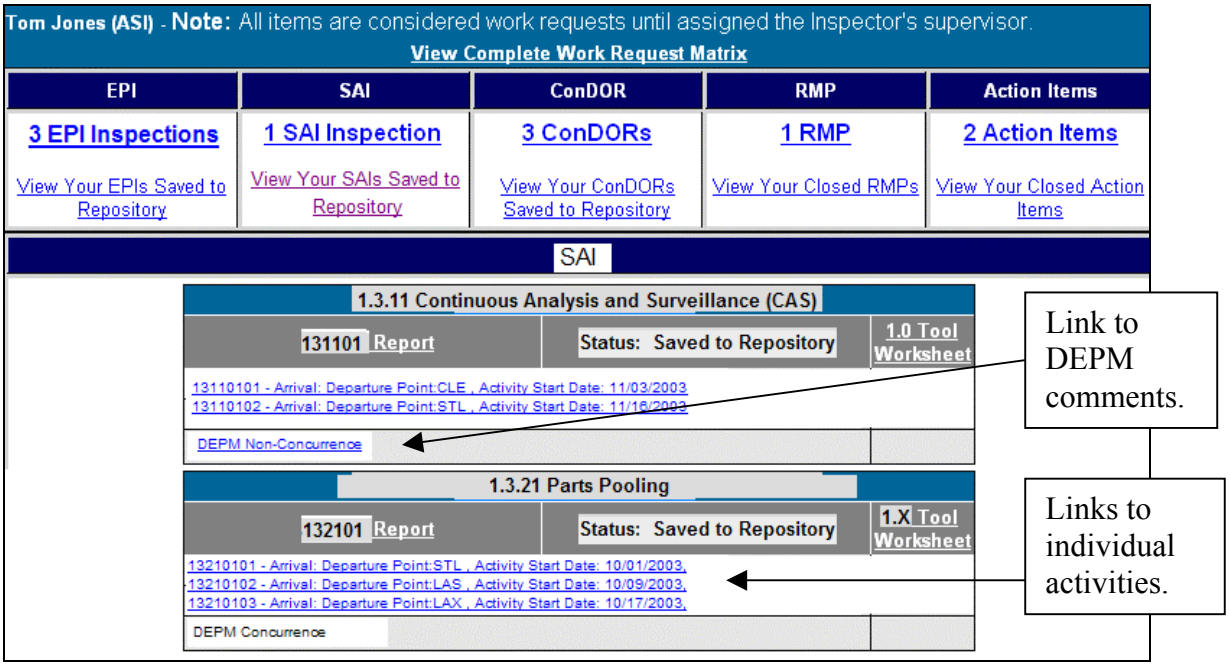


Figure 2-3: Unified Work Request Page With Open SAI Record

Click here to access the **Worksheet** for this element.

Clicking on the lower of the two links under SAI opens a menu of those elements for which SAI inspections are saved to the Data Repository, as illustrated by Figure 2-4.



Link to DEPM comments.

Links to individual activities.

Figure 2-4: Unified Work Request Page With SAI Records Saved to Repository

Inspections, which typically require multiple Activities, are tracked by their unique Record IDs, while each Activity within an Inspection is tracked with its own Activity ID. To submit an Inspection to the DEPM for concurrence or non-concurrence all Inspection questions must be answered, but it is not necessary that they all be answered in one Activity. The Inspection

consists of all its Activities together, so as long as each question is answered in at least one Activity it does not matter if individual Activities contain unanswered questions.

Records that are saved to the data repository will be clearly identified as having DEPM Concurrence or Non-Concurrence, as illustrated in Figure 2-4. To view the DEPM comments, as illustrated in Figure 2-5, click on the DEPM Non-Concurrence link, as annotated on Figure 2-4.

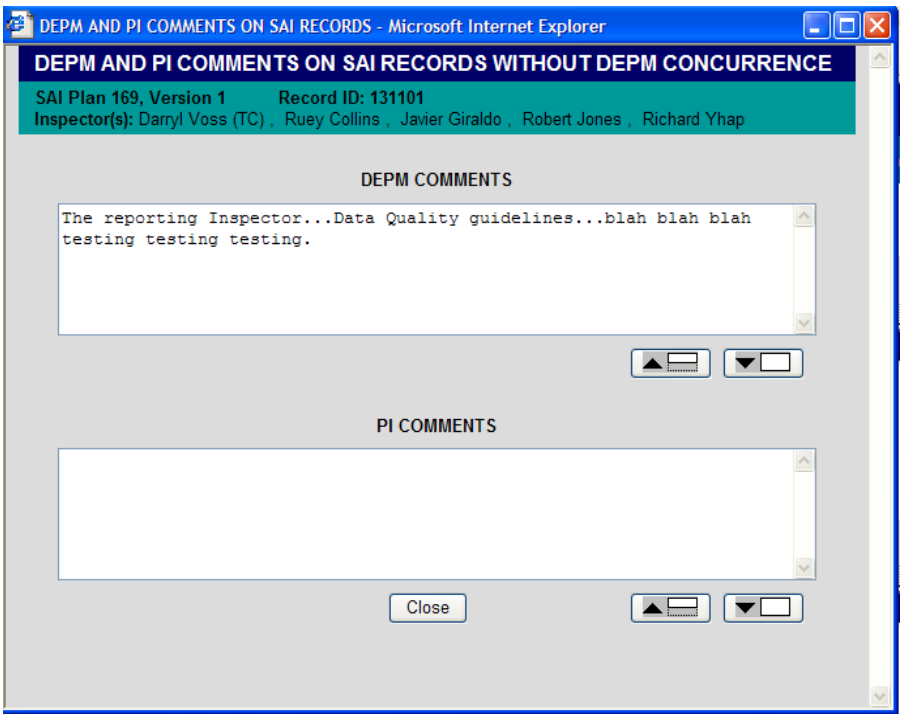


Figure 2-5: DEPM Comments window

The **Worksheet** button that appears just below the DCT designation under the element banner of the SAI work requests (annotated on Figure 2-3) provides access to information about this inspection element without actually beginning an inspection activity. All of the questions are listed, with space sufficient for the Inspector's notes, so that a printed copy may be used to gather information during the inspection. While viewing the Worksheet on line, the Inspector may access the Summary, Figure, and Tasks pages that are available on the SAI Activity Report screen. These links are described in Section 2.3.1, SAI Activity Screen Layout. The Worksheet also includes a link to the same Surveillance Documents that may be accessed from the "News and Documentation" menu on the Home Page.

The SAI Activity Work Request screen provides access to the Safety Attribute Inspection screen. You can access the SAI screen in three different modes:

- To begin a new Activity, click the New link that follows the list of activities in progress (if any) below the record heading under an element.

- To edit an existing Draft or Work-in-Progress, click the activity link identified by Activity ID number and information you previously entered on the SAI screen. A Work-in-Progress is

an activity that you are personally working on, and would like to review or complete. Only you can view it while in Work-in-Progress status. Draft status allows your surveillance results to be viewed by others.

- To view a Final Report, click the report link. Changes cannot be made to a Final report.

2.2 Safety Attribute Inspection (SAI) Screen

The SAI screen (Figure 2-6) provides a facility for recording, editing, and tracking information for each Activity Report.

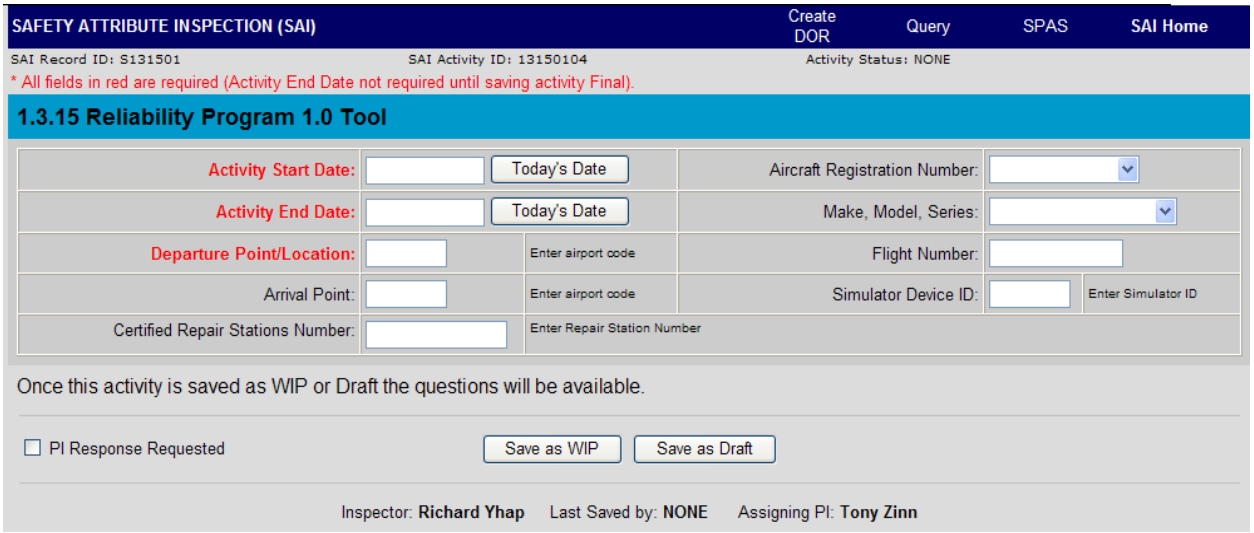


Figure 2-6: SAI Screen, As Seen on First Access

Activity tracking information is recorded in the Common Data Field of the SAI screen. An Activity Start Date and Departure Point/Location are required, and if you attempt to go directly to the SAI Activity Report screen without entering this data you will be prompted to do so. Auto-fill the Start Date with the Today's Date by clicking on the button so labeled, or click on the Activity Start Date box to open a calendar from which a date can be selected. A start date that is after the current date will not be accepted. As stated in the Surveillance Reporting Guidelines the Activity End Date should also be entered routinely, and any other available Common Data information should also be entered at this time. The input of the "Activity End Date" is required before saving the Activity to Final Status. An auto-fill button is also available for the End Date.

Click the **Save as WIP** button to save this tracking information.

Each SAI consists of five or six sections (depending upon DCT), each documenting a particular Safety Attribute. To complete an SAI all sections must be completed. Except for the wording of the SAI items themselves the sections are all similar, and the methods of recording and accessing surveillance information are common to all the sections. Click whichever one of the six Section links you are working on to access that section's SAI Activity Report screen.

The SAI screen changes as the record status progresses from work-in-progress through draft and on to final status. The "Activity Status:" message in the upper right corner of the screen changes to reflect the current status.

In addition:

- The **Delete This Activity** button is only available when viewing an activity in Work-In-Progress status.

- All three **Save as** buttons located at the bottom of the screen are available when the activity is first entered. Once the activity is saved as a Work in Progress, the **Save as WIP** button disappears and only the **Save as Draft** and **Save as Final** buttons are available. Both the **Save as Draft** and **Save as Final** buttons appear on the SAI screen during Draft status, as an activity can be saved as a Draft multiple times.

- There are no **Save as** buttons at all once an activity has been saved in Final status.

- You receive a warning message each time you use one of the three **Save as** buttons, informing you of the consequences of saving in that particular status. Click **OK** to confirm the **Save as** action if it is in fact the desired status.

Figures 4-7 to 4-12 illustrate the changes in the SAI Activity Home screen as you progress through the three activity statuses.

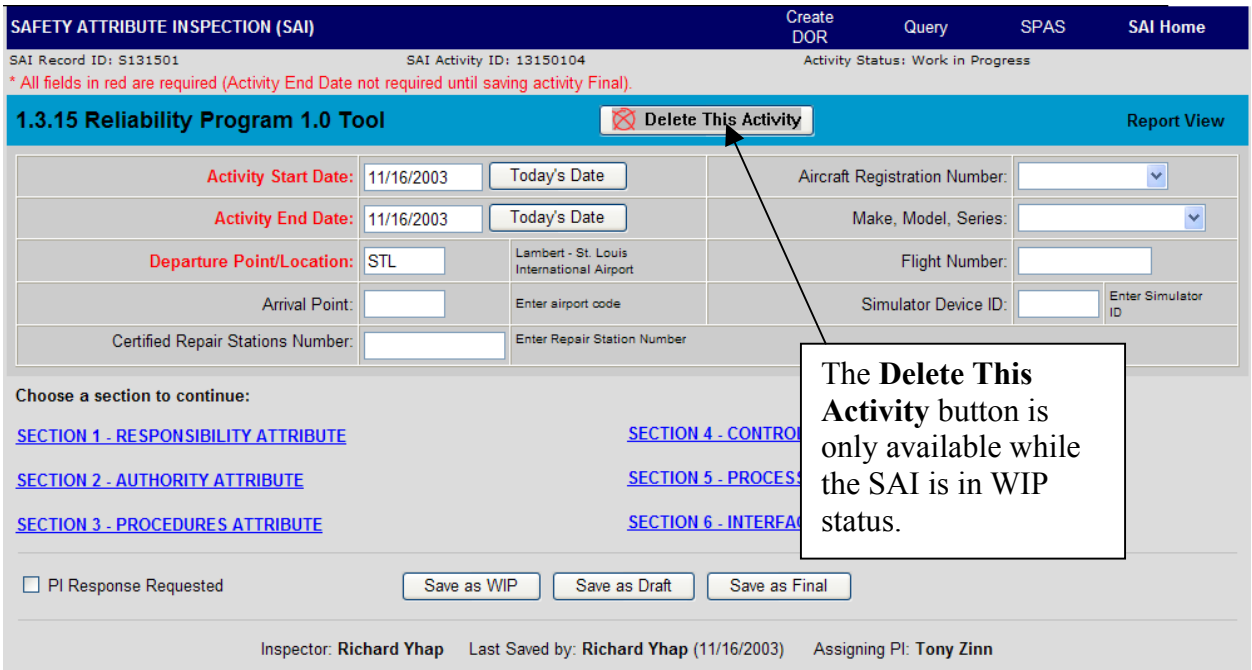


Figure 2-7: SAI Screen, WIP with Common Data Field Available Information Added

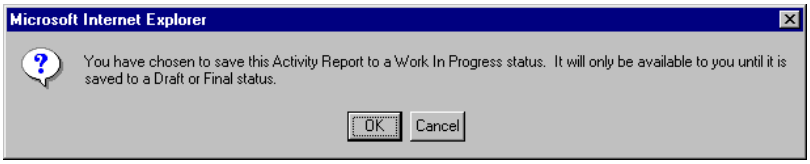


Figure 2-8: Warning Confirmation Box, Saving to WIP Status

SAFETY ATTRIBUTE INSPECTION (SAI) | Create DOR | Query | SPAS | SAI Home

SAI Record ID: S131501 SAI Activity ID: 13150104 Activity Status: Draft

* All fields in red are required (Activity End Date not required until saving activity Final).

1.3.15 Reliability Program 1.0 Tool Report View

Activity Start Date:	11/16/2003	Today's Date	Aircraft Registration Number:	
Activity End Date:	11/16/2003	Today's Date	Make, Model, Series:	
Departure Point/Location:	STL	Lambert - St. Louis International Airport	Flight Number:	
Arrival Point:		Enter airport code	Simulator Device ID:	Enter Simulator ID
Certified Repair Stations Number:		Enter Repair Station Number		

Choose a section to continue:

SECTION 1 - RESPONSIBILITY ATTRIBUTE
SECTION 2 - AUTHORITY ATTRIBUTE
SECTION 3 - PROCEDURES ATTRIBUTE
SECTION 4 - CONTROL ATTRIBUTE
SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE
SECTION 6 - INTERFACES ATTRIBUTE

☐ PI Response Requested Save as Draft Save as Final

Inspector: **Richard Yhap** Last Saved by: **Richard Yhap** (11/16/2003) Assigning PI: **Tony Zinn**

Figure 2-9: SAI Screen, Draft Status

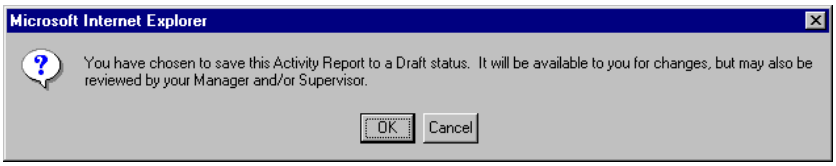


Figure 2-10: Warning/Confirmation Dialog Box, Saving to Draft Status

SAFETY ATTRIBUTE INSPECTION (SAI) | Create DOR | Query | SPAS | SAI Home

SAI Record ID: S131501 SAI Activity ID: 13150103 Activity Status: Final

* All fields in red are required (Activity End Date not required until saving activity Final).

1.3.15 Reliability Program 1.0 Tool Report View

Activity Start Date:	11/16/2003	Today's Date	Aircraft Registration Number:	
Activity End Date:	11/16/2003	Today's Date	Make, Model, Series:	
Departure Point/Location:	SAN	SAN DIEGO INTL AIRPORT-LINDBERGH FLD AIRPORT	Flight Number:	
Arrival Point:		Enter airport code	Simulator Device ID:	Enter Simulator ID
Certified Repair Stations Number:		Enter Repair Station Number		

Choose a section to continue:

SECTION 1 - RESPONSIBILITY ATTRIBUTE
SECTION 2 - AUTHORITY ATTRIBUTE
SECTION 3 - PROCEDURES ATTRIBUTE
SECTION 4 - CONTROL ATTRIBUTE
SECTION 5 - PROCESS MEASUREMENT ATTRIBUTE
SECTION 6 - INTERFACES ATTRIBUTE

☐ PI Response Requested

Inspector: **Richard Yhap** Last Saved by: **Richard Yhap** (11/16/2003) Assigning PI: **Tony Zinn**

Figure 2-11: SAI Screen, Final Status

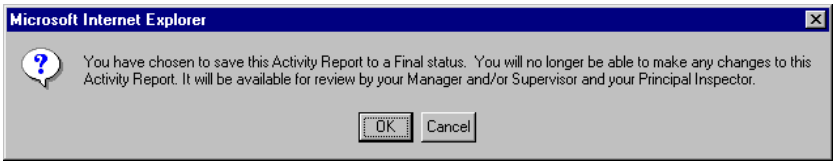


Figure 2-12: Warning/Confirmation Dialog Box, Saving to Final Status

2.3 SAI Activity Report Screen

The SAI Activity Report screen is used to record the results of your safety attribute surveillance activity.

2.3.1 SAI Activity Report Screen Layout

Access the SAI Activity Report screen (Figure 2-13) by clicking the appropriate Section link on the SAI screen (Figure 2-9).

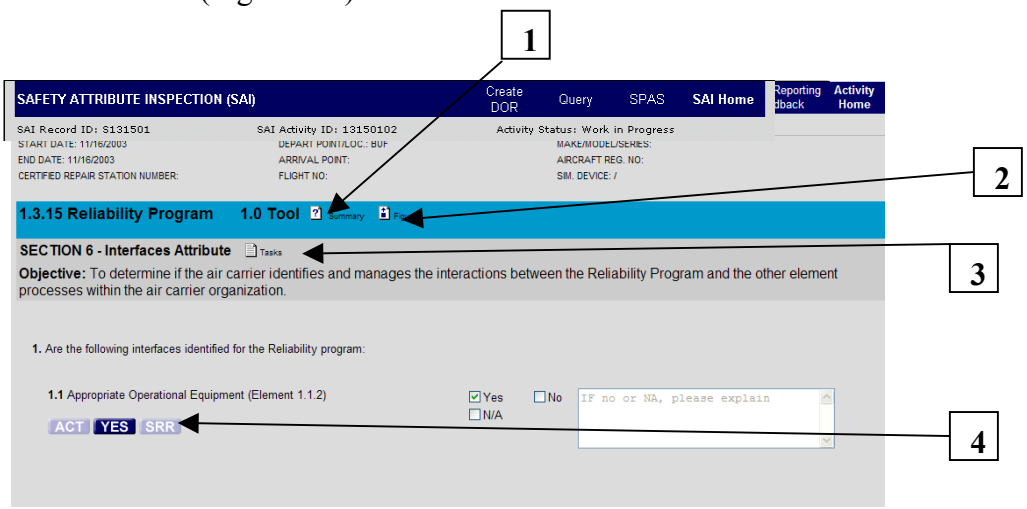


Figure 2-13: SAI Activity Report (Information Links Are Numbered)

The SAI Activity Report screen provides both space to record the results of your surveillance activity and access to reference materials.

1. Summary (Figure 2-14) explains the purpose of the SAI and provides general directions for accomplishing the surveillance.

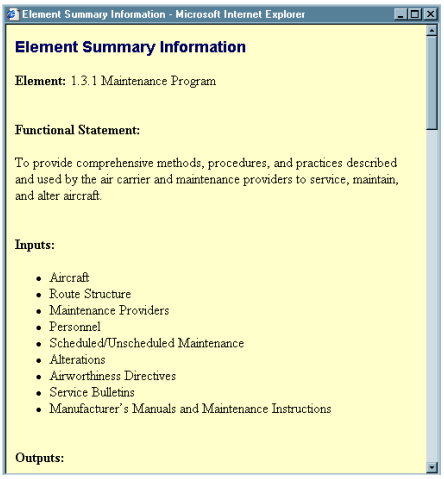


Figure 2-14: Summary Icon Window

2. Figure 2-15 illustrates the high-level relationships between the SAI and safety inputs and outputs and appears in an Adobe Acrobat window.

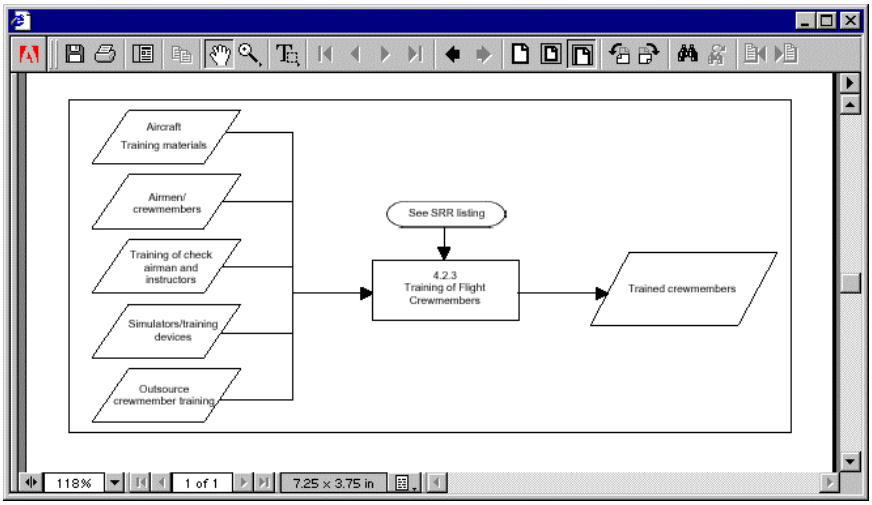


Figure 2-15: Figure Icon Screen

3. Tasks lists the activities you need to accomplish to complete the SAI. Figure 2-16 is a sample.

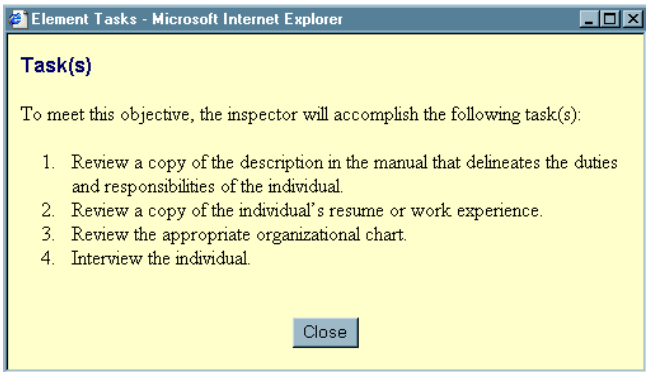


Figure 2-16: Task Icon Window

4. Question Related Buttons.

ACT is active and shaded in dark blue if the question has been checkmarked in the **No** box. Clicking on this button brings you a window for writing the specific action taken. Figure 2-17 is an example of the "Inspector Actions Taken" window.

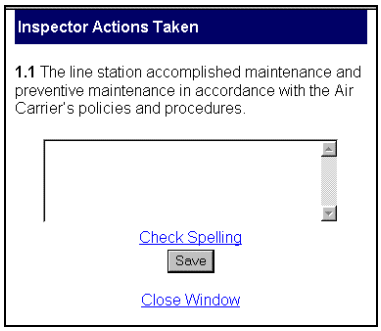


Figure 2-17: Inspector Actions Taken Window

YES is active and shaded in dark blue if the question has been checkmarked in the **Yes** box. Clicking on this button brings you a window for any comments you would like to add to the record. Figure 2-18 is an example of a "Yes Comments" window.

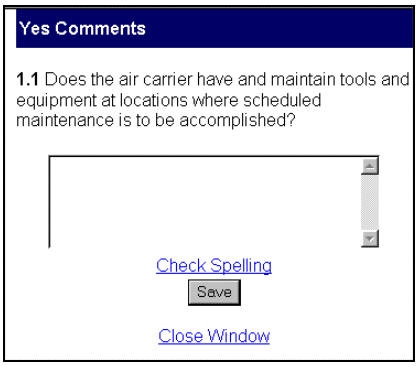


Figure 2-18: Yes Comments Window

SRR is active and shaded in dark blue if there are Specific Regulatory Requirements related to this question. Clicking on this button opens the window that lists SRRs that are related to the question. Figure 2-19 is an example of the "Question Related SRRs" window.

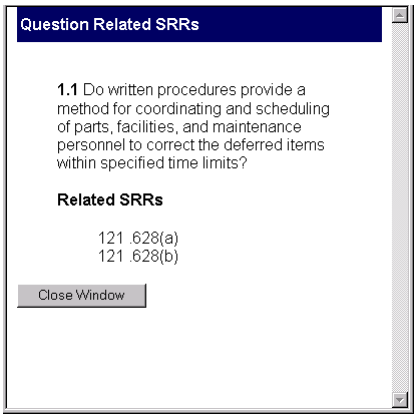


Figure 2-19: Question-Related SRR Pop-up Window

2.3.2 SAI Activity Report Screen Usage

Surveillance results are recorded on the SAI Activity Report using **Yes, No**, and (in some cases) **N/A** check boxes. Text boxes are used to enter explanations of No or N/A determinations. Answers to Questions may be changed, but saving your "new" answer by clicking on the Save button will delete any comments you entered that were used to explain your "old" answer. When you change an answer, a window will pop up reminding you of this. Click **OK** to acknowledge the warning, close the window, and continue.

To record your surveillance determinations, check the **Yes, No,** or **N/A** check boxes as appropriate. It is not necessary to respond to every item of the Activity, although an Inspection record cannot be saved as Final until all items have been responded to in at least one of the Inspection's Activities.

Checking the **No** box opens a "Drop Down Menu" (Figure 2-20) to classify your answer.

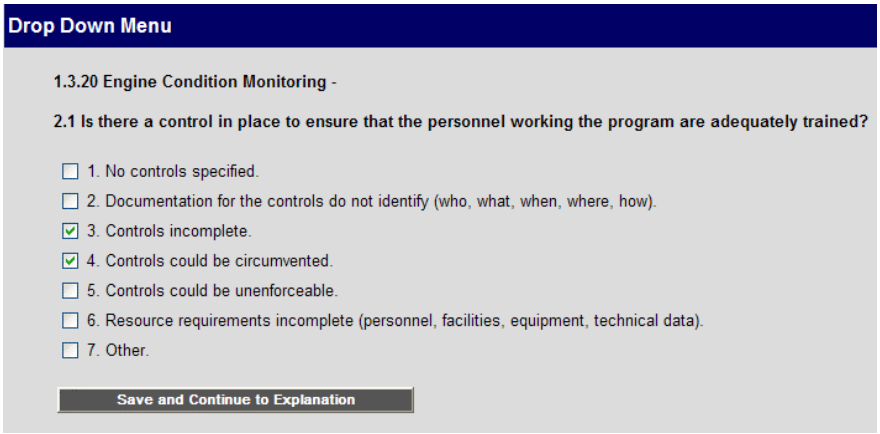


Figure 2-20: Drop Down Menu to Classify a "No" Response

Click in the box next to one or more categories, then click on the **Save** bar along the lower edge. When you do so, you will return to the question and see the values you have chosen displayed beneath the comment field, where you will enter additional detail. This is illustrated in Figure 2-21.

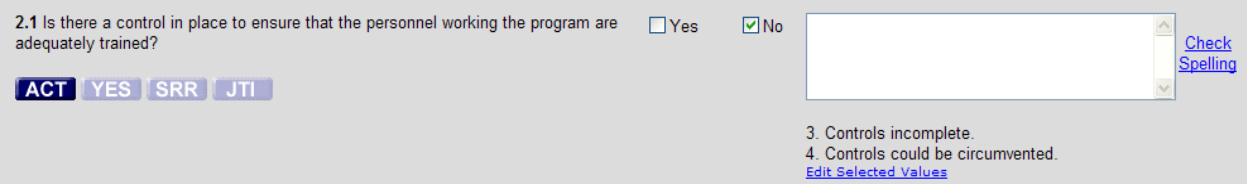


Figure 2-21: Selected Drop Down Menu Values Noted for Question

No responses require an explanation. Enter the Who, What, Where, When, Why, and How that motivated your **No** response. The explanation should be complete and descriptive enough for other CMT members to understand without follow-up.

If you have marked a **No** response, the **ACT** button will be active and shaded in dark blue. Click on the **ACT** button to open the window that will allow you to detail what action you have taken.

Depending on circumstances a **Yes** or **No** answer might not be appropriate. For example, questions regarding passengers are not relevant when surveilling cargo carriers. The **N/A** response is provided for these occasions only, and should not be used for any other reason. **N/A** responses also require an explanation. Click the text box to the right of the check boxes, labeled **If no or N/A, please explain** and enter the explanation.

Some surveillance questions require recording the name of a responsible party. As explained in the ATOS Surveillance Reporting Guidelines a workgroup or committee can be the responsible party and, if this is the case, you may enter the name of the leader of the workgroup/committee or simply a general name for the group. If a single individual is solely responsible, you can enter that name. Click the text box beside the word **Name** and enter either the individual or the group/committee name. Enter personal names in first name then last name format.

If you have marked a **Yes** response, the **Yes** button will be active and shaded in dark blue. You have the *option* of entering comments to elaborate on your findings. To do so, click on the **Yes** button to open the text window for this purpose (Figure 2-18).

As always, any significant issues or items of immediate concern should be verbally conveyed to the PI in a timely manner.

2.3.3 Saving SAI Activity Reports

The bottom of every SAI Activity Report screen provides a **Save** button used to save the Inspection Record data (Figure 2-22). Clicking the **Save** button saves the current Inspection Record data but does not change the active screen. To exit this screen and access the SAI screen, click the Activity Home link located in the top right corner of the Activity Report screen (Figure 2-23).

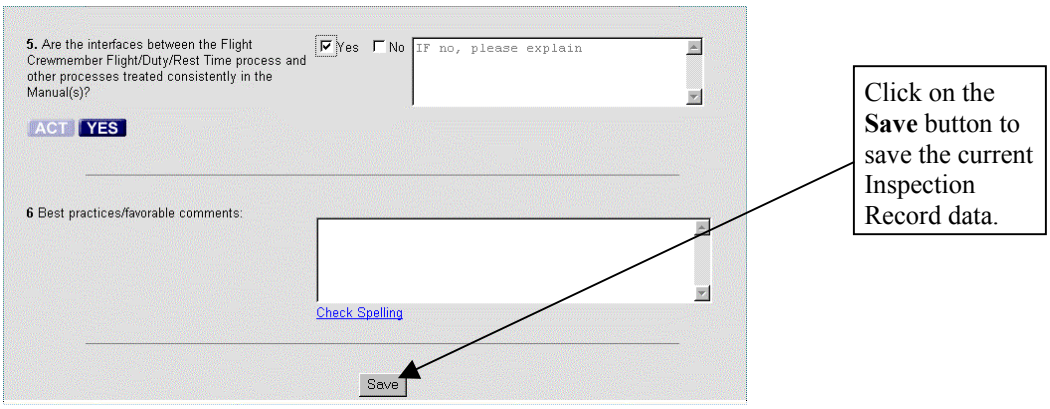


Figure 2-22: SAI Activity Report - Excerpt - Bottom Shows "Save"

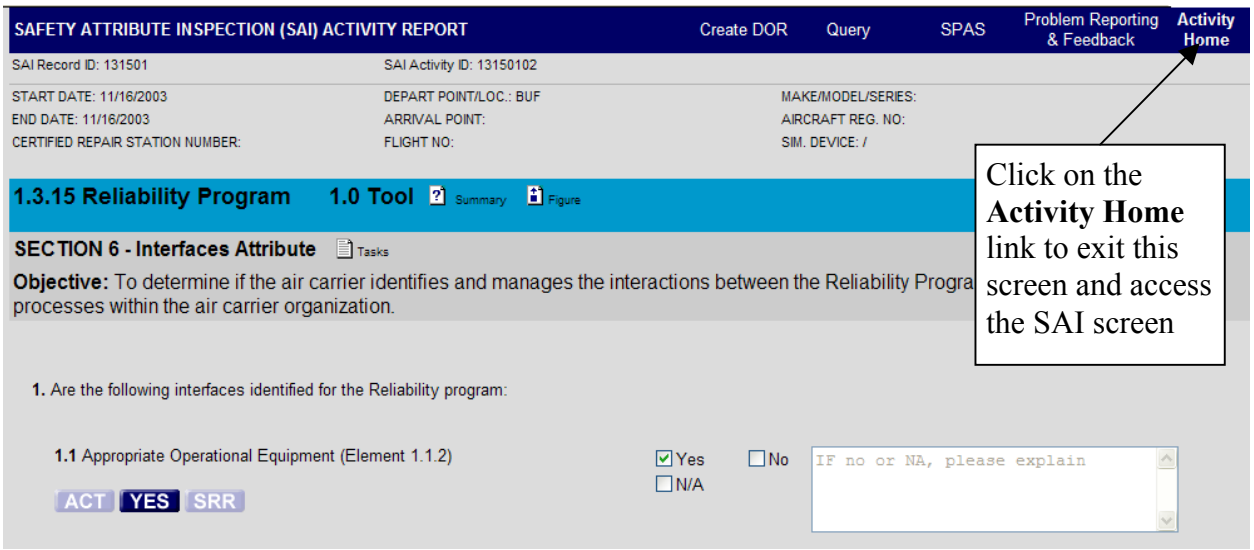


Figure 2-23: SAI Activity Report - Excerpt - Top Shows "Activity Home" Link

The SAI screen displays buttons used to save the Activity Report. In WIP status, three buttons are displayed, the **Save as WIP, Save as Draft,** and **Save as Final** buttons (refer to Figures 4-6 and 4-7). In Draft status, only two buttons are displayed, the **Save as Draft** and **Save as Final** buttons (refer to Figure 2-9). An Activity Report can be saved in Work-in-Progress, Draft, or Final status at any time, although once saved as a Draft, the status cannot revert to Work-in-Progress and, once saved as Final, the status cannot revert to Draft or Work-in-Progress. While in Work-in-Progress status, you are the only person who can view or edit the Activity. While in Draft status, your supervisor/manager can view the Activity, but you will remain the only person

who can edit it. Once all information is complete and the Activity has been saved as a Draft, you may save the report as Final. You do not have to respond to all of the items in an Activity Report to save it as Final. Once you save an Activity as Final, you will automatically be returned to the work request page, since no other editing can take place on that Activity.

Activity Reports saved as Final are not yet saved to the ATOS Data Repository but are available for review by your DEPM. SAIs must be saved to the Master Record by the Team Coordinator responsible for the Inspection, not by the Inspector who actually conducted the surveillance. When the Team Coordinator accesses his or her SAI Activity Work Requests screen, Draft and Final status surveillances conducted by members of his or her Team will be listed.

To save an SAI Activity Record to the Master Record:

- The Team Coordinator accesses the SAI Work Requests detail from the Unified Work Requests page (Figure 2-3).

- Under an SAI element header, click the <number> Report link to access the SAI Activity Record screen (Figure 2-24).

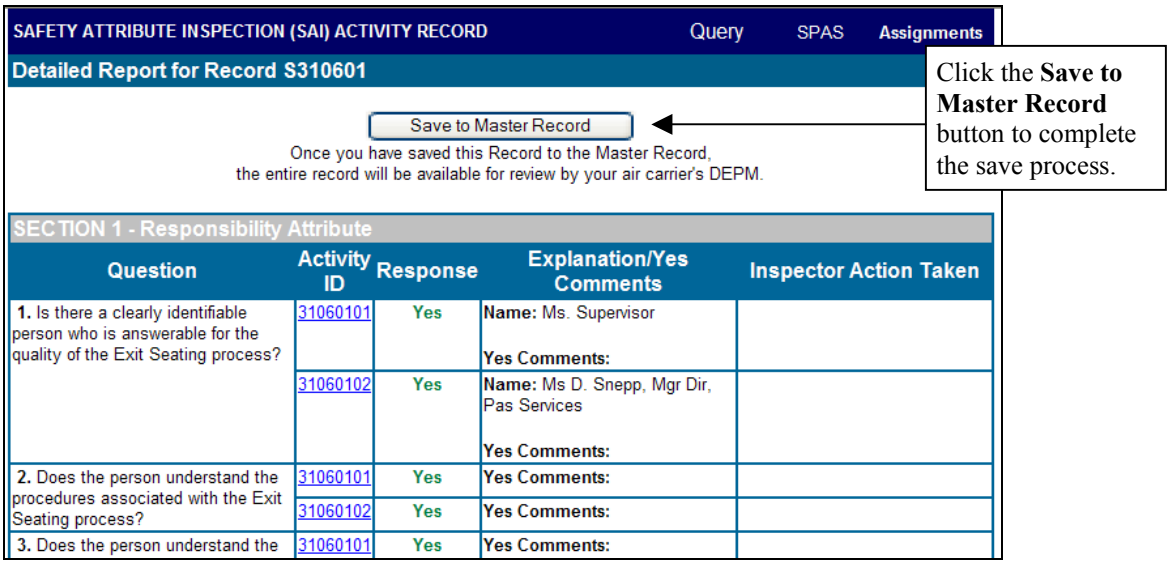


Figure 2-24: SAI Activity Record, with Save to Master Record Button

- On the SAI Activity Record screen click the **Save to Master Record** button. This button will only be available when all questions have been answered at least once, so there is no possibility of inadvertently saving an incomplete Inspection.
- The SAI Activity Record screen will change. The **Save to Master Record** will be replaced by "Completed Record".

2.4 Returned Inspections Notification

The Data Evaluation Program Manager (DEPM) reviews all inspection records to check the validity, accuracy, technical relevance, and completeness of the collected information prior to its release to the ATOS Data Repository with the DEPM's concurrence or non-concurrence. The DEPM may also review individual Activities saved Final and return the activity report to the ASI with supporting comments. When the DEPM returns a questioned activity report to the ASI it reverts to Draft status and revision by the ASI is required.

The Returned Inspection Notification window is automatically displayed each time an Inspector with returned inspections accesses ATOS (Figure 2-25). The Notification lists all returned inspections (Records or Activities saved Final). The returned Inspection window remains active and is displayed each time the Inspector accesses ATOS until the given record or activity is saved Final again.

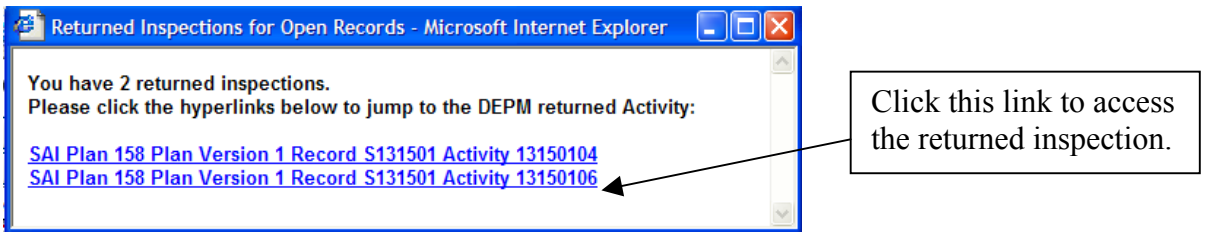


Figure 2-25: Returned Inspections Notification Window

Each item listed in the Returned Inspections Notification is a link. Click on a link to access the Unified Work Requests page (Figure 2-26) and links to the returned record and the DEPM comments (Figure 2-27).

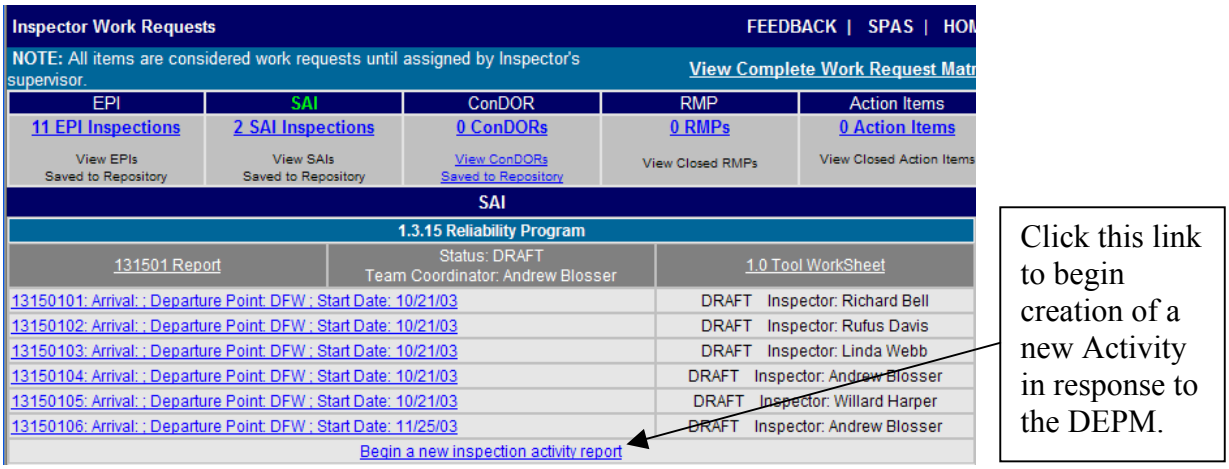


Figure 2-26: SAI Activity Work Requests Screen with Returned Inspection

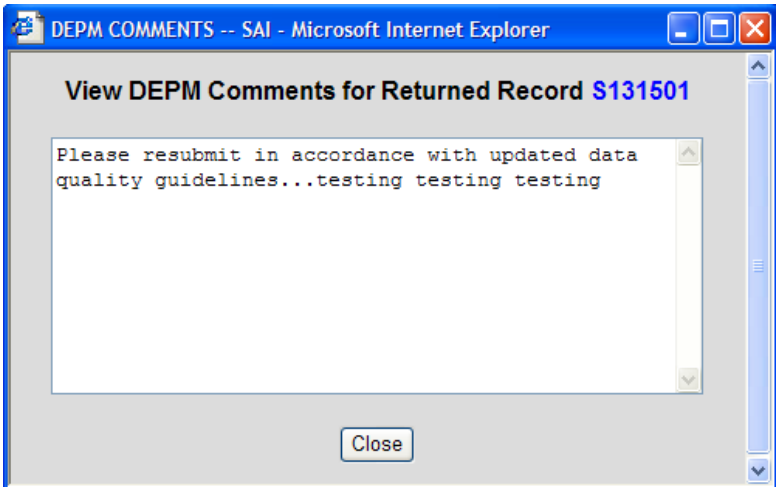


Figure 2-27: DEPM Comments Regarding a Returned Inspection

To continue work on a returned inspection click the Begin a New Inspection Activity Report link, found at the end of the list of existing activities, and proceed with the inspection using standard ATOS procedures.

2.5 Principal Inspector Responses to NO's

Principal Inspectors have a link "PI Response to NO's" on the CSP SAI main page. This link provides on one page the ability for PIs to view inspector explanations and other PI comments as well as provide their own comments for all questions that have been answered "No" by an Inspector.

From your Home Page, Figure 2-28, click on **Comprehensive Surveillance Plan** to view the submenu. An example of the submenu is shown in Figure 2-29.

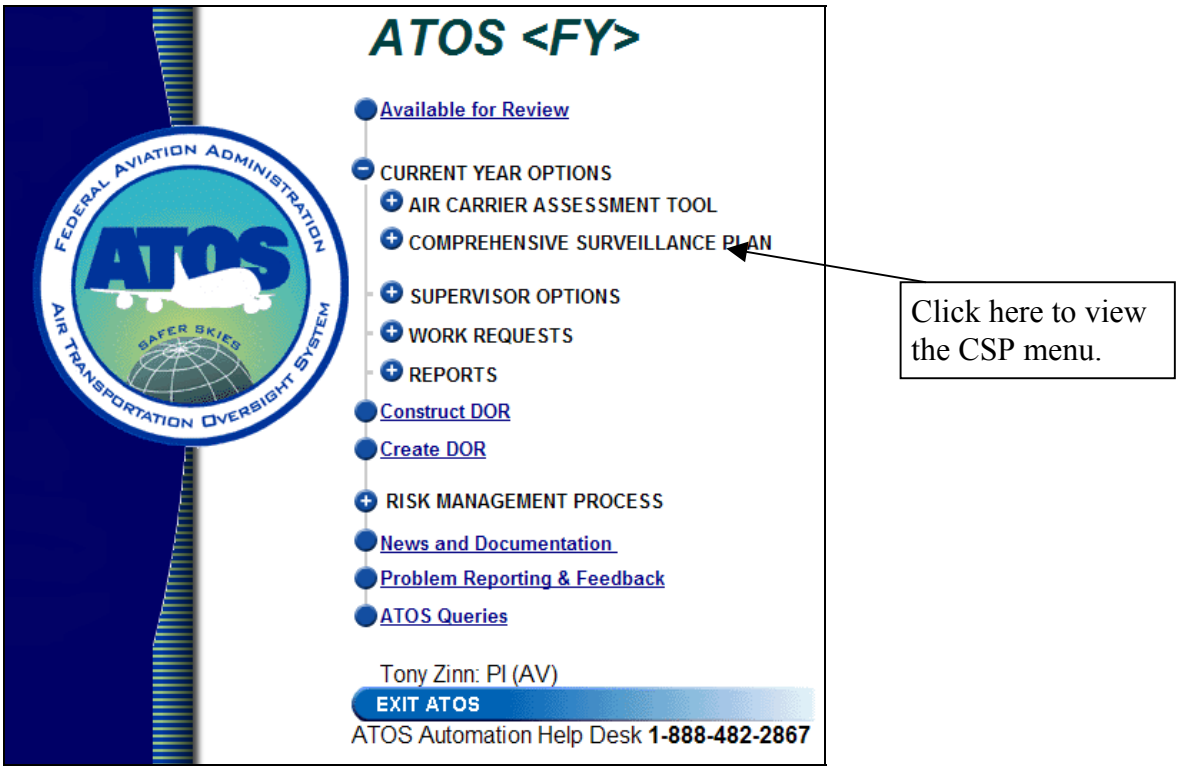


Figure 2-28: ATOS Home Page

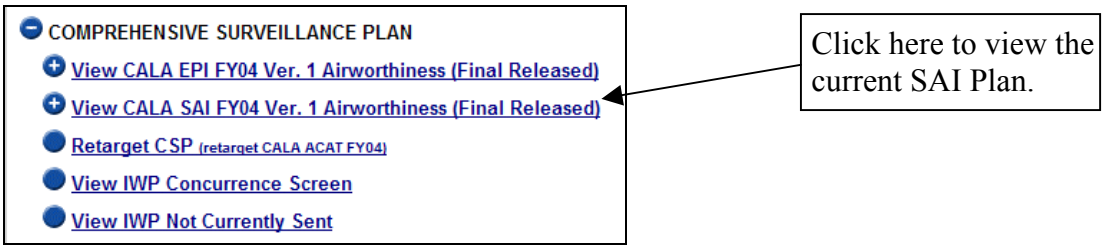


Figure 2-29: CSP Menu

From the CSP menu, choose **View <air carrier> SAI <fiscal year> <version number> <status>.**

The **Comprehensive Surveillance Plan** for your Air Carrier and Specialty is shown, as illustrated by Figure 2-30.

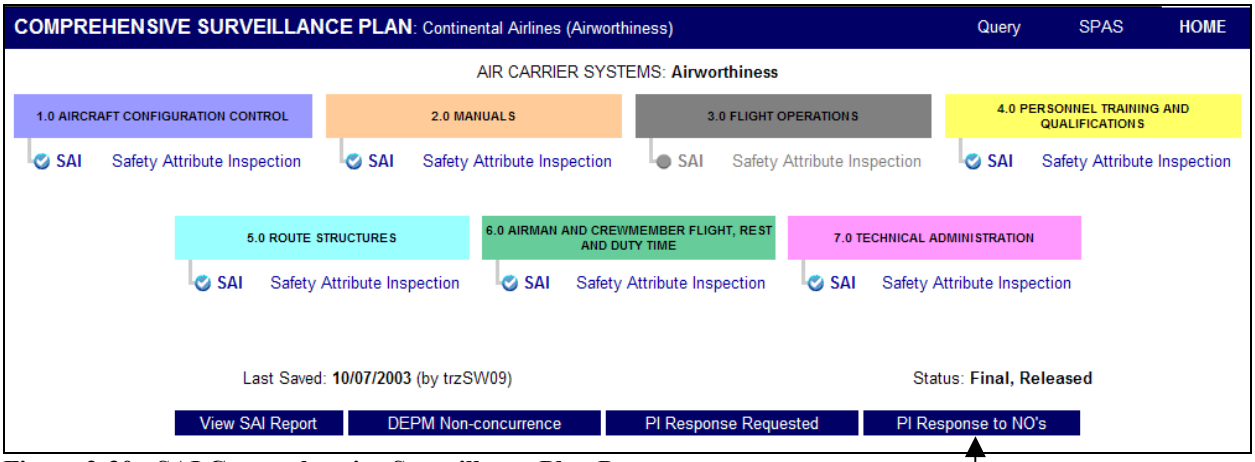


Figure 2-30: SAI Comprehensive Surveillance Plan Page

Click here to open a report of PI Responses to NO's.

From the toolbar on the lower edge of the **Comprehensive Surveillance Plan**, click on the **PI Response to NO's** button on the far right. The header for the next window is illustrated in Figure 2-31.

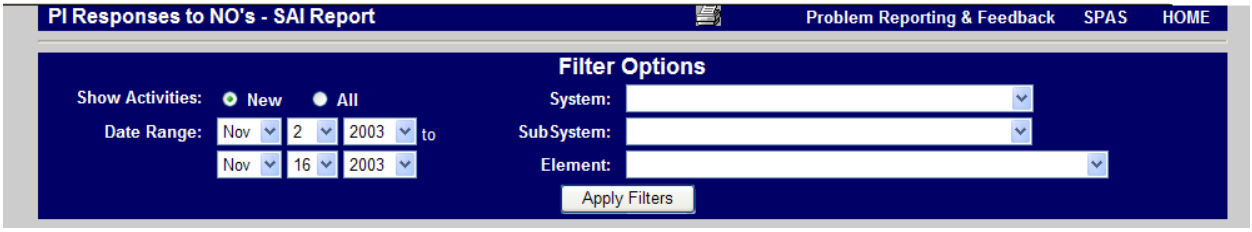


Figure 2-31: Header for PI Responses to NO's

2.5.1 Using Filters to Change the Information Presented

The default view for this screen is activities from the last 2 weeks that have not previously been viewed. The data may be filtered to present the information by using a variety of utilities discussed below. After specifying one or more of the following, click on the **Apply Filters** button to see the revised set of data.

Show ALL Activities

Instead of seeing just those activities you have not viewed, this option will present **all** of the activities for the time period shown, including those you have already viewed.

Change the Date Range

The Date Range portion of the Filter Options is shown as Figure 2-32. Click on the down arrows on the right side of the Month, Day, and Year fields of the first (start) date and the second (end) date to display other choices. Click on the value to replace the ones already appearing.

Figure 2-32: Date Range Filter

Select a System, Subsystem, or Element

Click on the arrow to the right of the field for System, Subsystem, or Element and choose from the drop down listing. When you do, your choice will appear in the field window.

> **Note:** If you are choosing an Element, it is not necessary to specify the associated system or subsystem. Likewise, if you are choosing a Subsystem, it is not necessary to also choose the associated System.
>
> **Caution:** If you choose a System, then click to see the drop down listing of Subsystems, you will see all Subsystems, not just those under the System you have chosen. Choosing a Subsystem that is not part of the chosen System will never return any data, since no Activity would meet both criteria. Likewise, choosing an Element that is not part of a chosen System or Subsystem will result in no data being found.

2.5.2 Viewing and Adding Comments to the Information Presented

Banners at the beginning of each section identify the beginning of a new Activity, Record, Element, or Plan. Figure 2-33 is an illustration of this.

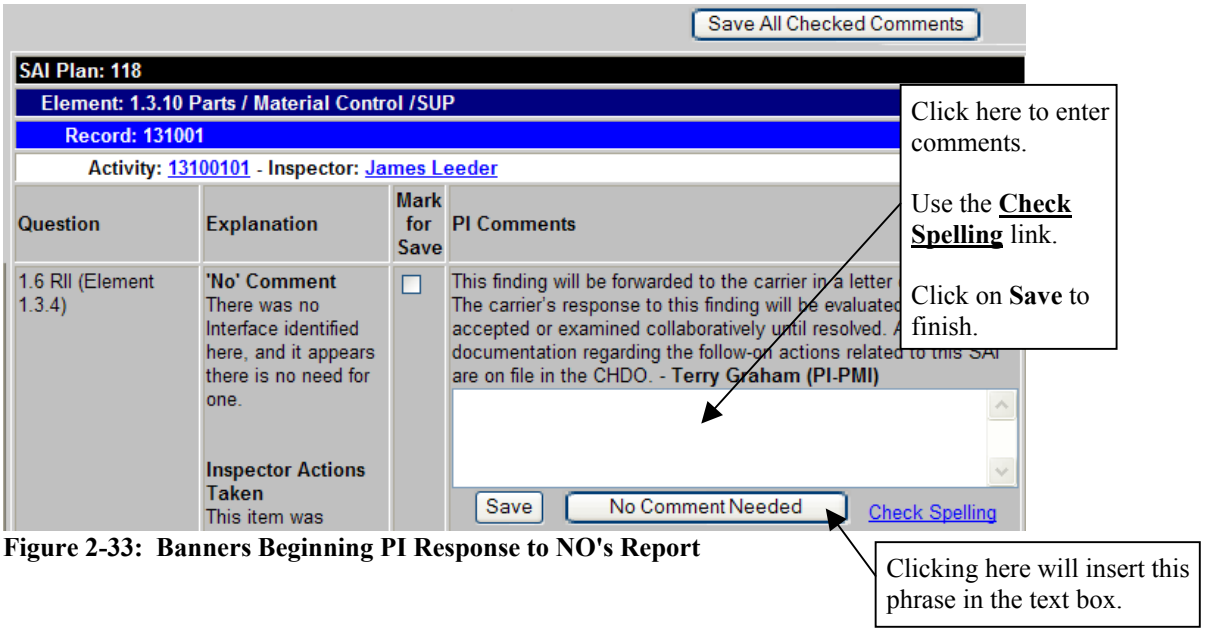


Figure 2-33: Banners Beginning PI Response to NO's Report

Click on the **Inspector's Name** to view contact information for that Inspector.

Click on the **Activity Number** to view all the details of that Activity. Once you have done so, the Activity will be removed from the default view. (You may still see it by changing the "New" filter to "All".)

Click anywhere in the field below the header of **PI Comments** to enter your text. The cursor will automatically be in the upper left corner of the field.

The **Check Spelling** tool is available to check what you have entered for spelling errors.

Click the **Save** button to save your comments. When you do so, the page is "reset" and the filter options return to the default values. Alternately, you may check the small box in the column just left of the comment column, instead of using the **Save** button after each entry. If you do this, then the page is not "reset" until you click on the **Save All Checked Comments** button when you are ready to save all the comments you have entered. There is a **Save All Checked Comments Button** both at the beginning, and at the end of the listing. Please note that if the individual **Save** button is not used, then a comment marked for save will only be saved when the **Save All Checked Comments** button is used.

2.6 Activity Status Report Options

SAI Activity Reports are available that display Activities grouped by element, along with a summary of "Yes" and "No" responses, common data, and links to the complete activity report. You have the opportunity to limit the information presented to that which is most useful to you.

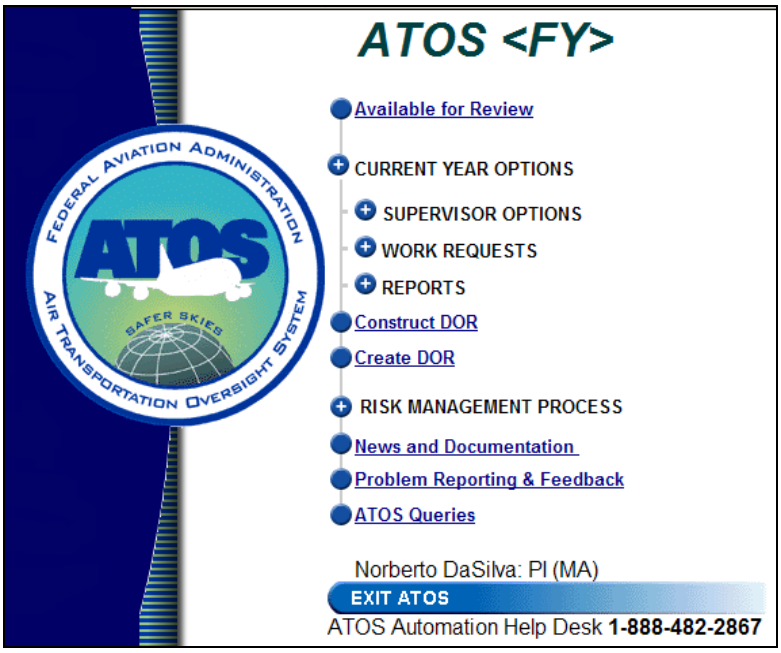


Figure 2-34: ATOS Home Page

From the ATOS Home Page, Figure 2-34, clicking on the circled plus sign to the left of **REPORTS**, brings you a submenu that includes a link to **Activity Reports**, as shown in Figure 2-35.

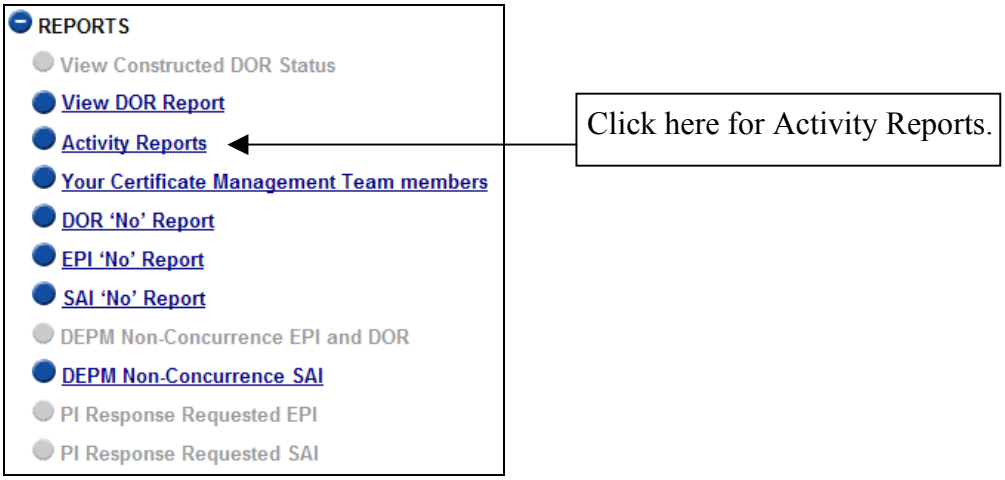


Figure 2-35: Reports Menu

Clicking on the **Activity Reports** link brings you to Figure 2-36.

Figure 2-36: Header for the Activity Reports – Activity View

2.6.1 Using Filters to Change the Information Presented

The default view for this screen is activities from the last 2 weeks that have not previously been viewed, including DORs. The data may be filtered to present the information by using a variety of utilities, discussed below. After specifying one or more of the following, click on the **Apply Filters** button to see the revised set of data.

Show ALL Activities

Instead of seeing just those activities you have not viewed, this option will present **all** of the activities for the time period shown, including those you have already viewed.

Change the Date Range

When you click on the start or end date, a calendar (Figure 2-37) will pop up.

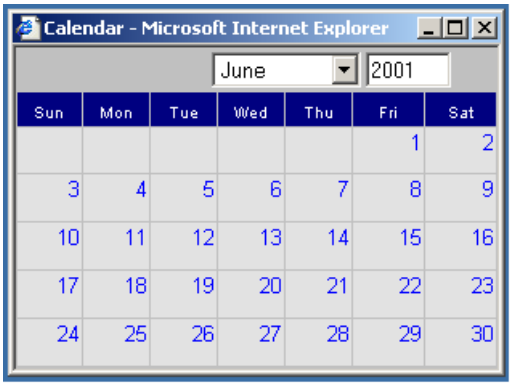


Figure 2-37: Calendar

Overwrite the year, if necessary, by clicking in the year field and using the backspace and/or delete keys to make room for the correction. The calendar days change to match the month in the year that you have specified.

Next, change the month, if necessary, by clicking on the arrow to the right of the current month and selecting from the listing that pops up. The calendar numbers will change to match the month you have chosen.

Lastly, click on the day of the month that will start or end your date range. The calendar window will go away and the date will appear in the box you clicked on when the calendar popped up.

Exclude DORs
Click in the box next to this label to exclude DORs from the presentation.

Select a System, Subsystem, or Element
Click on the arrow to the right of the field for System, Subsystem, or Element and choose from the drop down listing. When you do, your choice will appear in the field window.

> **Note:** If you are choosing an Element, it is not necessary to specify the associated system or subsystem. Likewise, if you are choosing a Subsystem, it is not necessary to also choose the associated System.
>
> **Caution:** If you choose a System, then click to see the drop down listing of Subsystems, you will see all Subsystems, not just those under the System you have chosen. Choosing a Subsystem that is not part of the chosen System will never return any data, since no Activity would meet both criteria. Likewise, choosing an Element that is not part of a chosen System or Subsystem will result in no data being found.

2.6.2 Viewing Activity Data

Banners at the beginning of each section are used to separate the various elements of an inspection that follow the header portion of the Activity Report. The beginning portion of the report below the banner is illustrated in Figure 2-38.

Click here to check-mark the acknowledge box to remove it from the default view.

Click here to remove all acknowledged lines from the default view.

SAI — Acknowledge Selected Activities

Continental Airlines

Airworthiness SAI PLAN: 169

1.2.3 Maintenance Log / Recording Requirements 1.X Tool

Inspector Name	Activity ID	Acknowledge	Activity Status	Record Status	Start Date	End Date	Location/ Departure	Arrival Point	# of Yes Responses	# of No Responses
Bob Mansfield	12030103	☐	Final	Draft	11/06/2003	11/06/2003	HOU		23	0

1.3.3 Maintenance Facility / Main Maintenance Base 1.0 Tool

Inspector Name	Activity ID	Acknowledge	Activity Status	Record Status	Start Date	End Date	Location/ Departure	Arrival Point	# of Yes Responses	# of No Responses
Bob Mansfield	13030104	☐	Draft	Draft	11/06/2003	11/06/2003	HOU		0	0

1.3.11 Continuous Analysis and Surveillance (CAS) 1.0 Tool

Inspector Name	Activity ID	Acknowledge	Activity Status	Record Status	Start Date	End Date	Location/ Departure	Arrival Point	# of Yes Responses	# of No Responses
Richard Yhap	13110101	☐	Final	Saved to Repository	11/03/2003	11/06/2003	CLE		79	0
Darryl Voss	13110102	☐	Final	Saved to Repository	11/16/2003	11/16/2003	STL		65	0

Figure 2-38: SAI Section of Activity Report

The top, darkest banner, identifies this as a Safety Attribute Inspection.
The next banner identifies the Air Carrier being inspected.
The third banner identifies the type of plan and number.
The next banner specifies the element number and title.

Inspectors' names are links to roster information.

Click on the **Activity ID** link for detailed information about that particular Activity

When you want to remove an Activity line from your default view, click on the small white square under the heading of **Acknowledge**. Before you leave the report, click on the button labeled **Acknowledge Selected Activities**.

3 Element Performance Inspections

Use of ATOS Automation to complete an Element Performance Inspection is described in this chapter.

3.1 View EPI Work Request

From the ATOS home page, Figure 3-1, click on the **Work Requests** link to open the Unified Work Request page, Figure 3-2. From there, you may create, work on, or review EPI work requests.

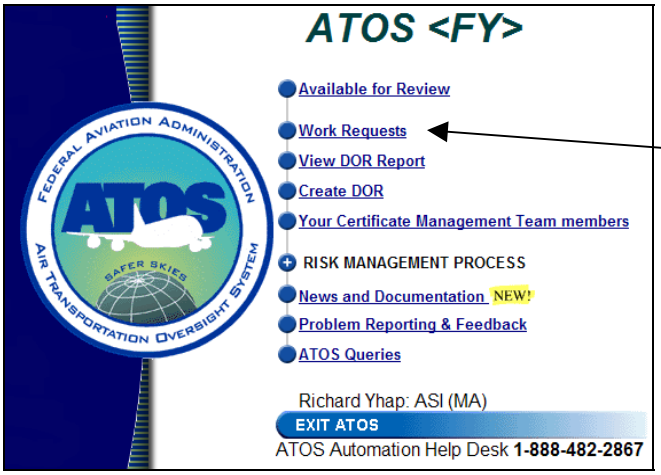


Figure 3-1: ATOS Home Page – ASI

This link opens the Unified Work Request page.

Inspectors see their own work requests. Managers, Supervisors, and PIs may view multiple work requests.

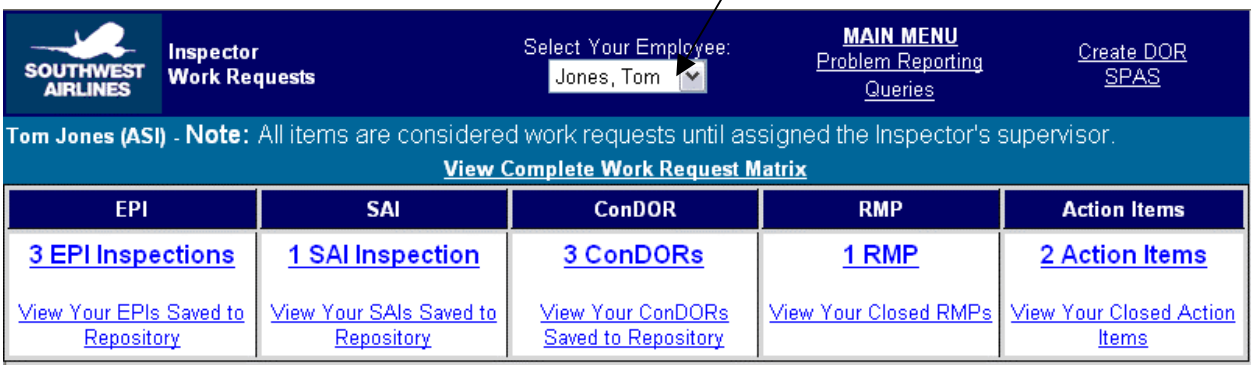


Figure 3-2: Unified Work Request Page

The top of the Unified Work Request Page provides links back to the MAIN MENU, to report a problem, to make a query, to create a Dynamic Observation Report (DOR) and to access the Safety Analysis Performance System (SPAS).

A complete summary of all work requests is available by clicking **View Complete Work Request Matrix**. In this view the status of each inspection activity is listed, along with links to view further detail.

Clicking on the upper of the two links under SAI opens a menu of those elements for which SAI inspections are in progress, that is, those that have not yet been saved to the Data Repository, as illustrated by Figure 3-3.

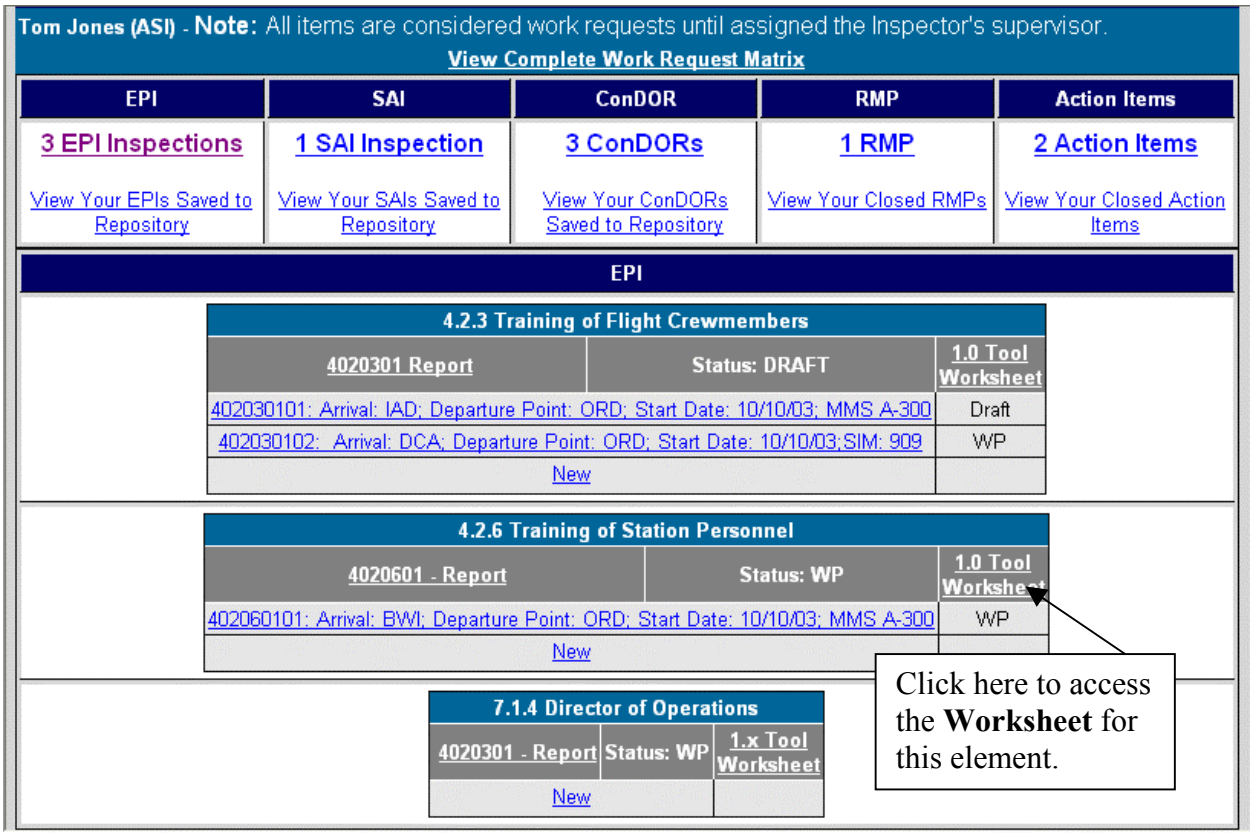


Figure 3-3: Unified Work Requests Page With Open EPI Records

Clicking on the lower of the two links under EPI opens a menu of those elements for which EPI inspections are saved to the Data Repository, as illustrated by Figure 3-4.

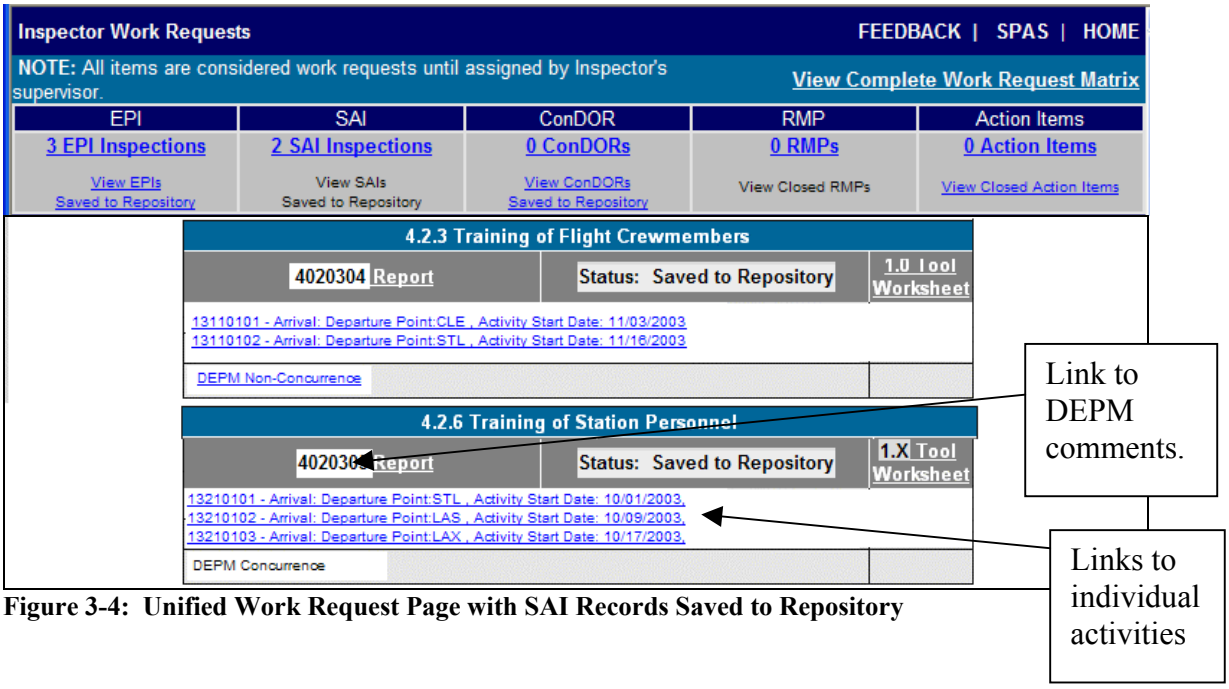


Figure 3-4: Unified Work Request Page with SAI Records Saved to Repository

Inspections, which typically require multiple Activities, are tracked by their unique Record IDs; while each Activity within an Inspection is tracked with its own Activity ID. To submit an Inspection to the DEPM for concurrence or non-concurrence, all Inspection questions must be answered. However, it is not necessary that they all be answered in one Activity. The Inspection consists of all of its Activities together, so as long as each question is answered in at least one Activity it does not matter if individual Activities contain unanswered questions.

Records that are saved to the data repository will be clearly identified as having DEPM Concurrence or Non-Concurrence, as illustrated in Figure 3-4. To view the DEPM comments, as illustrated in Figure 3-5, click on the DEPM Non-Concurrence link, as annotated on Figure 3-4.

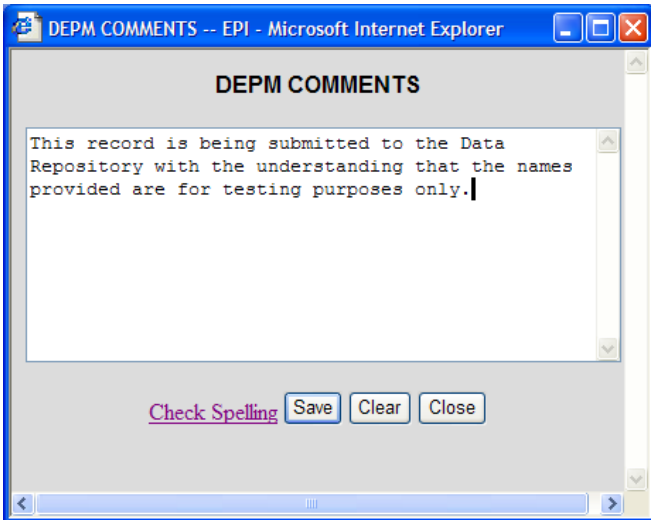


Figure 3-5: DEPM Comments for Non-Concurrence

The **Worksheet** button that appears just below the DCT designation under the element banner of the EPI work requests (annotated on Figure 3-3) provides access to information about this inspection element without actually beginning an inspection activity. All of the questions are listed, with space sufficient for the Inspector's notes, so that a printed copy may be used to gather information during the inspection. While viewing the Worksheet on line, the Inspector may access the Summary, Figure, Surveillance Documents, and Tasks pages that are available on the EPI Activity Report screen. These links are described in Section 3.3.1, EPI Activity Screen Layout.

The EPI Activity Work Request screen provides access to the EPI screen. You can access the EPI screen in three different modes:

- To begin a new Activity, click the New link that follows the list of activities in progress (if any) below the record heading under an element.

- To edit or view an existing Draft or Work-in-Progress, click the activity link, identified by Activity ID number and information that you previously entered on the EPI screen. A *Work-in-Progress* is an activity that you are personally working on and would like to review or complete. Only you can view it while in Work-in-Progress status. Draft status allows your surveillance results to be viewed by others.

- To view a Final Report, click the report link. Changes cannot be made to a Final report.

3.2 Element Performance Inspection (EPI) Screen

The EPI screen (Figure 3-6) provides a facility for recording, editing, and tracking information for each Activity Report.

The EPI screen changes as the status of a record progresses from work-in-progress through draft and on to final status. The "Activity Status:" message in the upper right corner of the screen changes to reflect the current status. In addition:

- The **Delete This Activity** button is only available when viewing an activity in Work-In-Progress status.
- All three **Save as** buttons located at the bottom of the screen are available when the activity is first entered. Once the activity is saved as a Work in Progress, the **Save as WIP** button disappears and only the **Save as Draft** and **Save as Final** buttons are available. During the Draft status, both the **Save as Draft** and **Save as Final** buttons appear on the EPI screen because an activity can be saved as a Draft multiple times.
- There are no **Save as** buttons at all once an activity has been saved in Final status.
- A warning message appears each time you use one of the three **Save as** buttons, informing you of the consequences of saving in that particular status. To confirm the particular Save as action, click **OK.**

Figures 3-6 to 3-12 illustrate the changes in the EPI screen as you progress through the various activity statuses.

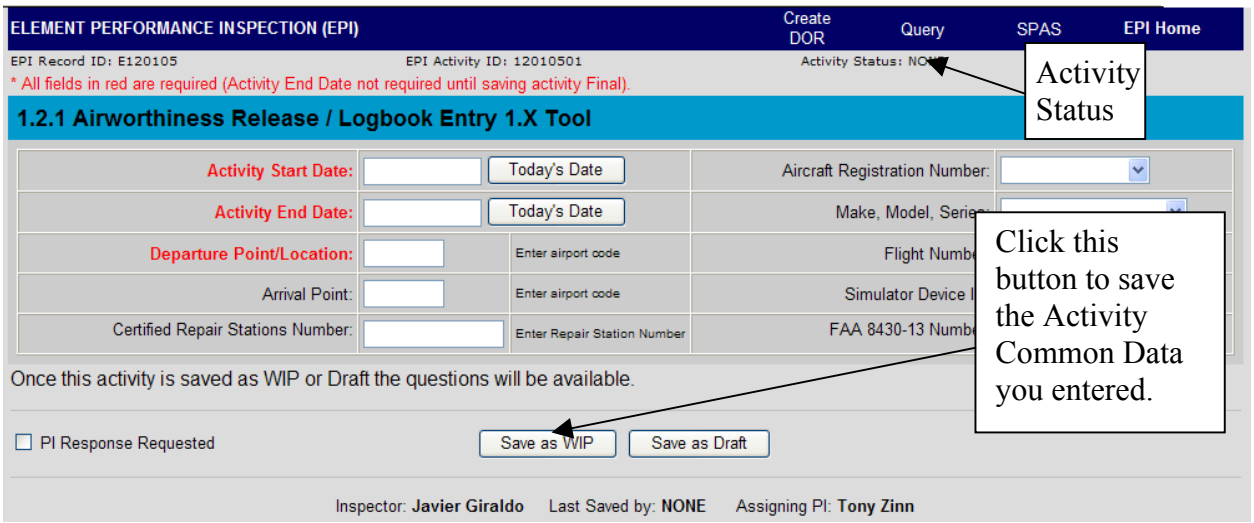


Figure 3-6: EPI Screen, as Viewed When First Accessed

Activity tracking information is recorded in the Common Data Field of the EPI screen. An Activity Start Date and Departure Point/Location are required. If you attempt to go directly to the Activity Report screen without entering a date, you are prompted to do so; if you attempt to Save as WIP without entering a Departure Point/Location, you are prompted to do so.

Auto-fill the Start Date with the Today's Date by clicking on the button so labeled, or click in the **Activity Start Date** box to open a calendar from which a date can be selected. A start date that is after the current date will not be accepted. As stated in the Surveillance Reporting Guidelines, the Activity End Date should also be entered routinely, and any other available Common Data information should also be entered at this time. The input of the Activity End Date is required before saving the Activity to Final status. An auto-fill button is also available for the End Date.

Click the **Save as WIP** button to save this tracking information. When an activity is saved as Work in Progress, it is only available to the inspector, ASAs, and ASTs of the air carrier.

Click the Continue to Activity Report link to access the EPI Activity Report screen.

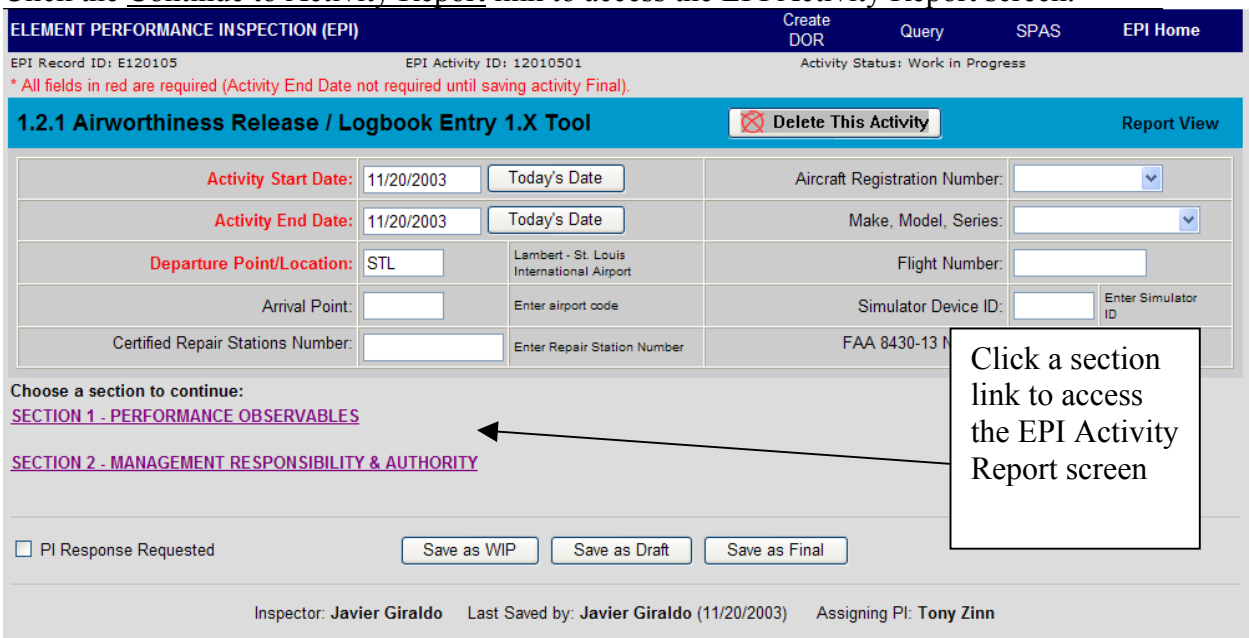


Figure 3-7: EPI Screen, WIP with Common Data Field Available Information Added

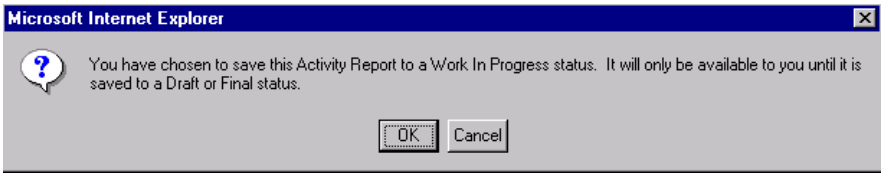


Figure 3-8: Warning/Confirmation Dialog Box, Saving to WIP Status

ELEMENT PERFORMANCE INSPECTION (EPI) | Create DOR | Query | SPAS | EPI Home

EPI Record ID: E120105 EPI Activity ID: 12010501 Activity Status: Draft

* All fields in red are required (Activity End Date not required until saving activity Final).

1.2.1 Airworthiness Release / Logbook Entry 1.X Tool N12345 Report View

Activity Start Date:	11/20/2003	Today's Date	Aircraft Registration Number:	
Activity End Date:	11/20/2003	Today's Date	Make, Model, Series:	
Departure Point/Location:	STL	Lambert - St. Louis International Airport	Flight Number:	
Arrival Point:		Enter airport code	Simulator Device ID:	Enter Simulator ID
Certified Repair Stations Number:		Enter Repair Station Number	FAA 8430-13 Number:	

Choose a section to continue:

SECTION 1 - PERFORMANCE OBSERVABLES

SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY

☐ PI Response Requested Save as Draft Save as Final

Inspector: **Javier Giraldo** Last Saved by: **Javier Giraldo** (11/20/2003) Assigning PI: **Tony Zinn**

Figure 3-9: EPI Screen, Draft Status

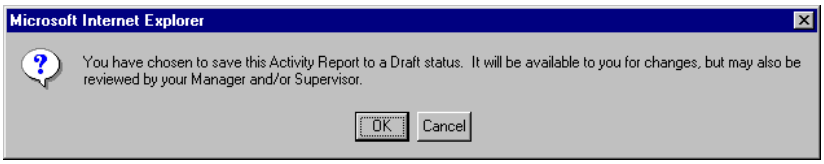


Figure 3-10: Warning/Confirmation Dialog Box, Saving to Draft Status

ELEMENT PERFORMANCE INSPECTION (EPI) | Create DOR | Query | SPAS | EPI Home

EPI Record ID: E120105 EPI Activity ID: 12010501 Activity Status: Final

* All fields in red are required (Activity End Date not required until saving activity Final).

1.2.1 Airworthiness Release / Logbook Entry 1.X Tool N12345 Report View

Activity Start Date:	11/20/2003	Today's Date	Aircraft Registration Number:	
Activity End Date:	11/20/2003	Today's Date	Make, Model, Series:	
Departure Point/Location:	STL	Lambert - St. Louis International Airport	Flight Number:	
Arrival Point:		Enter airport code	Simulator Device ID:	Enter Simulator ID
Certified Repair Stations Number:		Enter Repair Station Number	FAA 8430-13 Number:	

Choose a section to continue:

SECTION 1 - PERFORMANCE OBSERVABLES

SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY

☐ PI Response Requested

Inspector: **Javier Giraldo** Last Saved by: **Javier Giraldo** (11/20/2003) Assigning PI: **Tony Zinn**

Figure 3-11: EPI Screen, Final Status

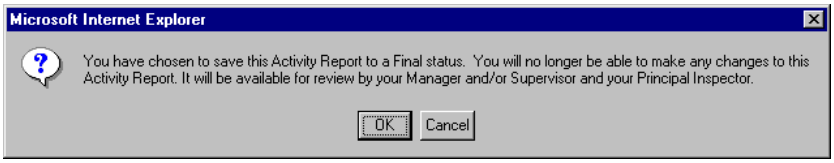


Figure 3-12: Warning/Confirmation Dialog Box, Saving to Final Status

3.3 EPI Activity Report Screen

The EPI Activity Report screen is used to record the results of your element surveillance activity.

3.3.1 EPI Activity Report Screen Layout

Access the EPI Activity Report screen (Figure 3-13) by clicking the appropriate section link on the EPI Activity Home screen.

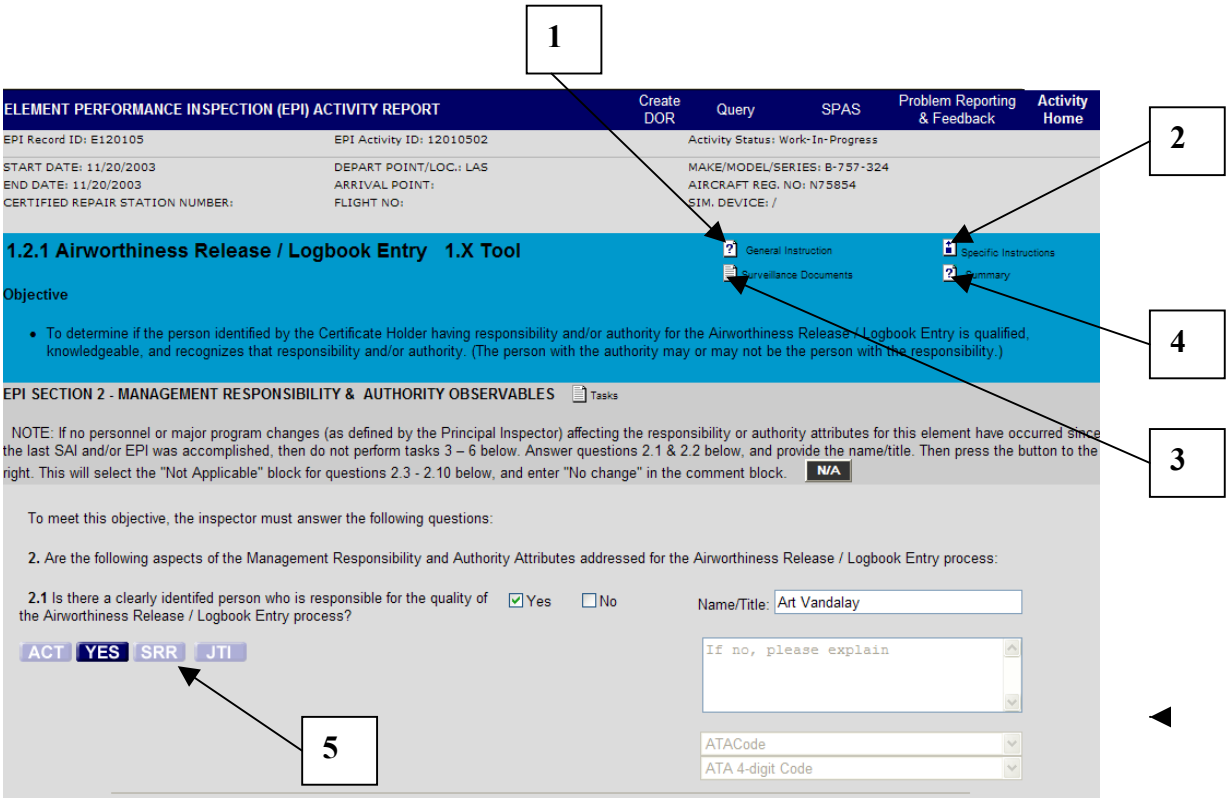


Figure 3-13: EPI Activity Report; Information Links Are Numbered

The Activity Report screen provides both space to record the results of your surveillance activity and access to reference materials.

Four small icons and a set of question-related buttons link to sources of information concerning element-specific EPI surveillance requirements and ATOS usage.

1. A link to a **General Instructions** document in PDF format is provided. You may open it and read it on line or download it to your own computer for future reference

2. Specific Instructions job aid (Figure 3-14) explains the intent and purpose of each element and how to accomplish the intent.

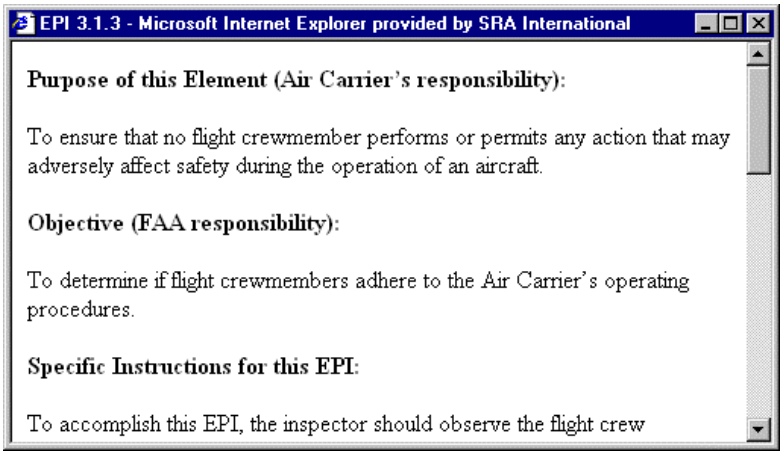


Figure 3-14: Specific Instructions Screen

3. Surveillance Documents (Figure 3-15) are links to ATOS Policies and Procedures that provide guidance: ATOS Surveillance Reporting Guidelines, ATOS Surveillance Implementation Guidelines, ATOS Surveillance Planning Guidelines, and ATOS Data Quality Guidelines.

Figure 3-15: Surveillance Documents Screen

4. Tasks (Figure 3-16) lists the activities you need to accomplish to complete the EPI.

AIRWORTHINESS RELEASE / LOGBOOK ENTRY (AW) Close

TASKS

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

1 Identify the person who has overall responsibility for the Airworthiness Release / Logbook Entry process.

2 Identify the person who has overall authority for the Airworthiness Release / Logbook Entry process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the duties and responsibilities for the person(s) who manage the Airworthiness Release / Logbook Entry process documented in the Certificate Holder's manual.

4 Review the appropriate organizational chart.

5 Discuss the Airworthiness Release / Logbook Entry process with the management personnel identified in Tasks 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

Figure 3-16: Tasks Screen (Sample)

5. Question Specific Buttons

ACT is active and shaded in dark blue if the question has been checkmarked in the **No** box. Clicking on this button brings you a window (Figure 3-17) for writing the specific action taken.

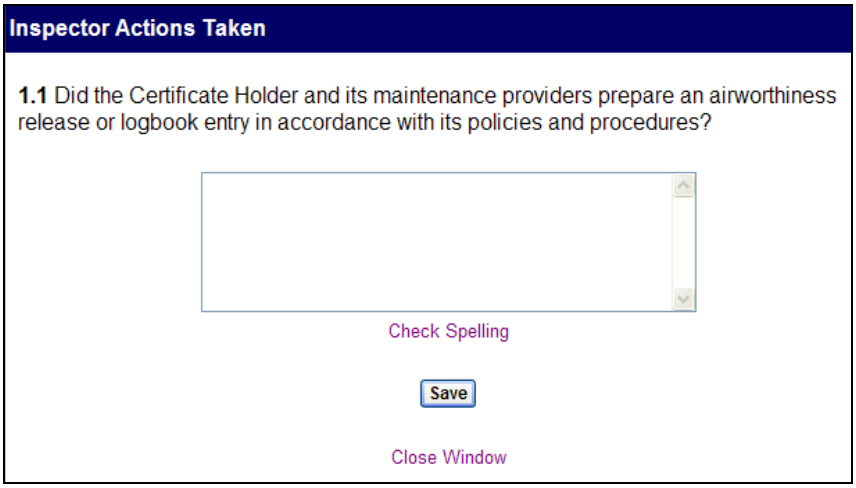


Figure 3-17: Inspector Actions Taken Window

YES is active and shaded in dark blue if the question has been checkmarked in the **Yes** box. Clicking on this button brings you a window (Figure 3-18) for any comments you would like to add to the record.

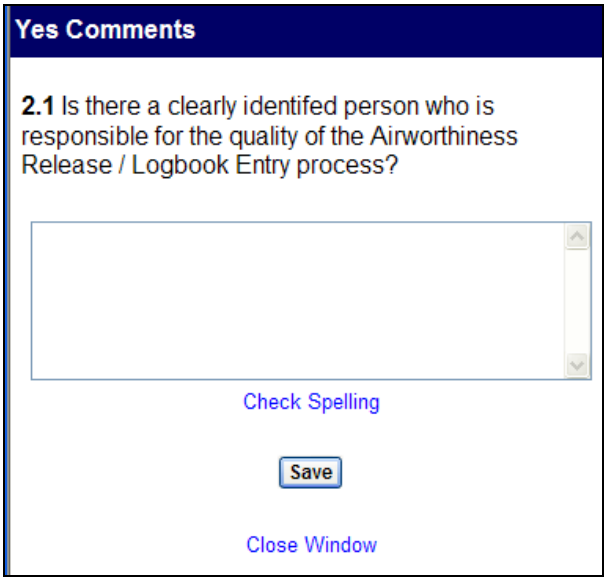


Figure 3-18: Yes Comments Window

SRR is active and shaded in dark blue if there are Specific Regulatory Requirements related to this question. Clicking on this button brings you a window (Figure 3-19) showing the question and listing each of the related SRRs.

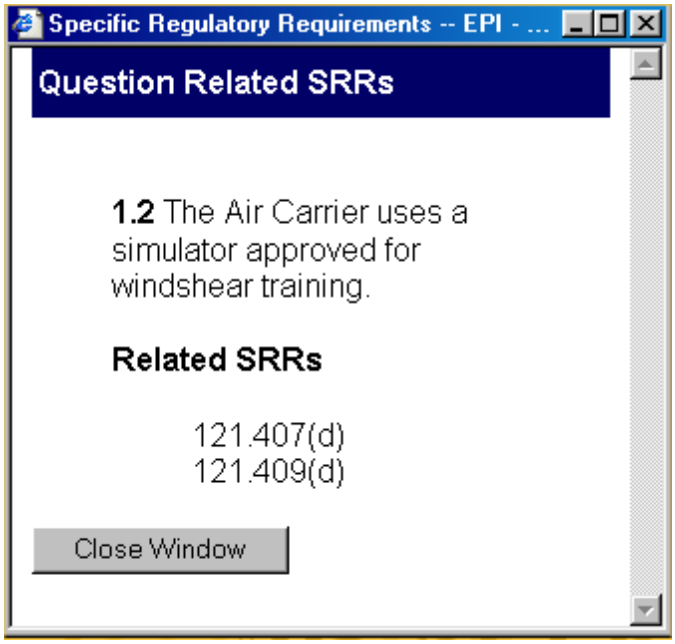


Figure 3-19: Question Related SRR Pop-up Window

3.3.2 EPI Activity Report Screen Usage

Surveillance results are recorded on the EPI Activity Report using **Yes, No,** and (in some cases) **N/A** check boxes. Text boxes are used to enter explanations of No or N/A determinations. Answers to Questions may be changed, but saving your "new" answer by clicking on the Save button will delete any comments you entered that were used to explain your "old" answer. When you change an answer, a window will pop up reminding you of this. Click **OK** to acknowledge the warning, close the window, and continue.

To record your surveillance determinations, check the **Yes** or **No** box as appropriate (Figure 3-13). It is not necessary to respond to every item of the Activity, although an Inspection record cannot be saved as Final until all items have been responded to in at least one of the Inspection's Activities.

Checking the **No** box opens a "Drop Down Menu" (Figure 3-20) to classify your answer.

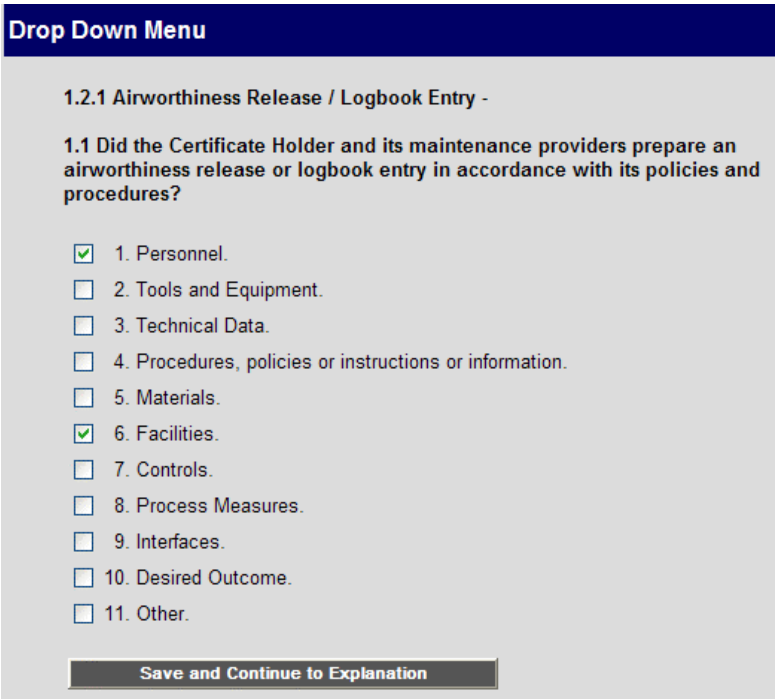


Figure 3-20: Drop Down Menu to Classify a "No" Response

Click in the box next to one or more categories, then click on the **Save** bar along the lower edge. When you do so, you will return to the question and see the values you have chosen displayed beneath the comment field, where you will enter additional detail. This is illustrated in Figure 3-21.

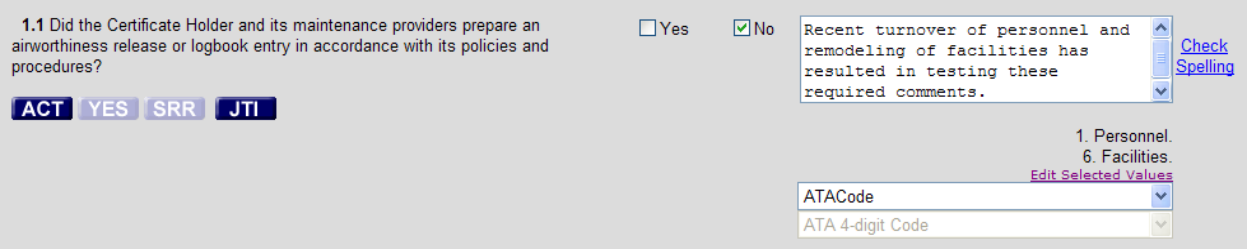


Figure 3-21: Selected Drop Down Menu Values Noted for Question

No responses require an explanation. Enter the Who, What, Where, When, Why, and How that motivated your No response. The explanation should be complete and descriptive enough for other CMT members to understand without follow-up.

If you have marked a **No** response, the **ACT** button will be active and shaded in dark blue. Click on the **ACT** button to open the window that will allow you to detail what action you have taken.

Depending on circumstances a **Yes** or **No** answer might not be appropriate. For example, questions regarding passengers are not relevant when surveying cargo carriers. The **N/A** response is provided for these occasions only, and should not be used for any other reason. **N/A**

responses also require an explanation. Click the text box to the right of the check boxes, labeled **If no or N/A,** explain and enter the explanation.

Some surveillance questions require recording the name of a responsible party. As explained in the ATOS Surveillance Reporting Guidelines (accessible at any time by clicking the Surveillance Documents icon), a workgroup or committee can be the responsible party and, if this is the case, you may enter the name of the leader of the workgroup/committee or simply a general name for the group. If a single individual is solely responsible, you can enter that name. Click the text box beside the word **Name** and enter either the individual or the group/committee name. Enter personal names in first name then last name format.

If you have marked a **Yes** response, the **Yes** button will be active and shaded in dark blue. You have the *option* of entering comments to elaborate on your findings. To do so, click on the **Yes** button to open the text window for this purpose.

As always, any significant issues or items of immediate concern should be verbally conveyed to the PI in a timely manner.

3.3.3 Saving EPI Activity Reports

The bottom of every EPI Activity report screen provides a **Save** button used to save the EPI Activity Report data (Figure 3-22). Clicking the **Save** button saves the current EPI Activity Report data but does not change the active screen. To exit the EPI Activity Report screen and access the EPI screen, click the Activity Home link located in the top right corner of the EPI Activity Report screen (Figure 3-23).

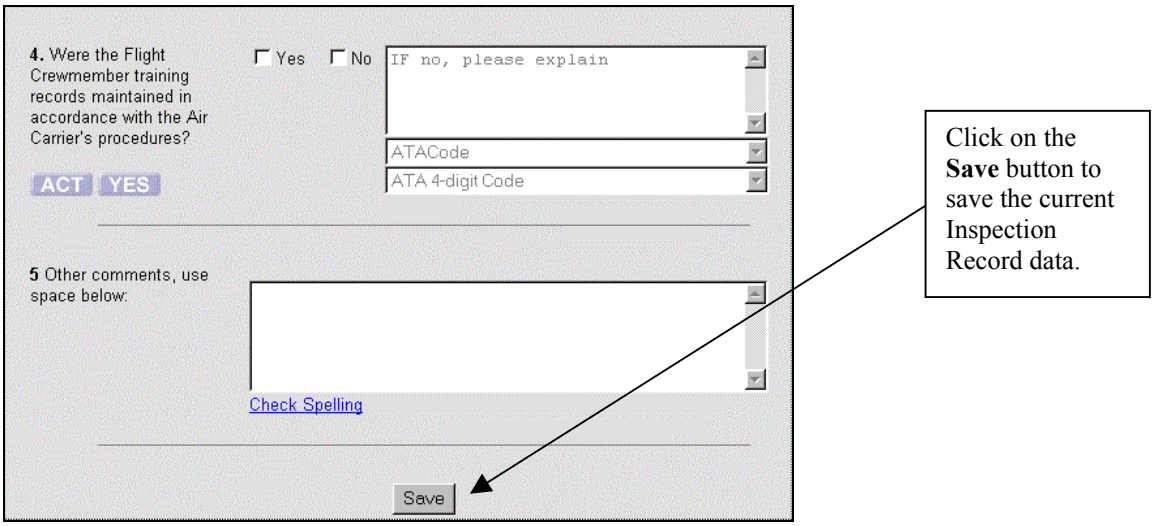


Figure 3-22: EPI Activity Report - Excerpt - Bottom Shows "Save"

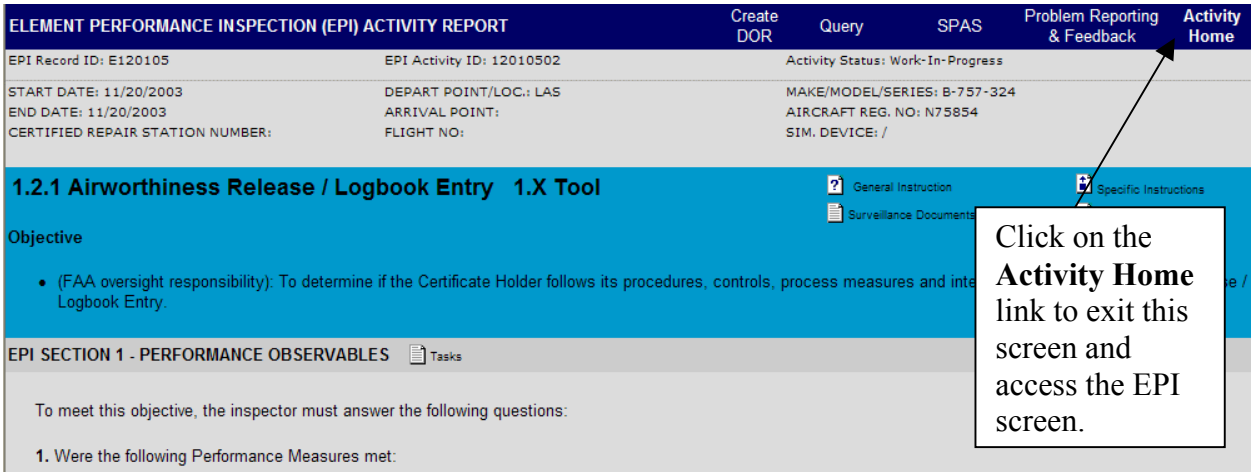


Figure 3-23: EPI Activity Report - Excerpt – Top Shows "Activity Home" Link

The EPI screen displays buttons used to save the Activity Report. In WIP status, three buttons are displayed, the **Save as WIP, Save as Draft,** and **Save as Final** buttons (Figures 3-6 and 3-7). In Draft status, only two buttons are displayed, the **Save as Draft** and **Save as Final** buttons (Figure 3-9).

An Activity Report can be saved in Work-in-Progress**,** Draft, or Final status at any time. However, once saved as a Draft, the status cannot revert to Work-in-Progress and, once saved as Final, the status cannot revert to Draft or Work-in-Progress. While in Work-in-Progress status, you are the only person who can view or edit the Activity. While in Draft status**,** your supervisor/manager can view the Activity, but you remain the only person who can edit it. Once all information is complete and the Activity has been saved as a Draft, you may save the report as Final. You do not have to respond to all of the items in an Activity Report to save it as Final. Once you save an Activity as Final, you will automatically be returned to the work request page, since no other editing can take place on that Activity.

Activity Reports saved as Final are not yet saved to the ATOS Data Repository but are available for review by your DEPM. To save an Activity Report to the ATOS Data Repository:

- Access the EPI Activity Work Request's detail from the Unified Work Requests page (Figure 3-3
- Under an EPI header, click the <number> Report link to access the EPI Activity Record screen (Figure 3-24).

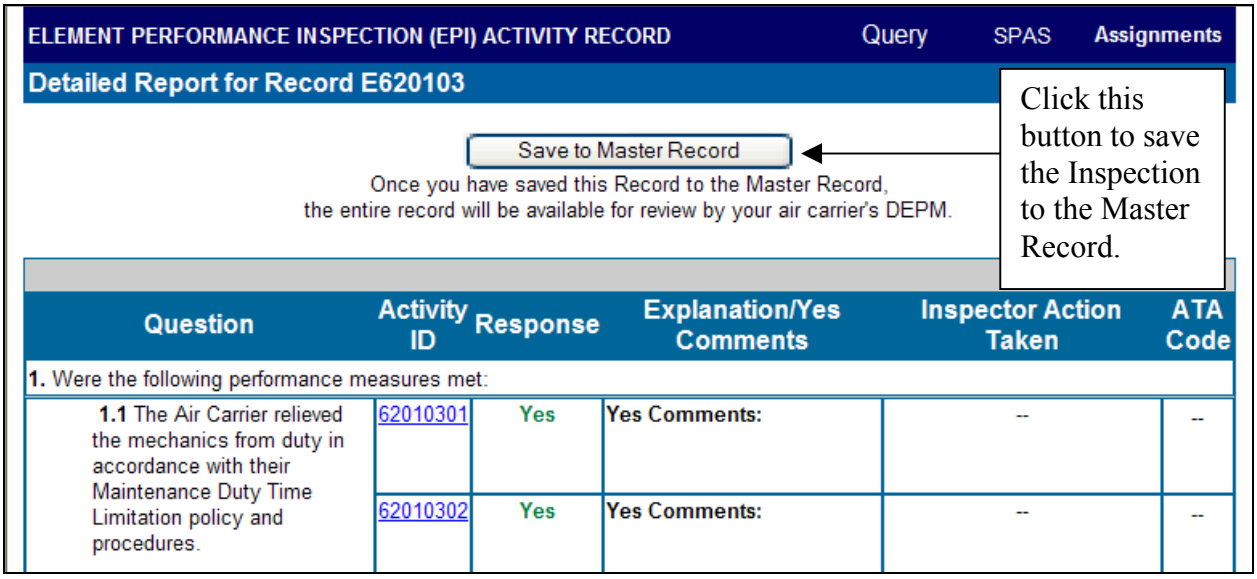


Figure 3-24: EPI Activity Record Excerpt, with Save to Master Record Button

- On the EPI Activity Record screen, click the **Save to Master Record** button (Figure 3-24). This will allow the DEPM to view the complete EPI for evaluation. This button is only available when all questions have been answered at least once, so there is no possibility of inadvertently saving an incomplete Inspection.

3.4 Returned Inspections Notification

The Data Evaluation Program Manager (DEPM) reviews all inspection records to check the validity, accuracy, technical relevance, and completeness of the collected information before its release to the ATOS Data Repository. The DEPM may concur, not concur, or return the activity report to the ASI. When the DEPM returns the questioned activity report to the ASI, it reverts to Draft status and revision by the ASI is required.

The Returned Inspection Notification window is automatically displayed each time an Inspector with returned inspections accesses ATOS (Figure 3-25). The Notification lists all returned inspections (Records or Activities saved Final). The returned Inspection window remains active and is displayed each time the Inspector accesses ATOS until the given record or activity is saved Final again.

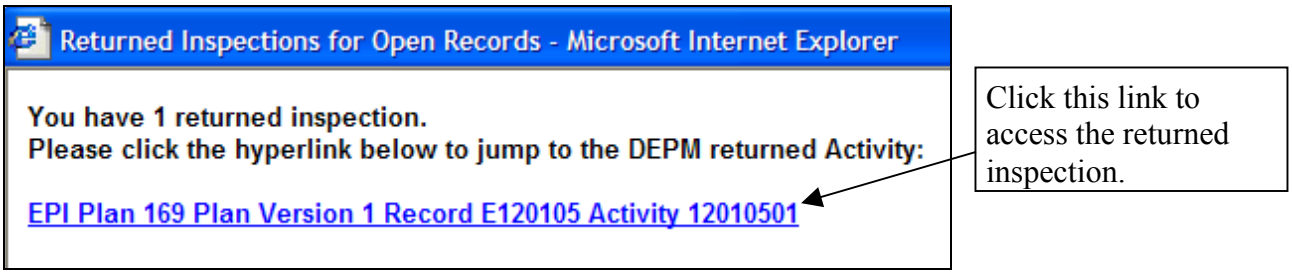


Figure 3-25: Returned Inspections Notification Window

Each item listed in the Returned Inspections Notification is a link. Click the link to access the Unified Work Requests page (Figure 3-26) and links to the returned record and the DEPM comments (Figure 3-27).

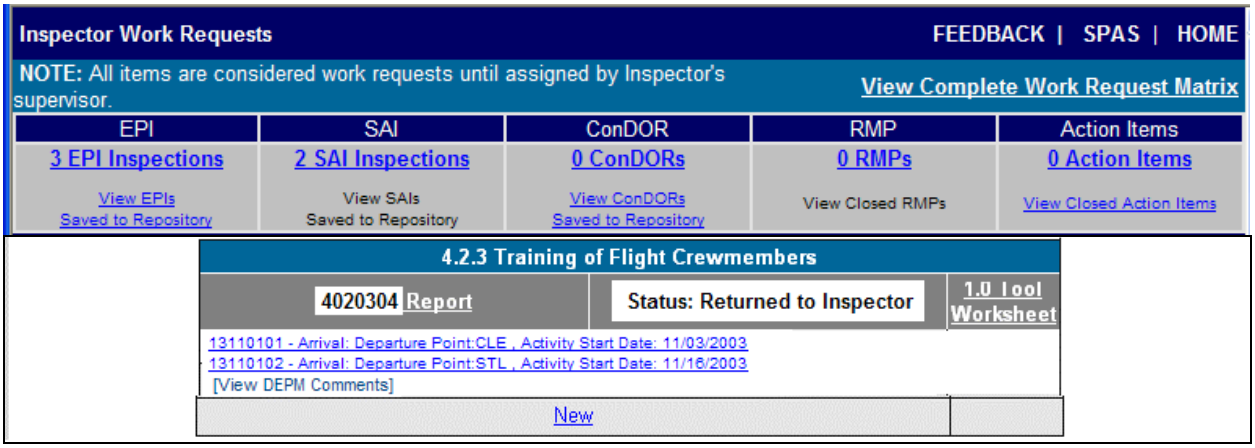


Figure 3-26: EPI Activity Work Requests Screen with Returned Inspection

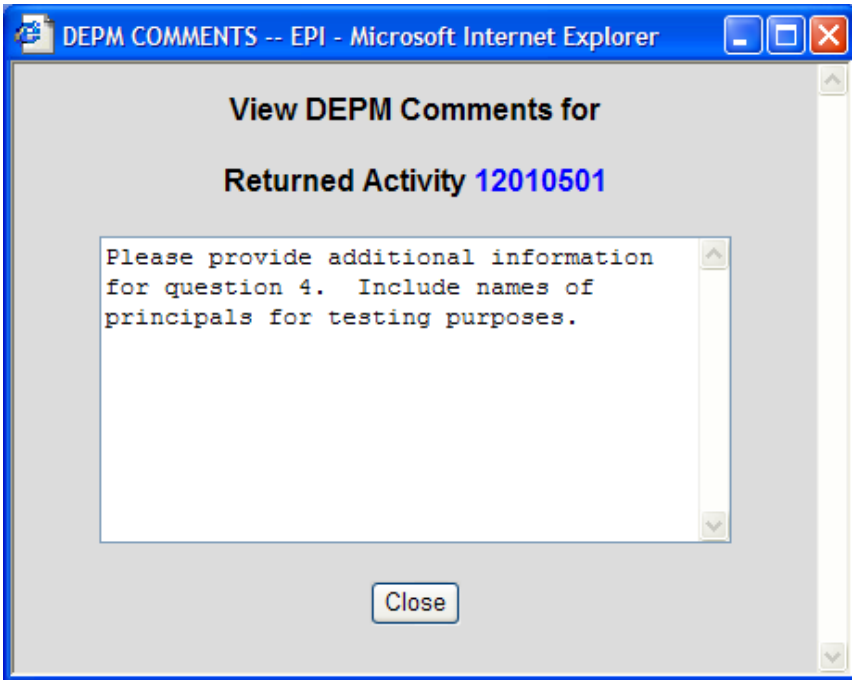


Figure 3-27: DEPM Comments Regarding a Returned Inspection

To continue work on a returned inspection, click the New link to begin a new inspection activity and proceed with the inspection using standard ATOS procedures.

3.5 Principal Inspector Responses to NO's

Principal Inspectors have a link "PI Response to NO's" on the CSP EPI main page. This link provides on one page the ability for PIs to view inspector explanations and other PI comments as well as provide their own comments for all questions that have been answered "No" by an Inspector.

From your Home Page, Figure 3-28, click on **Comprehensive Surveillance Plan** to view the submenu. An example of the submenu is shown in Figure 3-29.

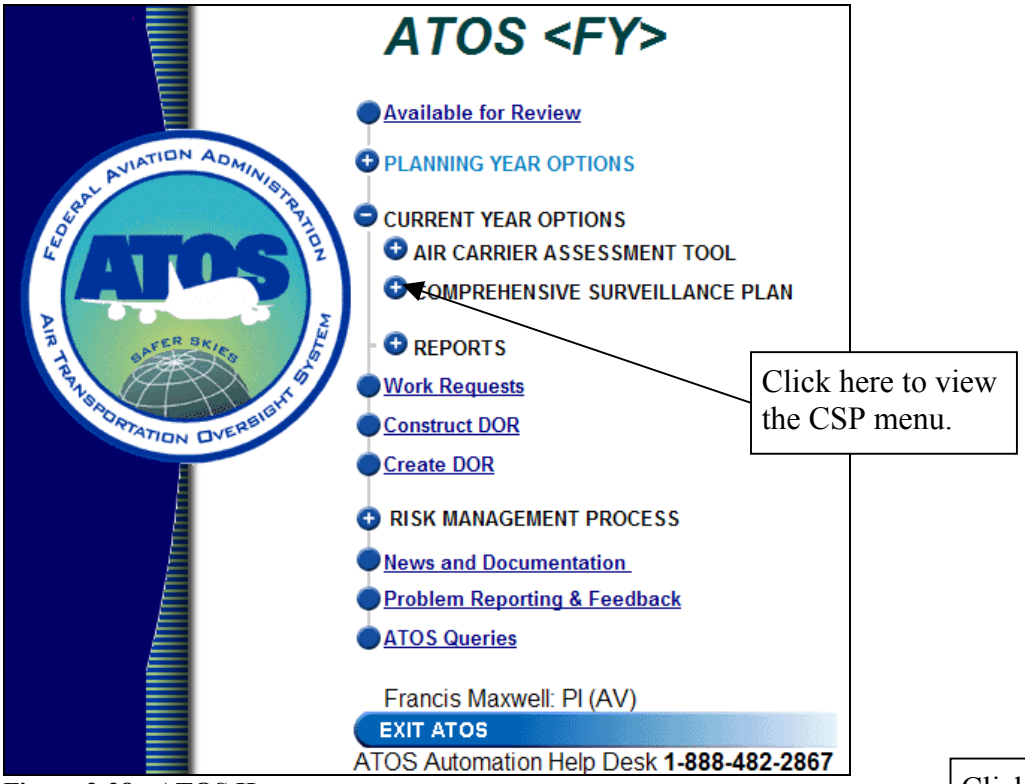


Figure 3-28: ATOS Home

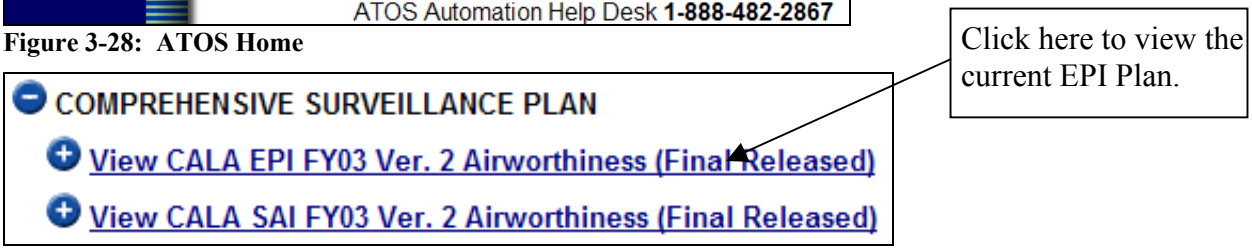


Figure 3-29: CSP Menu (Excerpt)

From the CSP menu, choose **View <air carrier> EPI <fiscal year> <version number> <Technical Discipline> <status>.**

The **Comprehensive Surveillance Plan** for your Air Carrier and Specialty is shown, as illustrated by Figure 3-30.

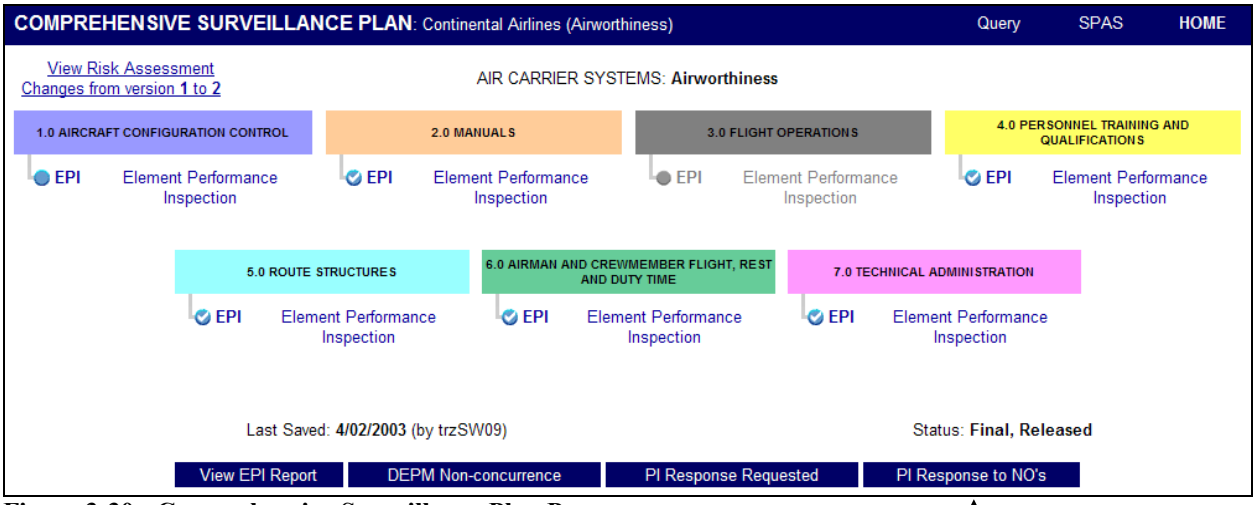


Figure 3-30: Comprehensive Surveillance Plan Page

Click here to open a report of PI Responses to NO's.

From the toolbar on the lower edge of the **Comprehensive Surveillance Plan**, click on the **PI Response to NO's** button on the far right. This report will default to the presentation of all new (i.e., not yet reviewed) records having submission dates within the past 2 weeks. The header for the next window after filters have been added is illustrated in Figure 3-31.

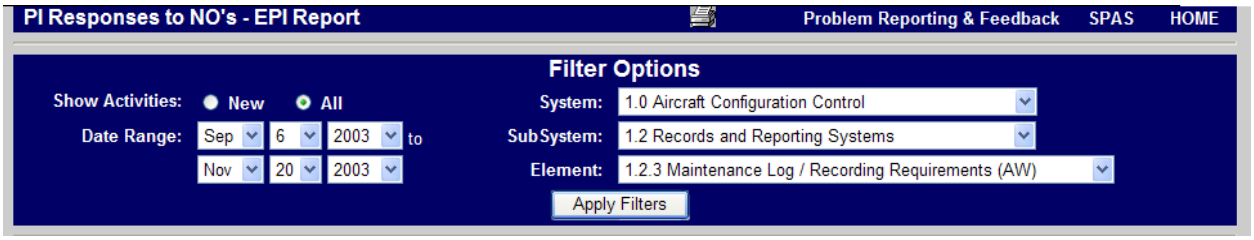


Figure 3-31: Header for PI Responses to NO's

3.5.1 Using Filters to Change the Information Presented

The default view for this screen is activities from the last 2 weeks that have not previously been viewed. The ways the data presented may be filtered to present the information most useful to you are explained below. After specifying one or more of the following, click on the **Apply Filters** button to see the revised set of data.

Show ALL Activities

Instead of seeing just those activities you have not viewed, this option will present **all** of the activities for the time period shown, including those you have already viewed.

Change the Date Range

The Date Range portion of the Filter Options is shown as Figure 3-32. Click on the down arrows on the right side of the Month, Day, and Year fields of the first (start) date and the second (end) date to display other choices. Click on the value to replace the ones already appearing.

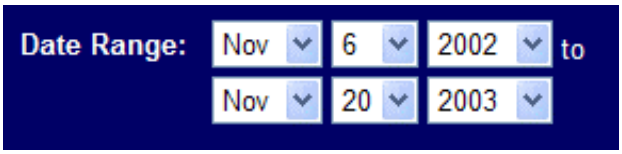


Figure 3-32: Date Range Filter

Select a System, Subsystem, or Element

Click on the arrow to the right of the field for System, Subsystem, or Element and choose from the drop down listing. When you do, your choice will appear in the field window.

> **Note:** If you are choosing an Element, it is not necessary to specify the associated system or subsystem. Likewise, if you are choosing a Subsystem, it is not necessary to also choose the associated System.
>
> **Caution:** If you choose a System, then click to see the drop down listing of Subsystems, you will see *all* Subsystems, not just those under the System you have chosen. Choosing a Subsystem that is not part of the chosen System will never return any data, since no Activity would meet both criteria. Likewise, choosing an Element that is not part of a chosen System or Subsystem will result in no data being found.

3.5.2 Viewing and Adding Comments to the Information Presented

Banners at the beginning of each section identify the beginning of a new Activity, Record, Element, or Plan. Figure 3-33 is an illustration of this.

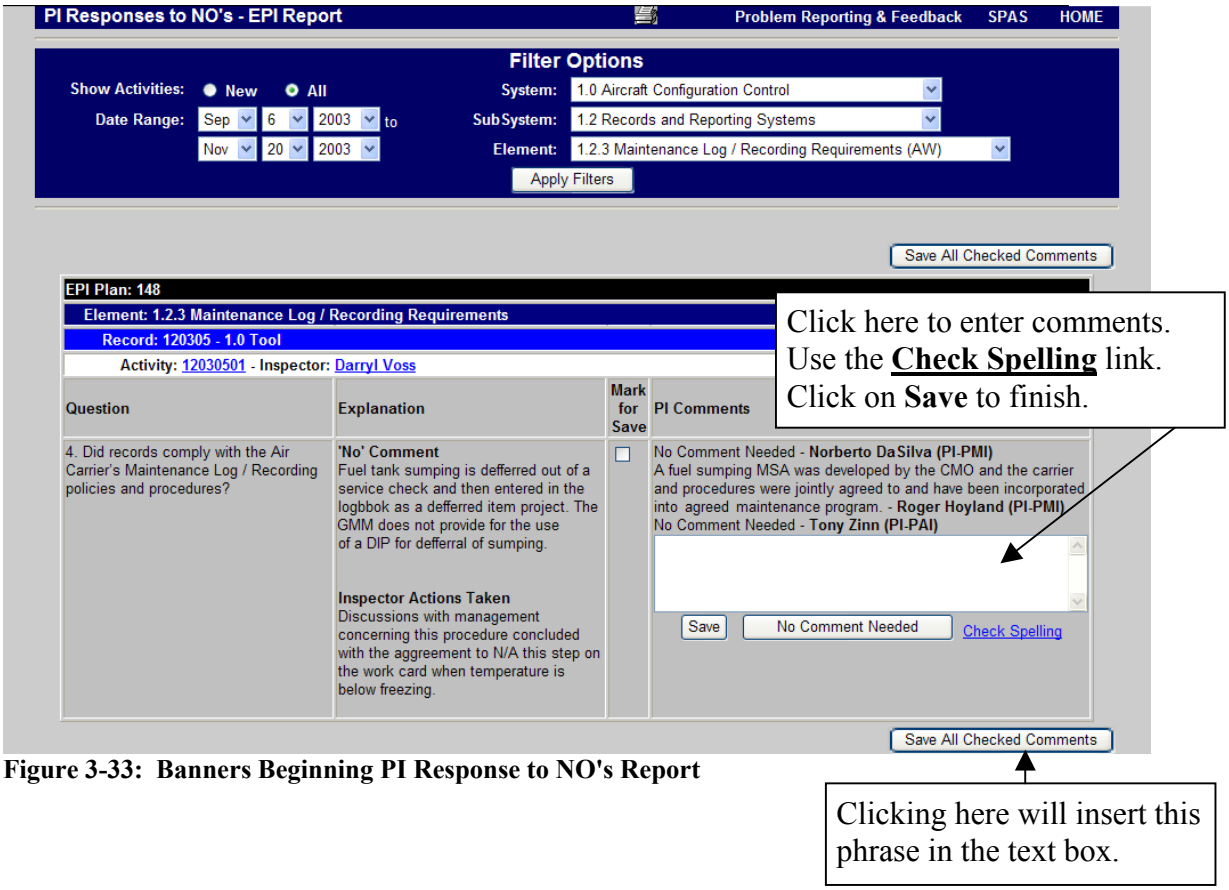


Figure 3-33: Banners Beginning PI Response to NO's Report

Click on the **Inspector's Name** to view contact information for that Inspector.

Click on the **Activity Number** to view all the details of that Activity. Once you have done so, the Activity will be removed from the default view. (You may still see it by changing the "New" filter to "All".)

Click anywhere in the field below the header of **PI Comments** to enter your text. The cursor will automatically be in the upper left corner of the field.

The **Check Spelling** tool is available to check what you have entered for spelling errors.

Click the **Save** button to save your comments. Please note: Clicking this **Save** button saves only the information in the text box and not the entire page. When you click on the **Save** button, the page is "reset" and the filter options return to the default values. Alternately, you may check the small box in the column just left of the comment column, instead of using the **Save** button after each entry. If you do this, then the page is not "reset" until you click on the **Save All Checked Comments** button when you are ready to save all the comments you have entered. There is a

Save All Checked Comments Button both at the beginning, and at the end of the listing. Please note that if the individual **Save** button is not used, then a comment marked for save will only be saved when the **Save All Checked Comments** button is used.

3.6 Activity Status Report Options

EPI Activity Reports are available that display Activities grouped by element, along with a summary of "Yes" and "No" responses, common data, and links to the complete activity report. You have the opportunity to limit the information presented to that which is most useful to you.

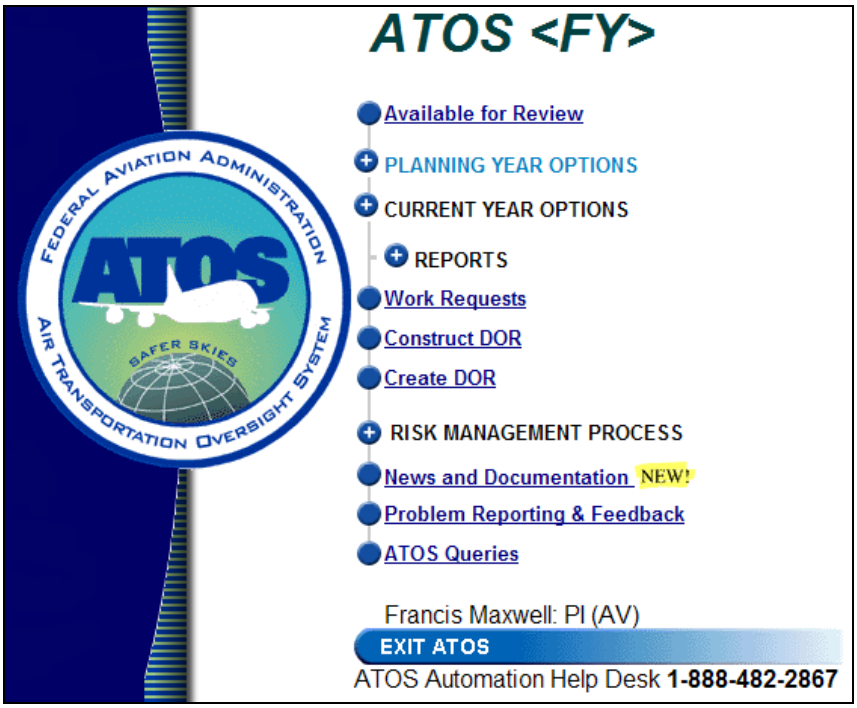


Figure 3-34: ATOS Home Page

From the ATOS Home Page, Figure 3-34, clicking on the circled plus sign to the left of **REPORTS**, brings you a submenu that includes a link to **Activity Reports**, as shown in Figure 3-35.

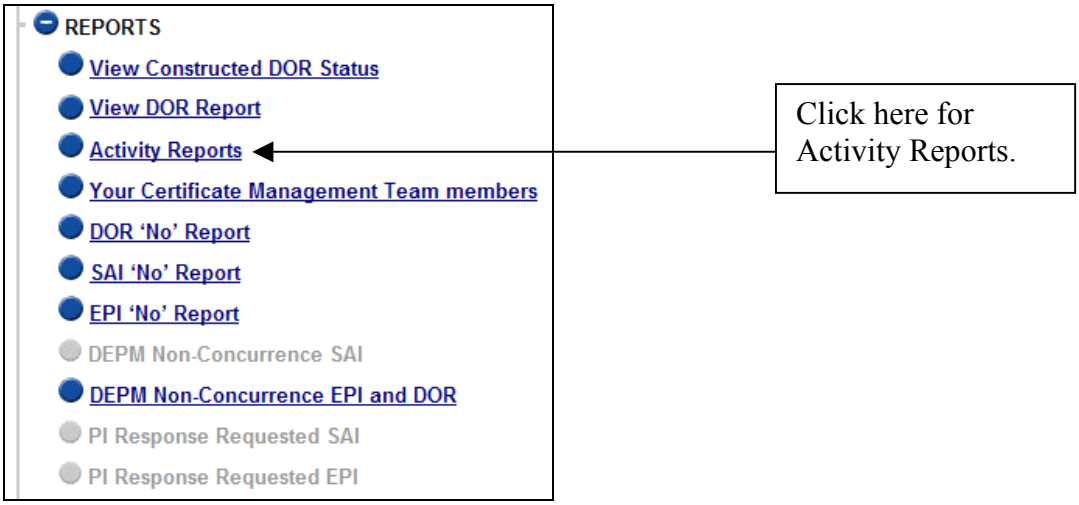


Figure 3-35: Reports Menu

Clicking on the **Activity Reports** link brings you to Figure 3-36.

Figure 3-36: Header for the Activity Reports – Activity View

3.6.1 Using Filters to Change the Information Presented

The default view for this screen is activities from the last 2 weeks that have not previously been viewed, including DORs. The data may be filtered to present the information by using a variety of utilities, described below. After specifying one or more of the following, click on the **Apply Filters** button to see the revised set of data.

Show ALL Activities

Instead of seeing just those activities you have not viewed, this option will present **all** of the activities for the time period shown, including those you have already viewed.

Change the Date Range

When you click on the start or end date, a floating calendar will pop up to accept changes to the month, day, or year.

Exclude DORs

Click in the box next to this label to exclude DORs from the presentation.

Select a System, Subsystem, or Element
Click on the arrow to the right of the field for System, Subsystem, or Element and choose from the drop down listing. When you do, your choice will appear in the field window.

> **Note:** If you are choosing an Element, it is not necessary to specify the associated system or subsystem. Likewise, if you are choosing a Subsystem, it is not necessary to also choose the associated System.
>
> **Caution:** If you choose a System, then click to see the drop down listing of Subsystems, you will see *all* Subsystems, not just those under the System you have chosen. Choosing a Subsystem that is not part of the chosen System will never return any data, since no Activity would meet both criteria. Likewise, choosing an Element that is not part of a chosen System or Subsystem will result in no data being found.

3.6.2 Viewing Activity Data

Banners at the beginning of each section are used to separate the various elements of an inspection that follow the header portion of the Activity Report. The beginning portion of the report below the banner is illustrated in Figure 3-37.

Click here to remove all acknowledged lines from the default view.

EPI — Acknowledge Selected Activities

Continental Airlines

Airworthiness EPI PLAN: 148

1.1.1 Aircraft Airworthiness 1.0 Tool

Inspector Name	Activity ID	Acknowledge	Activity Status	Record Status	Start Date	End Date	Location/ Departure	Arrival Point	# of Yes Responses	# of No Responses
John Herndon	11010506	☑	Final	Saved to Repository	07/01/2003	07/01/2003	OGG		5	0
John Herndon	11010507	☑	Final	Saved to Repository	07/02/2003	07/02/2003	OGG		5	0

1.1.2 Appropriate Operational Equipment 1.0 Tool

Inspector Name	Activity ID	Acknowledge	Activity Status	Record Status	Start Date	End Date	Location/ Departure	Arrival Point	# of Yes Responses	# of No Responses
John Dodds	11020505	☐	Final	Saved to Repository	07/07/2003	07/07/2003	EWR		9	0

Figure 3-37: EPI Section of Activity Report

Click here to check-mark the acknowledge box to remove it from the default view.

The top, darkest banner, identifies this as an Element Performance Inspection.
The next banner identifies the Air Carrier being inspected.
The third banner identifies the type of plan and number.
The next banner specifies the element number and title.

Click on the **Activity ID** link for detailed information about that particular Activity

When you want to remove an Activity line from your default view, click on the small white square under the heading of **Acknowledge**. Before you leave the report, click on the button labeled **Acknowledge Selected Activities**.

4 Dynamic Observation Reports

A Dynamic Observation Report (DOR) is used to record surveillance information that falls outside of the Comprehensive Surveillance Plan (CSP). A DOR may be created by an Aviation Safety Inspector (ASI) or constructed by a Principal Inspector (PI) for completion by one or more ASIs. All DORs, both Constructed and Inspector-initiated, are subject to managerial review and may be returned to the ASI for revision. Managerial personnel, as well as Operation Research Analysts (ORAs), may view completed DORs. PIs may add comments to completed DORs for any question that is not answered "Yes". Upon satisfactory review by the Data Evaluation Program Manager (DEPM), a DOR is released to the ATOS Data Repository. Recorded information is available in the Data Repository for inclusion in Activity Reports or specific Queries.

4.1 Dynamic Observation Reports – Created by Inspector

Use of ATOS Automation to record unplanned surveillance information using the Dynamic Observation Report (DOR) feature is described in this section. The DOR feature allows Inspectors to enter relevant unplanned observations that fall outside of the CSP. These observations may be made either during a regular inspection or when a special need arises. The DOR is intended to capture unplanned observations by Inspectors as well as non-specific observations made during surveillance activities. DORs are immediate in nature and, once submitted, go immediately to Principal Inspectors, ORAs, Managers, and Supervisors of the carrier involved and the DEPM of the carrier reported on.

4.1.1 Links to Create DOR

An Inspector's Home Page (Figure 4-1) includes a link, **Create DOR.**

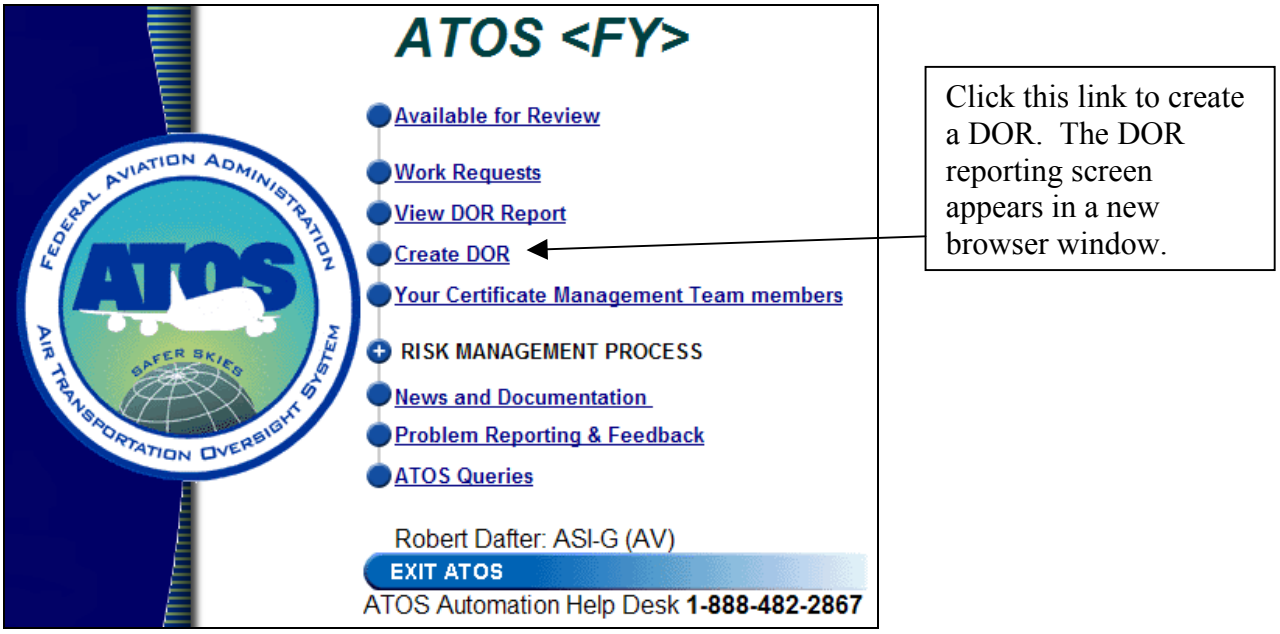


Figure 4-1: ATOS Home Page Showing the Create DOR Link

Additionally, both the EPI Activity pages and the SAI Activity pages contain a link, **Create DOR,** in the title banner at the top of the page.

4.1.2 DOR Reporting Screen

Accessing any "Create DOR" link opens a new browser window with the DOR reporting screen, Figure 4-2, showing tabs for the two options of an **Element-Based Observation** or an **Other Observation.**

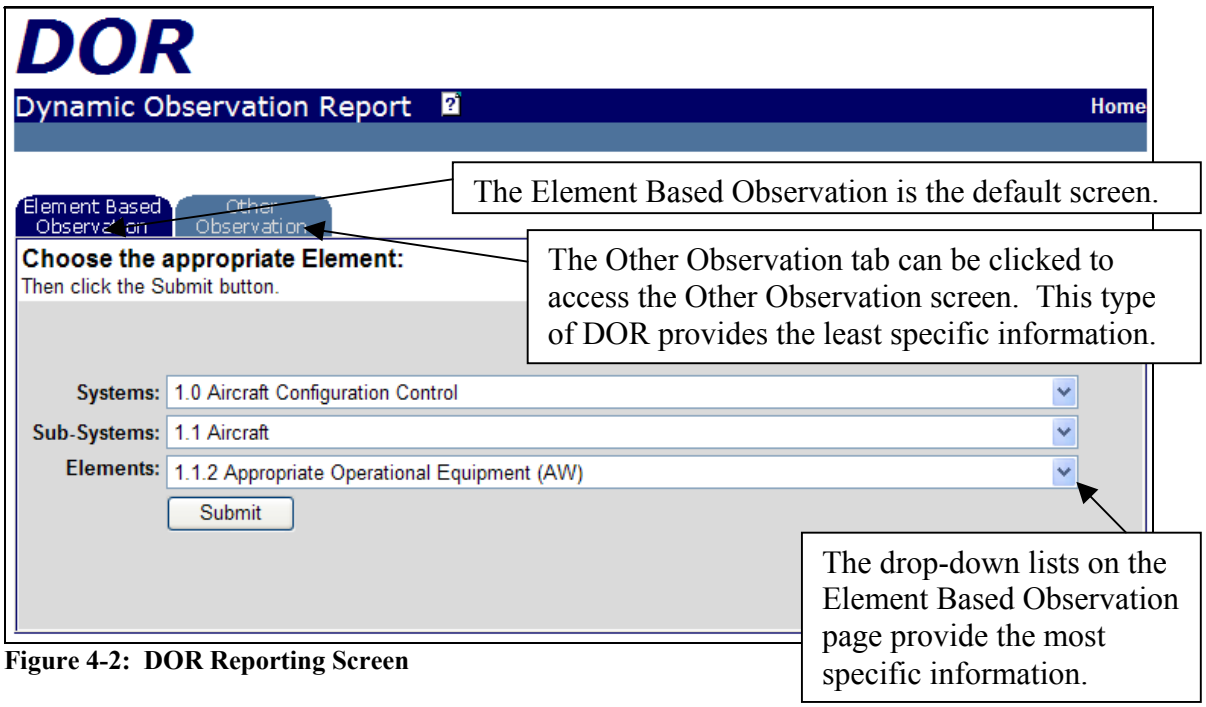


Figure 4-2: DOR Reporting Screen

4.1.2.1 Element Based Observation

Element Based Observations include the questions associated with a selected EPI and allow for the most specific type of DOR reporting. When an element is selected, common data fields and questions from the related EPI Data Collection Tool are presented.

Example: During the course of an EPI inspection, you notice something significant specifically relating to the training of flight attendants that could be adequately documented by answering the usual EPI questions for flight attendant training. However, you are not assigned to EPI 4.2.4, "Training of Flight Attendants." You may enter that observation by clicking a Create DOR link and then entering an Element-based DOR.

An Element Based Observation is the default screen whenever a DOR is opened. You must select the most relevant EPI element relating to the observation. By selecting a System, the Sub-System selections are narrowed. Subsequently, selecting a Sub-System narrows the selections for an Element. You must highlight one Element and click the **Submit** button to continue.

The Common Data fields and questions for the selected EPI then appear (Figure 4-3). There are several differences between an EPI and an Element Based Observation:

- The default value for the Air Carrier is the air carrier to which you are assigned. However, Inspectors can submit a DOR for any air carrier.

- If you are creating the DOR at the request of a principal inspector, complete the Local/Regional/National Use box. For example, type **HBAT**. This information will become valuable to find relationships between these codes and dynamic observations.

- The only required Common Data fields are the Activity Start Date and Departure Point/ Location. If you try to save the DOR without entering this information, you will be prompted to do so.

The EPI questions appear below the Common Data fields. If you mark **No** or **N/A** as an answer, the comments box becomes active. You are not required to answer all questions, but you must answer at least one question in addition to the required common data fields before the DOR may be saved. Answers to Questions may be changed, but saving your "new" answer by clicking on the **Save** button will delete any comments you entered to explain your "old" answer. When you change an answer, a window will pop up reminding you of this. Click **OK** to acknowledge the warning, close the window, and continue.

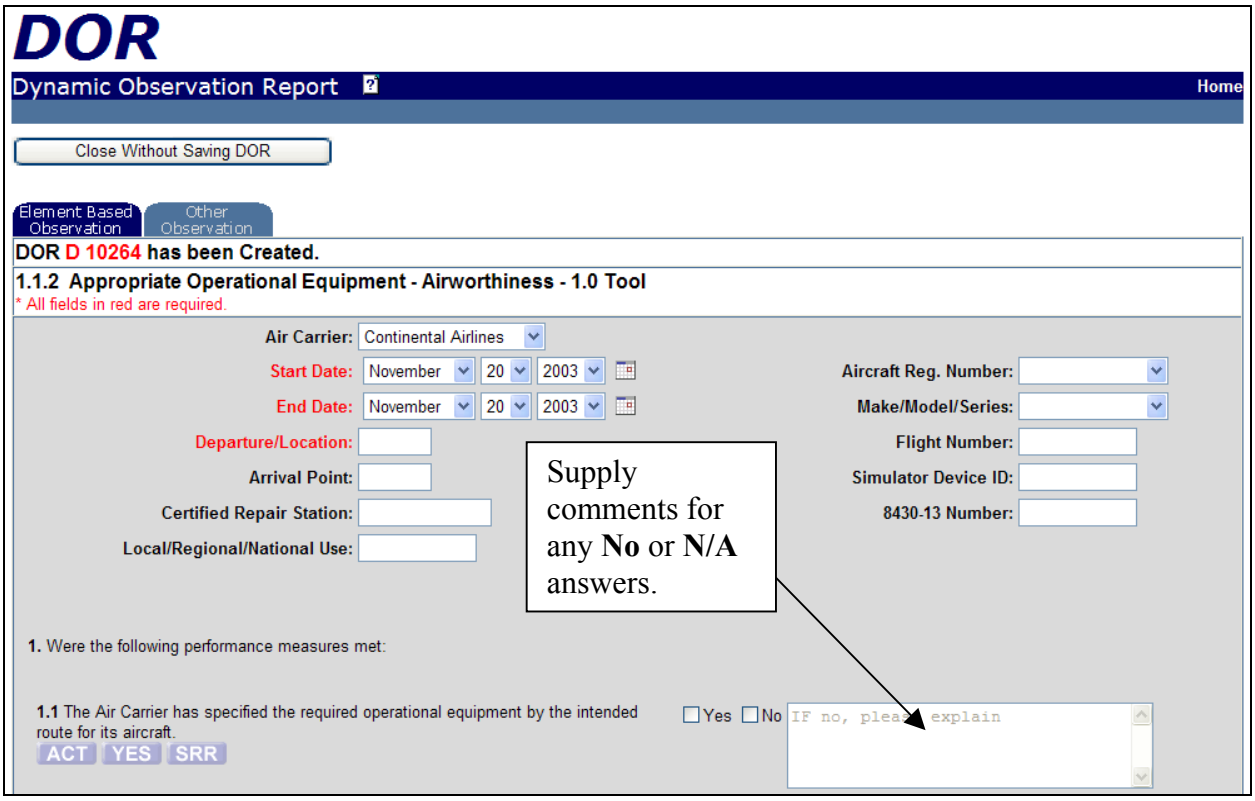


Figure 4-3: DOR Element Based Observation: EPI Data Collection Tool Question Screen

Complete as much information as possible. You may automatically fill either of the date fields with the current date by clicking on the **Today's Date** button to the right of the field. The Start Date cannot be later than the current date. If you want to clear the DOR and start over again, click the **Reset button** at the very end of the screen (Figure 4-4).

When the DOR is complete to your satisfaction, click the **Save** button at the bottom of the screen (Figure 4-4). Unlike EPI and SAI records, there is only one save status for DORs: FINAL. Once the DOR is saved, no further changes can be made to the DOR. It becomes immediately available to Principal Inspectors, ORAs, Managers, and Supervisors of the air carrier being reported and DEPMs of the carrier being reported on. (Note that, after evaluation, the DEPM may choose to return the DOR to the inspector.)

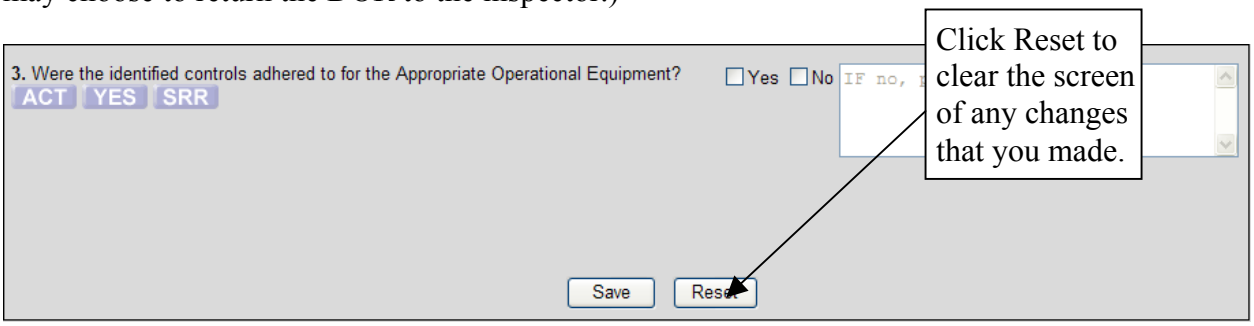
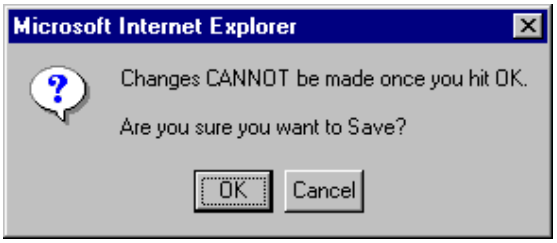


Figure 4-4: Reset Button and Save Button



After clicking the **Save** button**,** a message window appears (Figure 4-5) to verify the choice to submit the DOR, reminding you that changes cannot be made once it is saved. If you are sure the DOR is complete and accurate, click OK.

Figure 4-5: Message confirming that you want to save the DOR

After verifying the choice to save the DOR, the screen displays the completed form with a notification at the top of the screen that "Your DOR has been submitted" (Figure 4-6). You may record another DOR by clicking the Start a New DOR link beneath the message at the top of the confirmation screen.

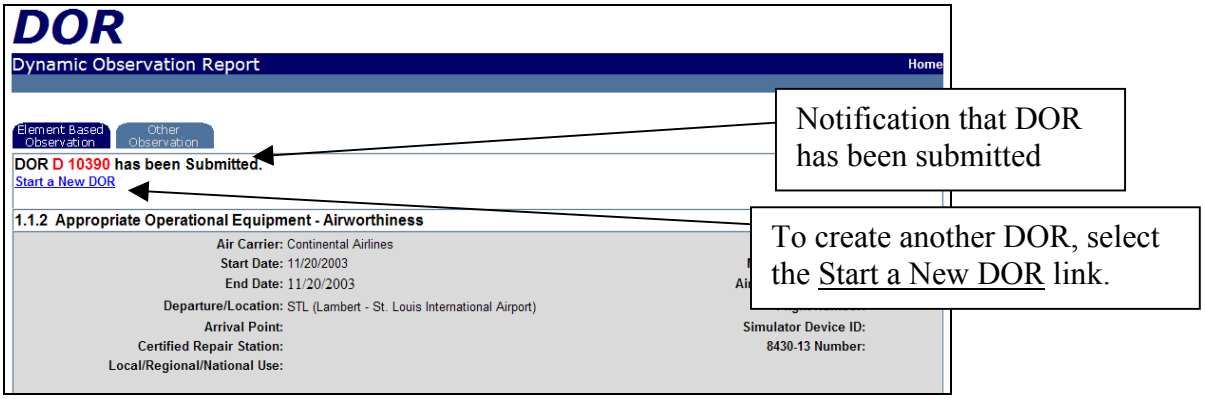


Figure 4-6: Element Based DOR Acknowledgment

The submitted DOR is queued for review by the DEPM who has the option of returning the report to the originating Inspector, along with comments noting what changes are requested.

4.1.2.2 Other Observation

If an observation can be accurately recorded by answering Element questions, then it should be answered using that format. If, however, it does not fit within the EPI Element questions, the Other Observation format should be used.

To access this format, click the **Other Observation** tab on the DOR Reporting screen. The Common Data fields and a comments box then appear (Figure 4-7). In addition, selection boxes appear for **System** and **Sub-System**. Selection of a System and Sub-System are used to provide the proper perspective for those that view your DOR and provide criteria for the DOR to be more easily retrieved in a query. You may leave these both blank, select a System only, or select both a System and Sub-System. Once you select a System, the Sub-system selections will be narrowed.

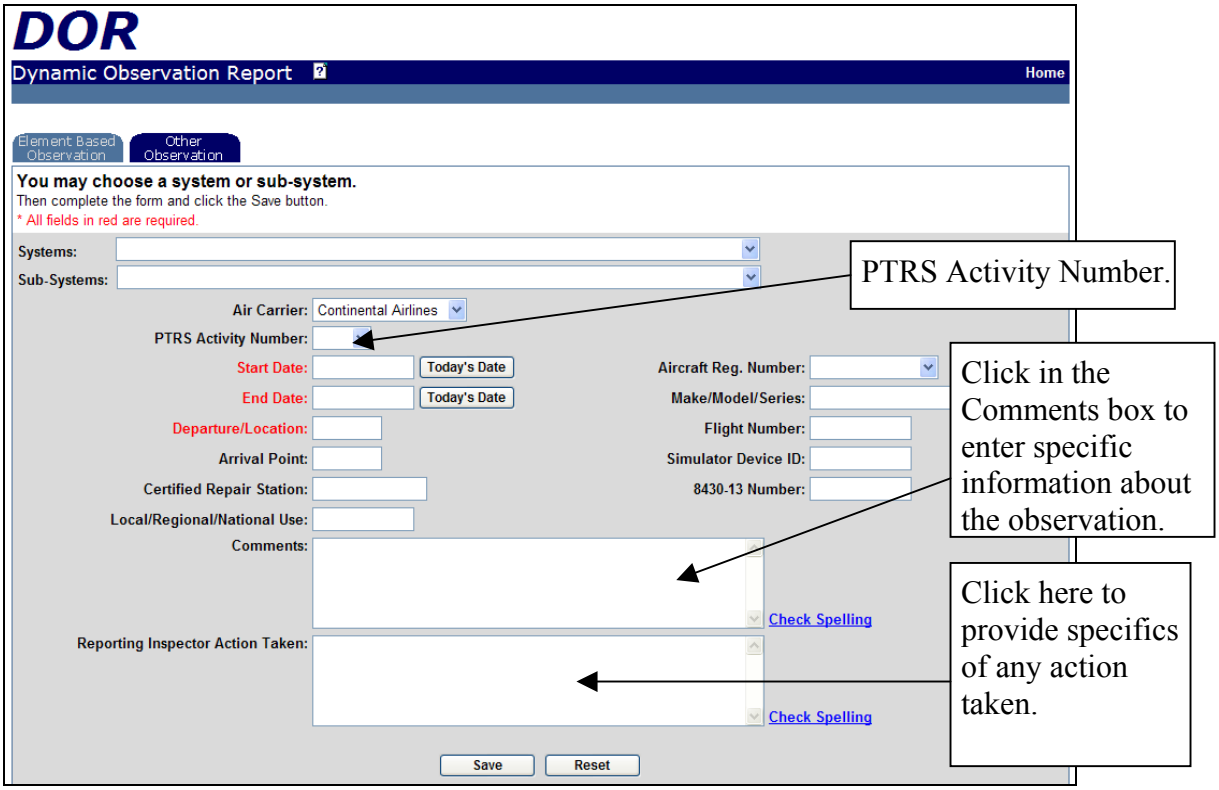


Figure 4-7: Other Observation Page on the DOR Reporting Screen

As in the Element-Based DOR, the Start Date may not be later than the current date and an End Date is required before this Report is saved.

There are several unique fields on the Other Observation page:

- **PTRS Activity Number** is a drop-down box containing PTRS codes. Once saved, the description of the code will appear.

- Click on the comments box to enter specific information about the observation. When this box is clicked, a pop-up alert box appears with instructions (Figure 4-8)

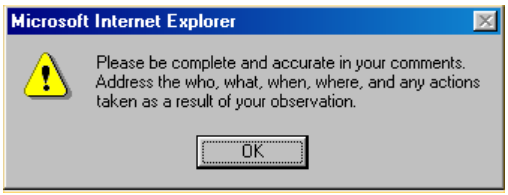


Figure 4-8: Comment Alert Box

- Click on the "Reporting Inspector Action Taken" block to provide details of your action.

When the DOR is complete to your satisfaction, click the **Save** button at the bottom of the screen (Figure 4-9). The Other Observation follows the same process as the Element Based Observation.

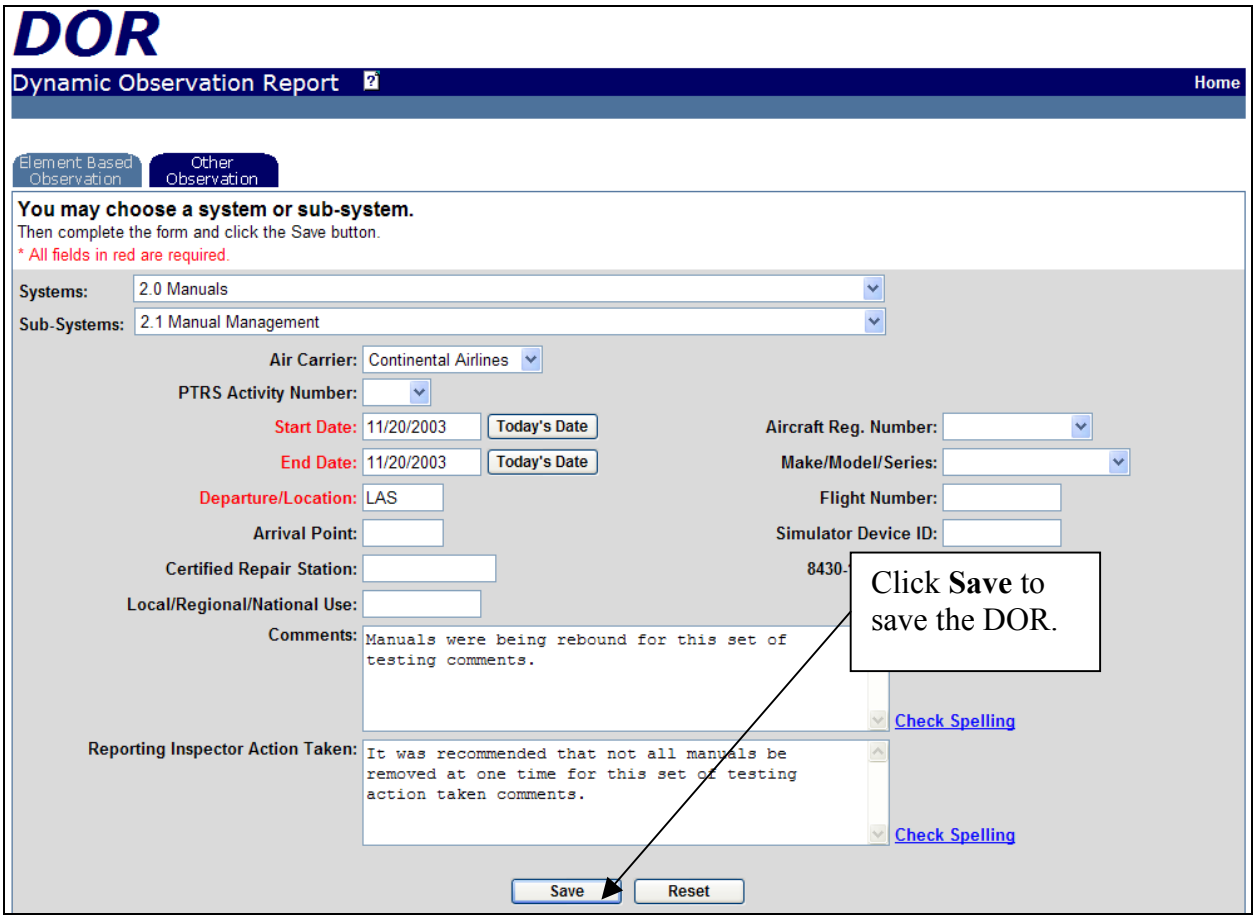


Figure 4-9: Reset Button and Save Button

After you click **Save,** a message appears confirming that you want to save the DOR. After clicking **OK** to save the DOR, the screen displays the completed form with a notification at the top that "Your DOR has been submitted" (Figure 4-10). You may record another DOR by clicking the Start a New DOR link beneath the message at the top of the confirmation screen.

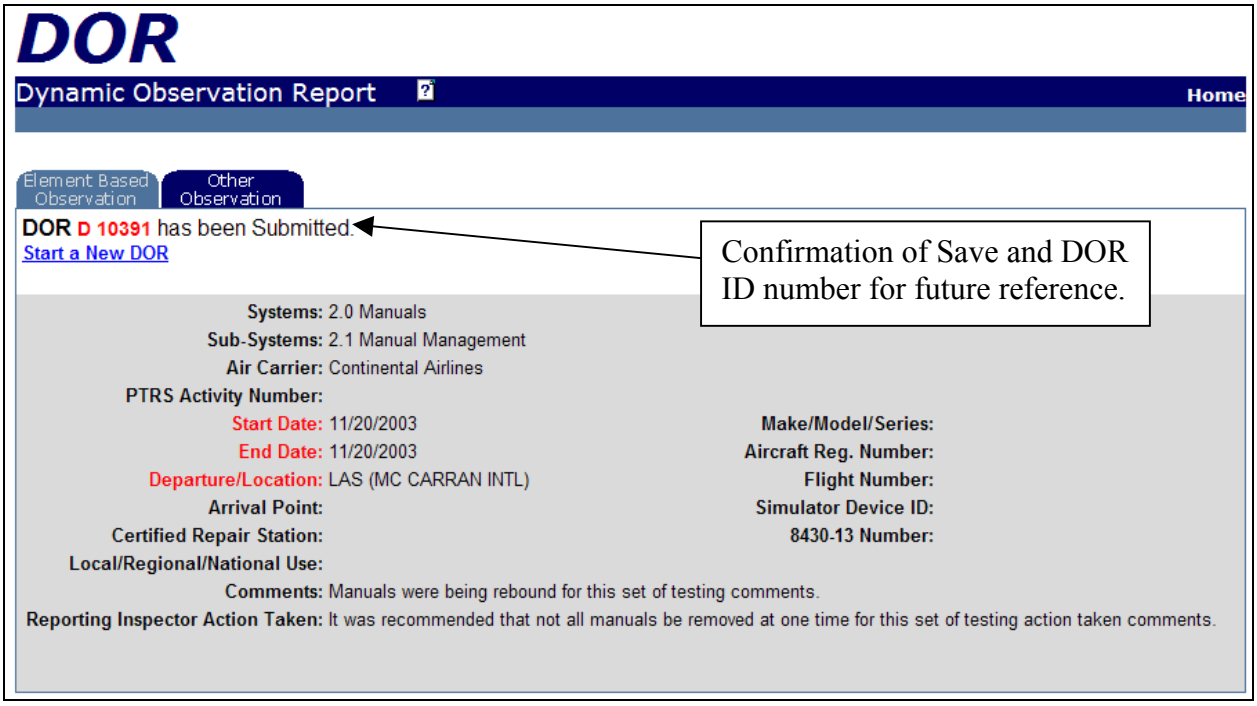


Figure 4-10: Other Observation Page – Confirmed Save (top)

4.1.3 Returned DORs Notification

The Data Evaluation Program Manager (DEPM) reviews all DORs to check the validity, accuracy, technical relevance, and completeness of the collected information before it is released to the ATOS Data Repository. The DEPM may concur, not concur, or return the DOR to the inspector. When the DEPM returns the questioned DOR to the ASI, revision by the inspector is required.

The Returned DORs Notification window automatically appears each time an Inspector with returned DORs accesses ATOS (Figure 4-11). The Notification lists all returned DORs. The returned DOR Notification window appears each time the Inspector accesses ATOS until the given DOR is saved Final again.

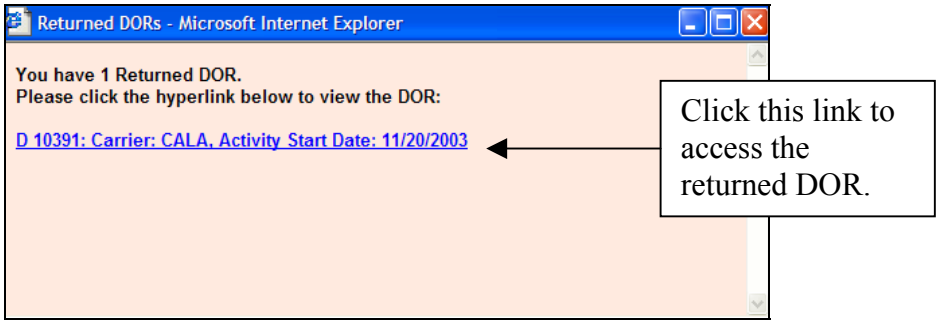


Figure 4-11: Returned DOR Notification Window

Each item listed in the Returned DORs Notification is a link. Click the link to access the Returned DOR screen (Figure 4-12).

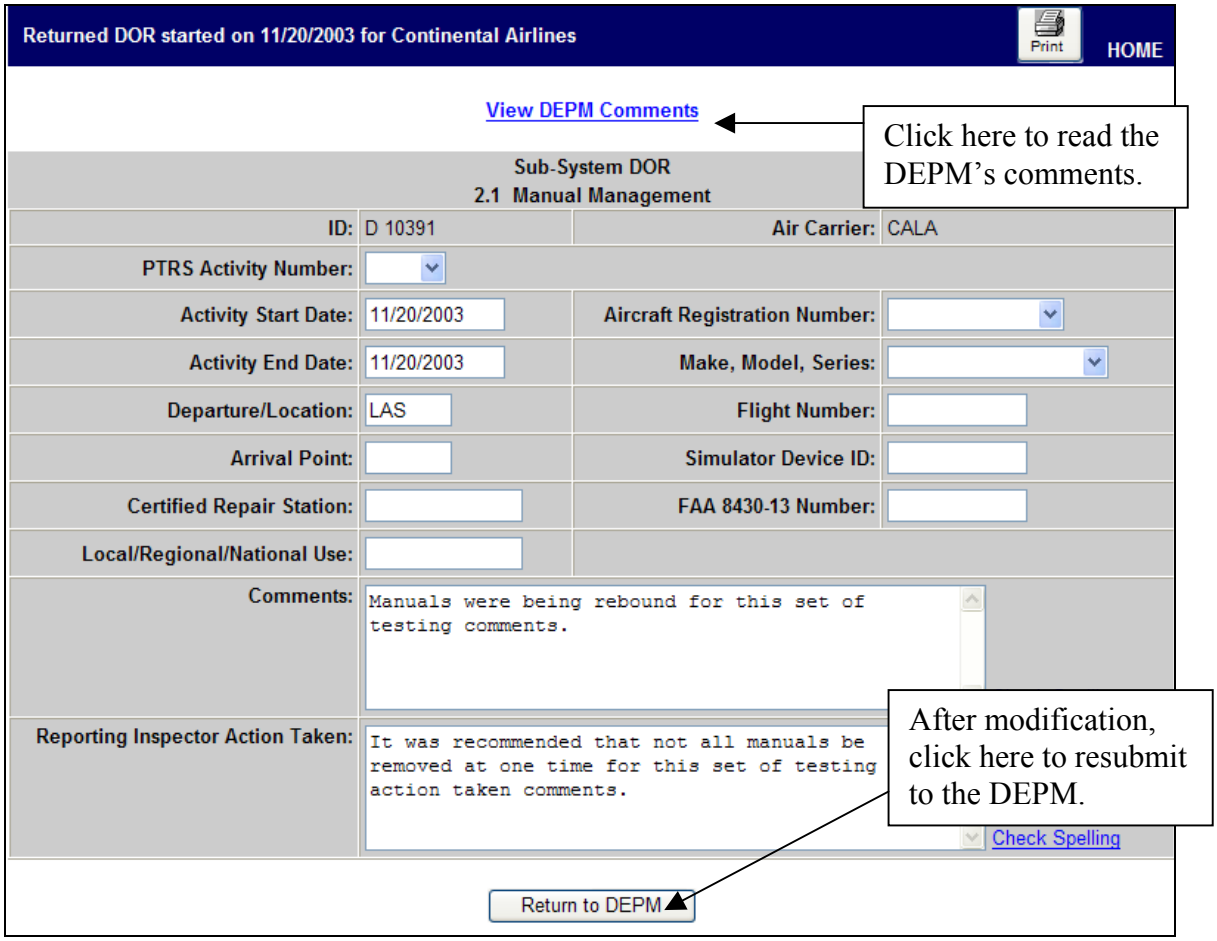


Figure 4-12: Returned DOR Screen

The Inspector can view the DEPM comments by clicking the View DEPM comments hyperlink. He or she can modify the DOR information and then click the **Return to DEPM** button at the bottom of the screen. When the **Return to DEPM** button is clicked, an alert message appears to notify you that changes cannot be made after the record is saved. Click **OK.** The Inspector then returns to the ATOS home page, and the DOR is returned to the DEPM.

4.2 Constructed Dynamic Observation Reports

Principal Inspectors (PIs) may construct customized Element-based DORs, selecting EPI questions from any combination of elements. The customized DOR may be constructed for a single or group of Inspectors. The PI may also provide a requested completion date and specific instructions. The air carrier field will be filled in automatically, based on the requesting PI's CMT. The PI may save a set of Questions as a template for a future Constructed DOR. When a Saved Template is loaded, changes may be made before the request is sent.

Inspectors receiving a constructed DOR request are notified through the ATOS Automation main menu notification system. The constructed DOR is accessible via hyperlinks from the notification box and remains active until the Inspector has completed and saved the constructed DOR request. Inspectors may view and print the questions and instructions prior to entering data. Source information -- the particular technical discipline, Element, and question number -- is available for viewing with each question for reference. All questions on a constructed DOR must be answered in order to save it, but input may be stored before completion.

The Manager and Supervisor of an Inspector receiving a constructed DOR request will also be notified through automation that the request has been made. The notification remains active until the Manager/Supervisor views the PI instructions on the DOR.

4.2.1 Construct a Dynamic Observation Report (PIs)

From the PI's Home Page (Figure 4-13), click on the menu item **Construct DOR**.

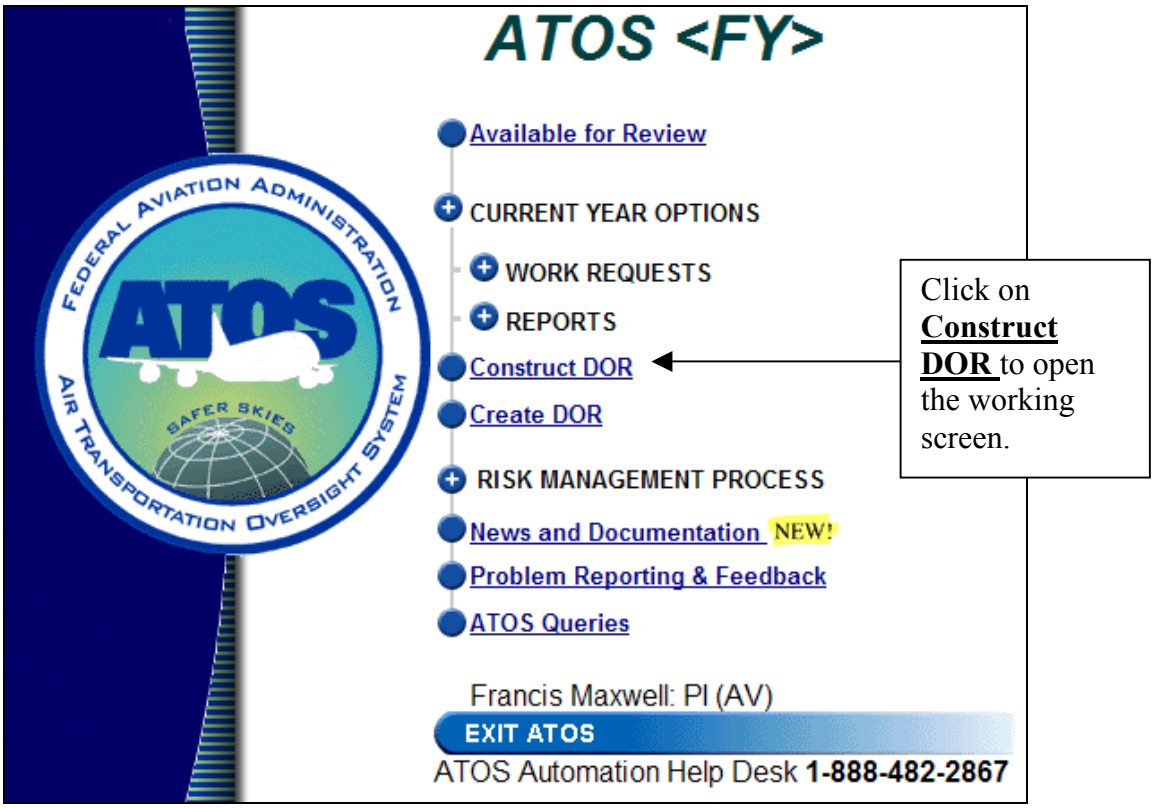


Figure 4-13: ATOS PI Home Page

This will bring up the working screen illustrated in Figure 4-14. From this screen, the DOR may be constructed to include questions specified within a chosen System, Sub-System, or Element.

If you wish to use Questions you have previously saved to a Constructed DOR Template, please see Section 4.2.1.2, Load a Constructed DOR Template.

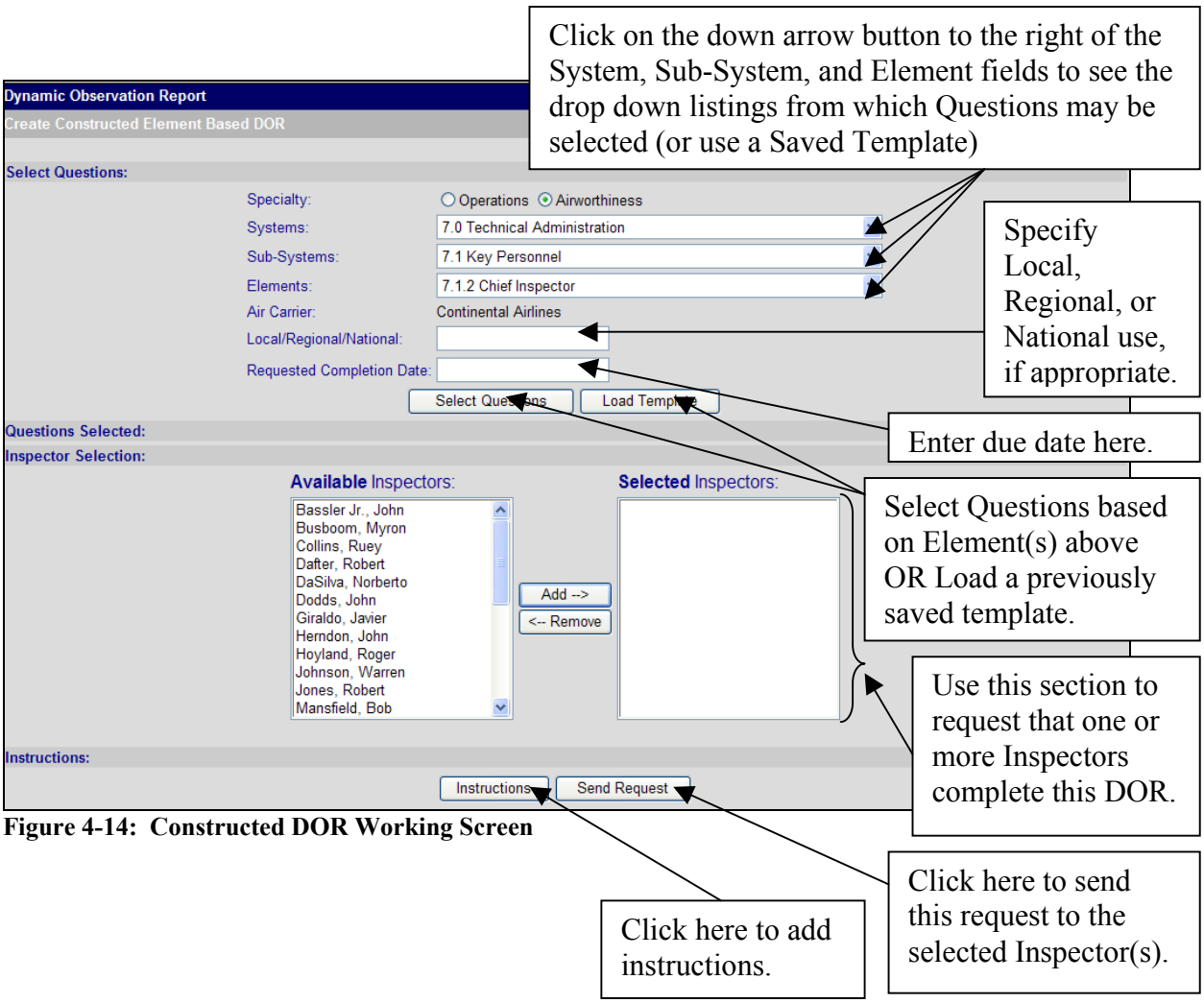


Figure 4-14: Constructed DOR Working Screen

Any combination of elements may be chosen by repeating the process of selecting a System, Sub-System, and Element, and choosing specific questions. If desired, you may direct select an element (to bring up a list of questions) without first selecting a system and subsystem. Each time you click on the **Select Questions** button, a new window will pop up from which you may select questions by clicking in the boxes to the left of the question number (Figure 4-15). Check marks will appear in the squares when you click to select the question. Click in the square again to de-select the question.

System 7.0 Technical Administration

Sub-System 7.1 Key Personnel

Element 7.1.2 Chief Inspector - 1.X Tool

EPI SECTION 1 - PERFORMANCE OBSERVABLES

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

1. Were the following Performance Measures met:

- [ ] 1.1 Is the Chief Inspector (or equivalent) position currently occupied by the individual identified in Operations Specifications paragraph A006?
- [x] 1.2 Does the Chief Inspector (or equivalent) meet the qualifications as stated in the Certificate Holder's manual?
- [ ] 1.3 Does the Chief Inspector (or equivalent) satisfactorily fulfill the duties of the position, serving full time, without being burdened with additional job assignments?
- [x] 2 Were the Certificate Holder's policies, contained in it's manual for the Chief Inspector (or equivalent) followed?
- [ ] 3 Were the Chief Inspector (or equivalent) controls followed?
- [ ] 4 Did the records for the Chief Inspector (or equivalent) comply with the instructions provided in the Certificate Holder's manual?

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

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

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed by the Chief Inspector (or equivalent) position:

- [ ] 2.1 Does the Certificate Holder have a clearly identifiable person performing the duties and responsibilities of the Chief Inspector (or equivalent) position full time?
- [ ] 2.2 Does the Certificate Holder have a clearly identifiable person exercising the authority of the Chief Inspector (or equivalent) position full time?
- [ ] 2.3 Does the individual serving as the Certificate Holder's full time Chief Inspector (or equivalent) acknowledge the duties and responsibilities of this position?
- [ ] 2.4 Does the individual serving as the Certificate Holder's full time Chief Inspector (or equivalent) acknowledge his/her duty to exercise the authority of this position?

Save Close

Figure 4-15: DOR Question Selection

While in this pop-up window, you have the opportunity to **Save** your selections, or erase them by simply clicking on the **Close** button. When you do click on **Save,** the pop-up window will go away. At this time, you may indicate a new System, Subsystem, and Element from which to choose more questions.

As questions are saved, they will appear in the midsection of the DOR Construction Page, under the header of **Questions Selected**, as illustrated in Figure 4-16.

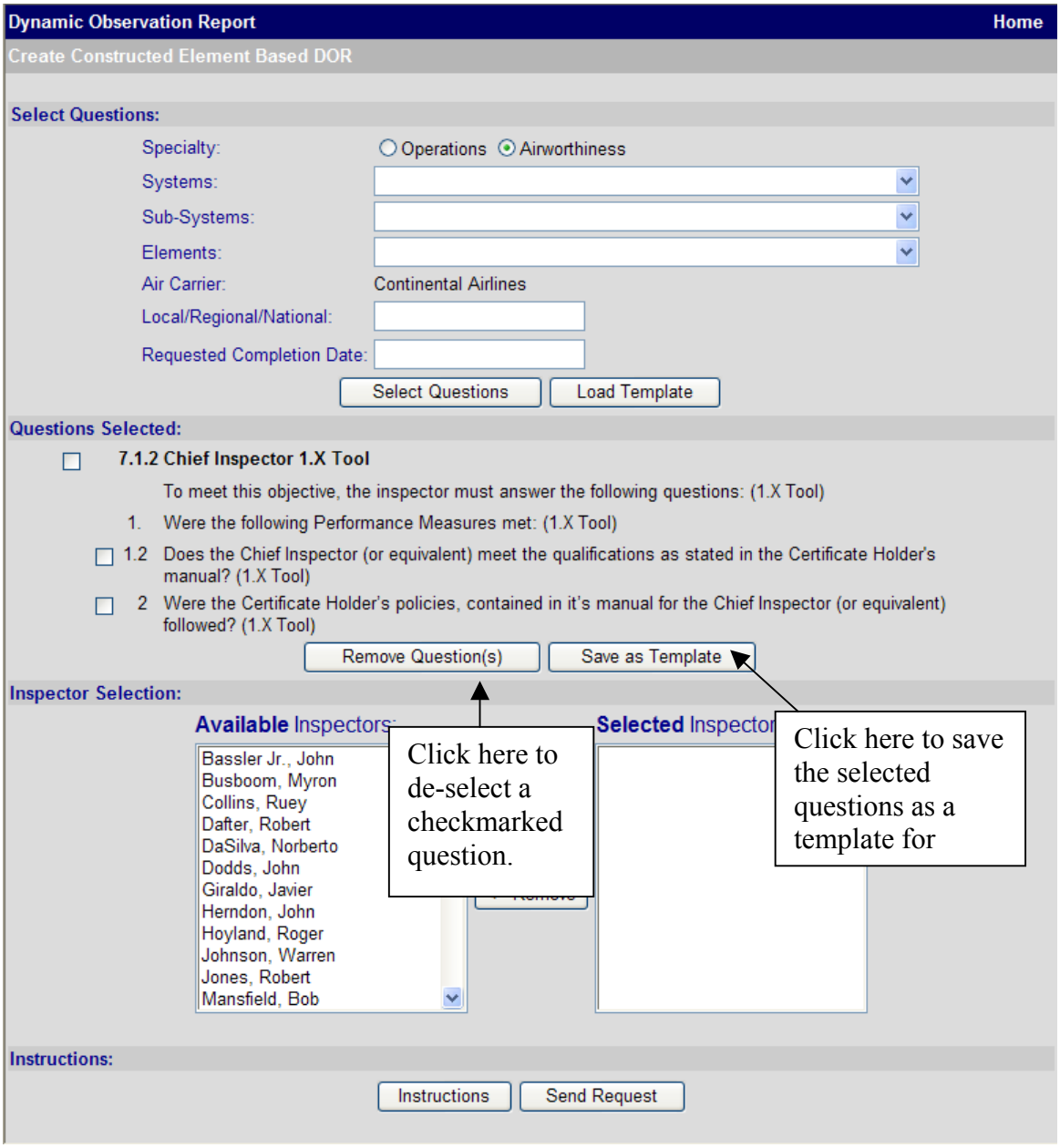


Figure 4-16: Constructed DOR Working Screen with Questions Selected

To remove a question from consideration, click on the square to the left of the question number. A checkmark will appear, marking it for deletion as soon as you click the **Remove** button.

When you are satisfied with the Questions selected, you have the option of saving them as a template for future use. Please see Section 4.2.1.1, Save a Constructed DOR Template.

An entry may be made in the **Local/Regional/National** box if appropriate (Figure 4-14).

Enter a **Requested Completion Date,** by clicking in the date field box (Figure 4-14). (There is no default entry for this date.)

One or more Inspectors from the list of "**Available** Inspectors" shown in the **Inspector Selection** section of the DOR Construction Page (Figures 4-14 and 4-16) may be requested to complete the DOR. Use the scroll bar to see more of the list. Click on an Inspector's name to select him or her for receipt of the DOR. Once you have selected a name, click on the **Add →** button to move the name over to the "**Selected** Inspectors" side. Similarly, if you decide to replace or remove an Inspector from the "Selected" category, click on the name, then click the **← Remove** button to move the name back to the "Available" side.

If global instructions are to be added, click on the **Instructions** button at the bottom of the DOR Construction Page (Figures 4-14 and 4-16).

Until work is started by a requested Inspector, a ConDOR may be deleted or reassigned, and the instructions may be changed. (Please see Section 4.2.4, Status of a Constructed DOR.)

When the construction of the DOR is complete, click on the **Send Request** button at the bottom of the screen (Figures 4-14 and 4-16) and you will return to your Home Page.

If you attempt to return to your Home Page before sending the ConDOR request, you will receive an alert message offering you the option to save your unsent ConDOR. As shown in Figure 4-17, a "Yes" answer will take you to your Home Page without saving the unsent ConDOR. A "No" answer will save the unsent ConDOR and return you to your Home Page. The "Cancel" option returns you to the ConDOR working screen.

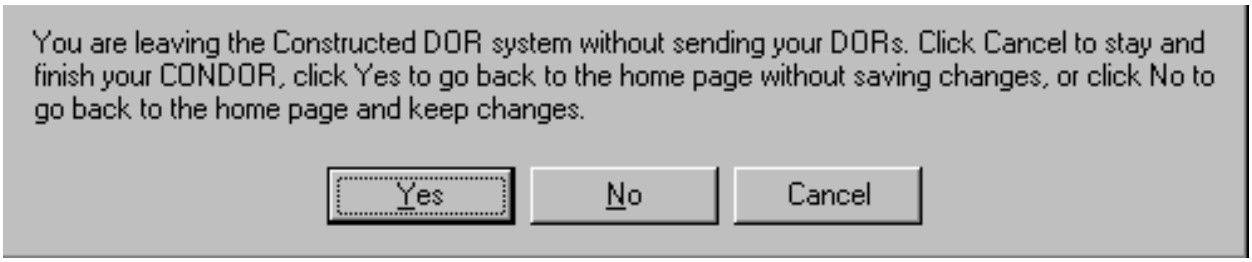


Figure 4-17: Alert Message to Save Unsent ConDOR

4.2.1.1 Save a Constructed DOR Template

If desired, a set of selected Questions may be saved as a template for a future Constructed DOR. Click on the **Save as Template** button on the Constructed DOR form (Figure 4-16). The "Save Selected Questions" window appears (Figure 4-18) to name the new template.

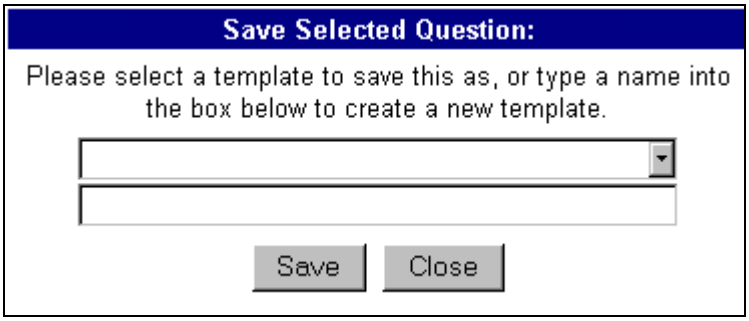


Figure 4-18: Save Selected Questions window

Select a previously used name from the drop down menu of the Selection box or click on the blank box to enter a new name. Click on **Save** to return to the Constructed DOR form and continue with selection of an Inspector, as described in Section 4.2.1 above.

4.2.1.2 Load a Constructed DOR Template

Clicking on the **Load Template** button on the Constructed DOR form (Figure 4-16) opens a window from which a previously saved template may be selected (Figure 4-19).

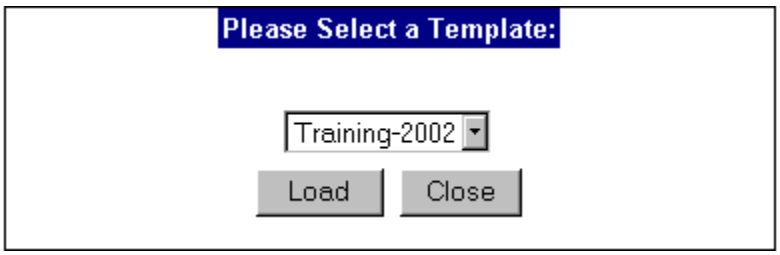


Figure 4-19: Load Template window

Click on the down arrow to see a list of saved templates, click on your selection, then click on **Load**. This action will automatically enter the selected Questions on the Constructed DOR form. Add or remove questions as described in Section 4.2.1. Save as a new template, if desired, as described in Section 4.2.1.1.

4.2.2 Concurrence / Non-Concurrence of a Constructed DOR Request (Managers and Supervisors)

The Manager and/or Supervisor of an Inspector receiving a constructed DOR request must indicate concurrence or non-concurrence with the request. ConDORs are included in the unifed view of an Inspector's Work Program, accessed via the **View IWPs for Your Employees** link on the ATOS home page. Once a Concur or Non-Concur box is checked, the Concurrence/Non-Concurrence Memo may be generated by using the link just below the employee's name. As shown in Figure 4-20, the ConDOR identification number is a link to review the request.

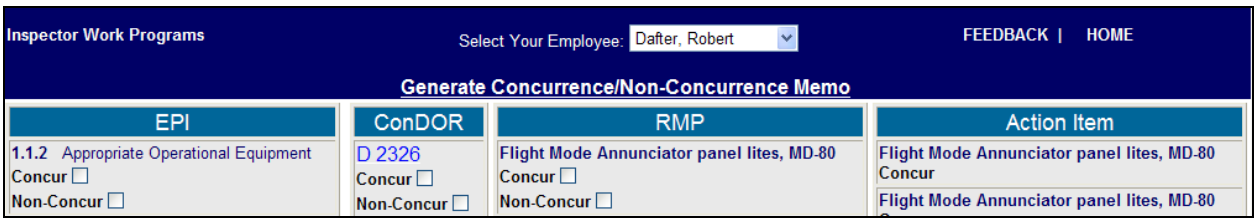


Figure 4-20: Inspector Work Programs - Excerpt

Clicking on a ConDOR identification number will show the Constructed DOR, along with the associated instructions specified by the originating PI, as illustrated in Figure 4-21.

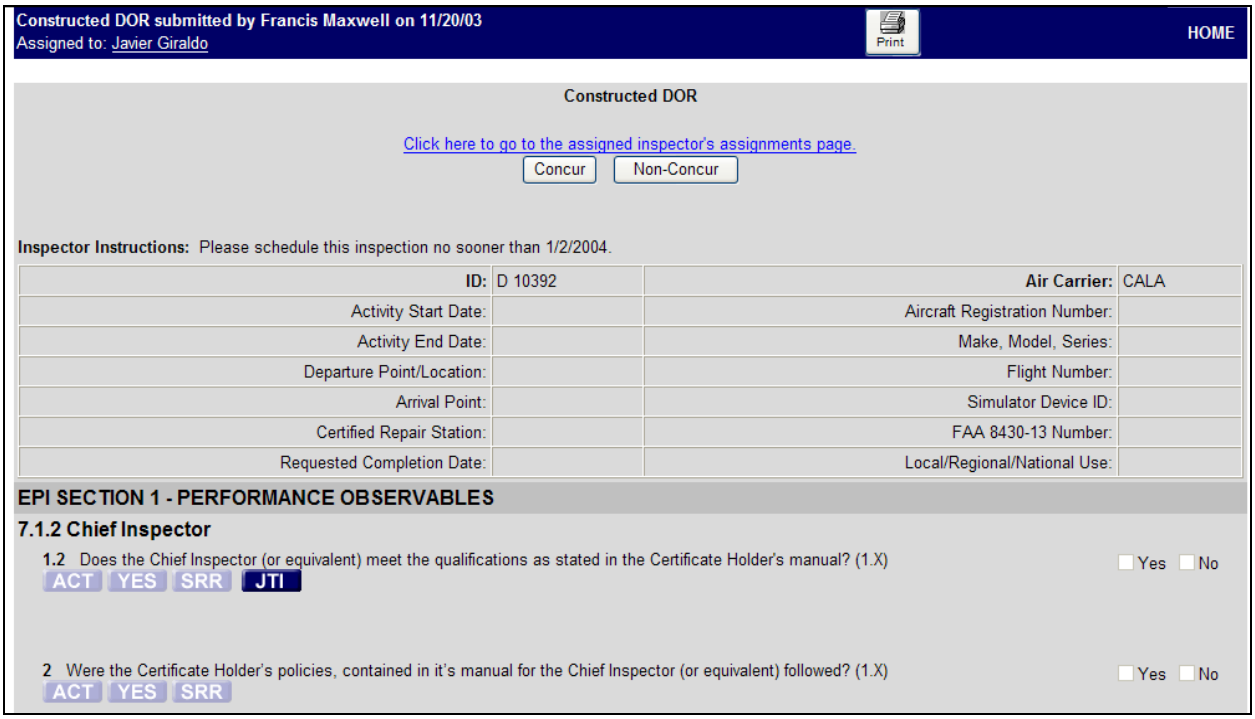


Figure 4-21: Constructed DOR

4.2.3 Notification of a Constructed DOR Request (Inspectors)

Inspectors requested to complete a ConDOR will see those records included in their unified view of work requests, as illustrated in Figure 4-22.

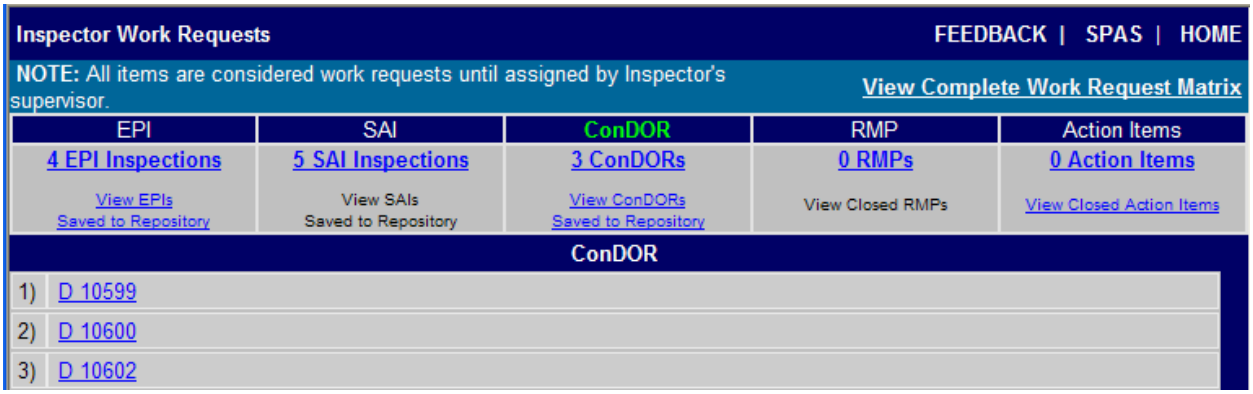


Figure 4-22: Inspector Work Requests – ConDORs

Clicking on a D-number opens the Constructed DOR, ready for completion by the Inspector. Figure 4-23 is an example of a Constructed DOR. The questions and instructions may be printed out prior to the input of data by clicking on the **Print** icon in the top right corner of the form.

Source information – the particular technical discipline, Element and question number – will be available for viewing with each question for information and reference purposes.

As is the case for other Activity reports, the Start Date cannot be later than the current date and an End Date is required before the report is saved as Final.

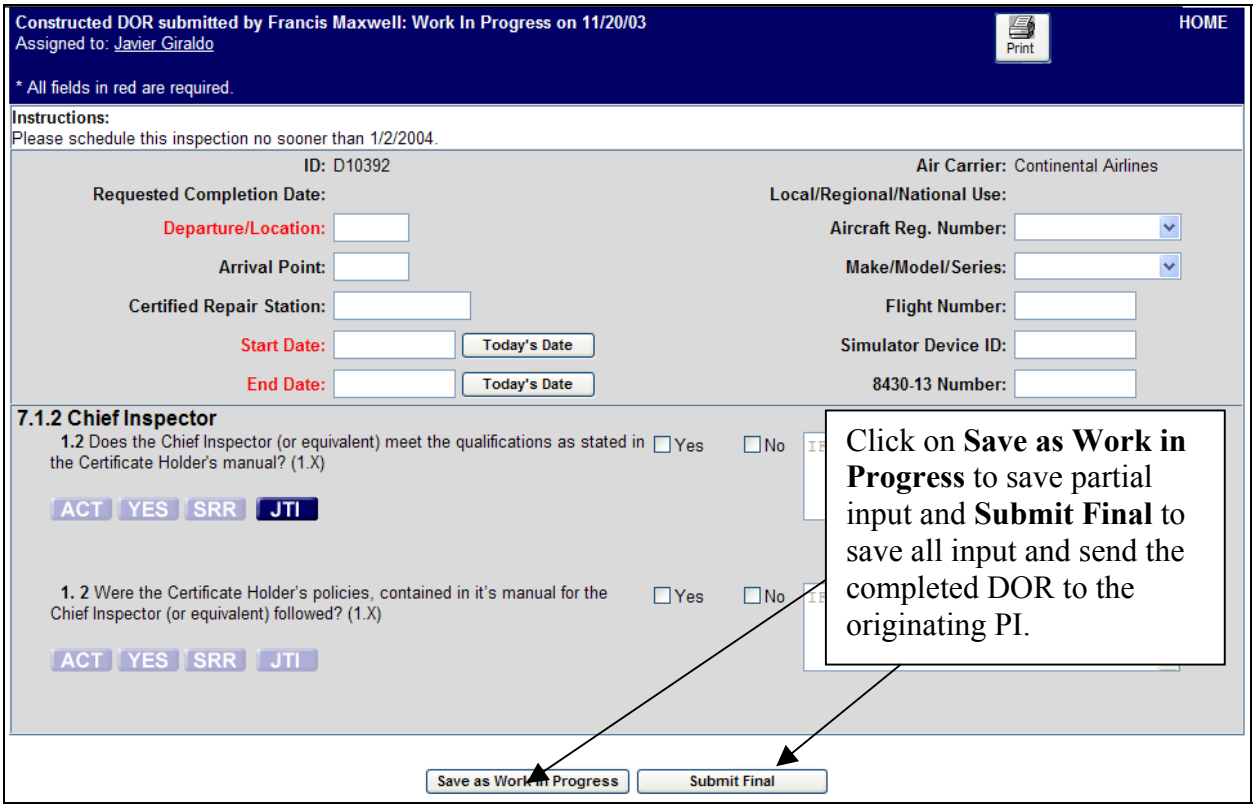


Figure 4-23: Constructed DOR, Ready for Inspector's Completion

Completion of a constructed DOR is similar to that of an EPI with respect to the answering of questions by checking the **Yes** and **No** boxes and providing associated comments. ***All*** questions must be answered to complete the report, but partial input may be saved as often as necessary by clicking the **Save as Work in Progress** button at the end of the form. If you attempt to leave the page without saving, a message will appear reminding you to do so (Figure 4-24).

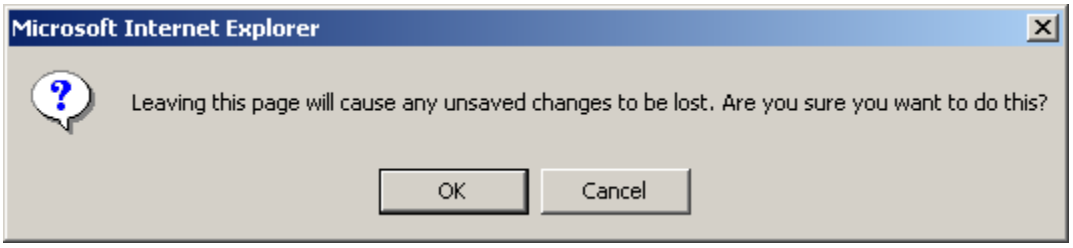


Figure 4-24: Reminder to Save Constructed DOR

Click on the **OK** button to close the Constructed DOR form without saving. Click on the **Cancel** button to return to the Constructed DOR form to edit, save, or submit final.

When all questions are answered, click on the **Submit Final** button at the end of the form to send it to the originating PI.

The process for evaluation and access to view a constructed DOR is the same as for a DOR originated by an Inspector.

4.2.4 Status of a Constructed DOR (PIs)

Once you have submitted a Constructed DOR, there will be a link on the Reports menu of your Home Page to view the status of that DOR (Figures 4-25 and 4-26).

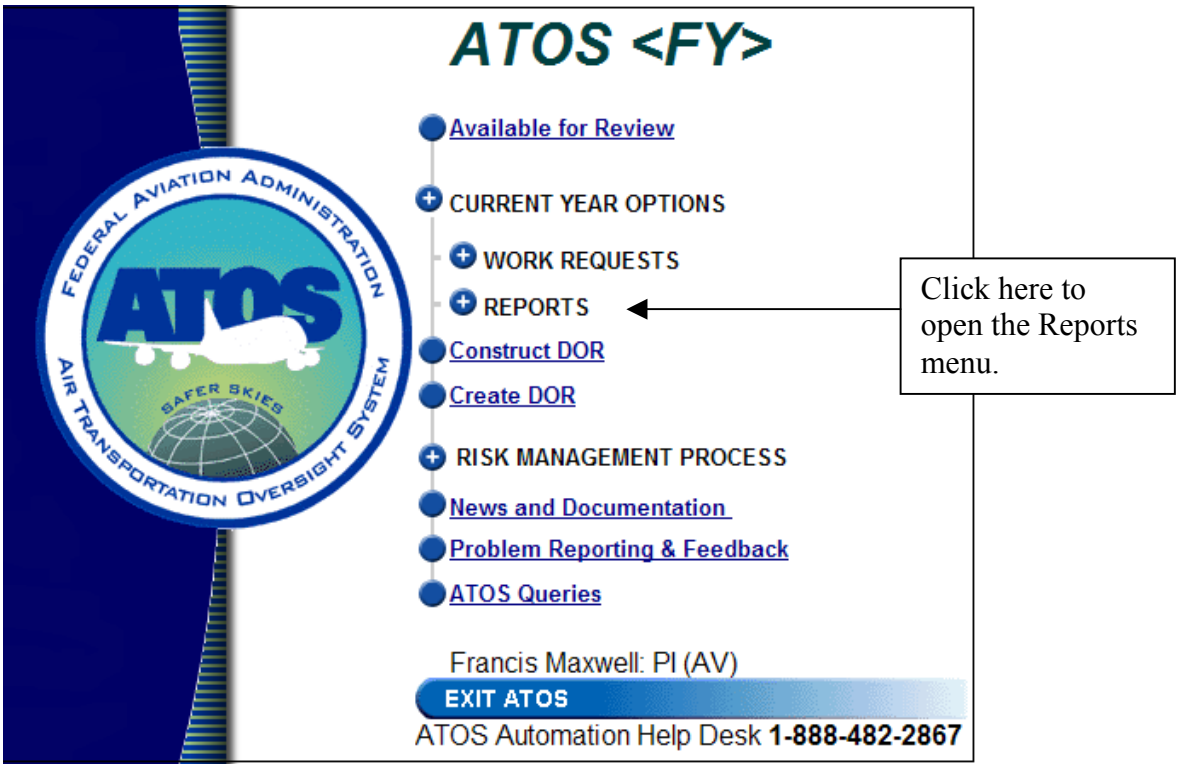


Figure 4-25: ATOS PI Home Page with Link to Status of Constructed DORs

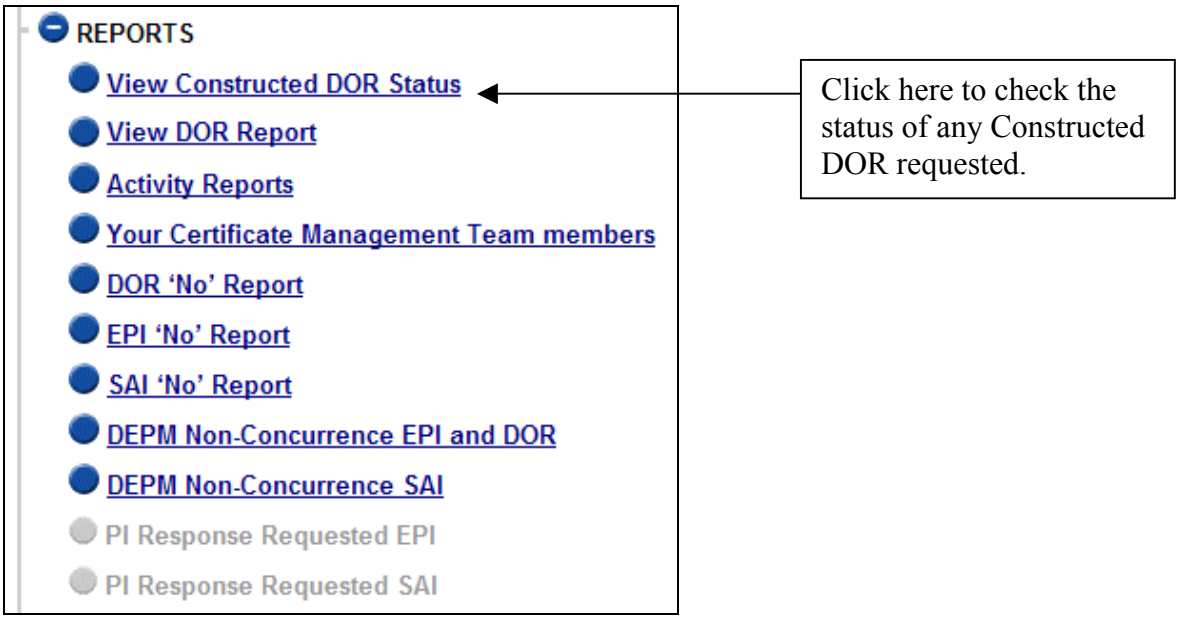


Figure 4-26: Reports Menu Showing Link to View Constructed DOR

Clicking on **View Constructed DOR Status** opens the "Constructed DOR Status Report (Figure 4-27).

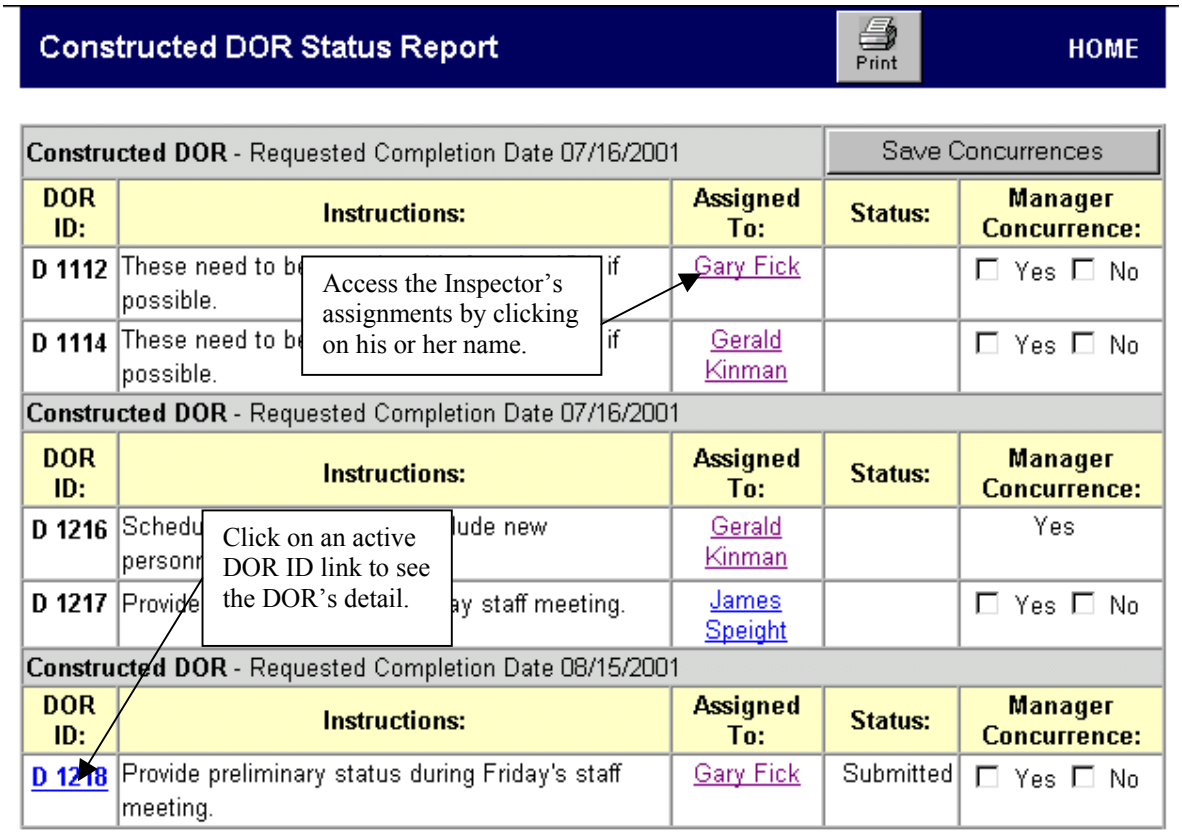


Figure 4-27: Constructed DOR Status Report

Click on an Inspector's name to access his or her current assignments. Click on active DOR-ID links, such as those for DORs with a Status of "Submitted", to see more detail, as illustrated by Figure 4-28.

Constructed DOR submitted by Gary Fick on 07/31/01
Assigned to: Gary Fick

Print

Close Window

Constructed DOR

Inspector Instructions: Provide preliminary status during Friday's staff meeting.

DOR ID:	D 1218	**Air Carrier:**	SWAA
Requested Completion Date:	08/15/2001	Local/Regional/National Use:	LOCAL
Departure Point/Location:	DCA	Aircraft Registration Number:	
Arrival Point:		Make, Model, Series:	
Certified Repair Station:		Flight Number:	
Activity Start Date:	7/31/2001	Simulator Device ID:	
Activity End Date:	8/27/2001	FAA 8430-13 Number:	

2.1.4 Availability

1.1 Manuals were available to personnel. ☑ Yes ☐ No
ACT YES SRR

3. Were the Manual Availability controls followed? ☑ Yes ☐ No
ACT YES

Figure 4-28: Constructed DOR Detail Accessed from Status Report

4.3 DEPM Review

The Data Evaluation Program Manager (DEPM) reviews all DORs to check the validity, accuracy, technical relevance, and completeness of the collected information before it is released to the ATOS Data Repository. The DEPM may concur, not concur, or return the DOR to the Inspector. When the DEPM returns the questioned DOR to the ASI, revision by the Inspector is required. Details of the DEPM review may be found in Chapter 8, ATOS DEPM Options, Section 8.8, Reviewing and Evaluating DORs.

4.4 PI, ORA, Manager and Supervisor Review

Principal Inspectors, Operations Research Analysts, Managers and Supervisors are alerted with a pop-up window on their home page when a new DOR or ConDOR has been created. Viewing options are detailed in Chapter 9, ATOS Guidelines for Managers and Supervisors. PIs have the opportunity to add comments to any question answered "No" following the guidelines presented in Chapter 9.

5 CSP Planning Tool

The purpose of this process is to provide the Certificate Management Team (CMT) with the means to align the Comprehensive Surveillance Plan (CSP) cycle with the fiscal year. The number assigned to a plan consists of the Air Carrier designation and type of plan (ACAT, EPI, or SAI), followed by the Fiscal Year and version number, for example, SWAA ACAT FY03 Ver.1. During the course of the fiscal year, as a result of retargets, the plan version will change but the plan ID remains the same. The plan ID changes when a new plan is developed for a new fiscal year.

The CSP Planning Tool allows the generation of an ACAT from a new baseline or incorporation of the risk levels in the current active ACAT. CSP EPI or SAI Plans may be generated before the ACAT is finalized.

5.1 CSP Planning Cycle

The change in the planning year (ending the current fiscal year and beginning work under the new plans) requires Principal Inspectors to acknowledge the end of the cycle. On or about August 1, a PI beginning at a home page such as Figure 5-1, will receive a pop-up alert to the need to plan inspections for the new fiscal year (Figure 5-2). Clicking the **OK** on this pop-up window provides the required acknowledgement and the window closes.

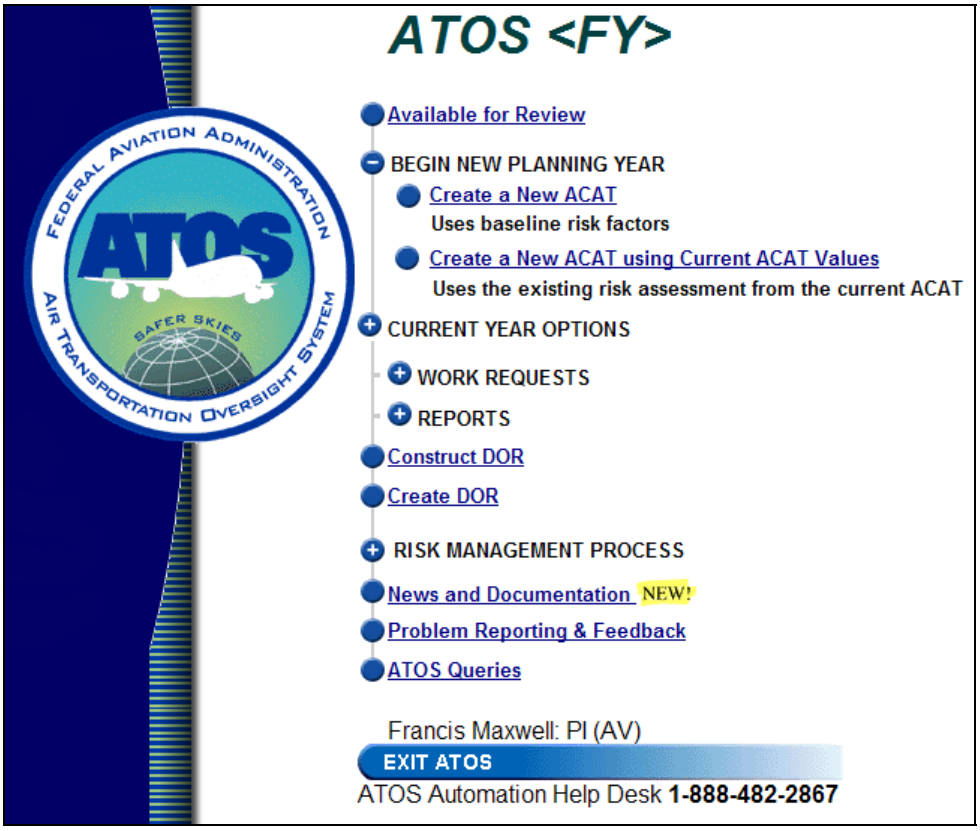


Figure 5-1: ATOS Home Page for the First PI

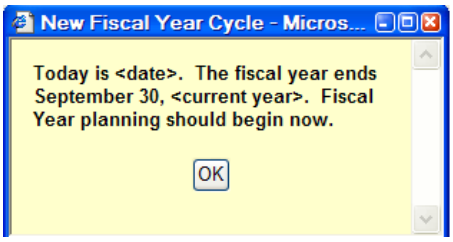


Figure 5-2: Pop-up Alert to Begin New Planning Year

When the CMT is ready to begin planning for the next CSP cycle, any Principal Inspector may initiate the planning ACAT by clicking on the circled plus sign left of **BEGIN NEW PLANNING YEAR** to reveal the submenu (Figure 5-3) that offers the choice of starting the planning ACAT with baseline risk or using the existing risk assessment from the current ACAT.

The creation of a new ACAT is a collaborative process requiring the joint efforts and mutual agreement of both the POI and CSI for Operations ACATs, or of both the PMI and the PAI for Airworthiness ACATs. The initial steps are the same for both specialties, but the finalizing steps will vary.

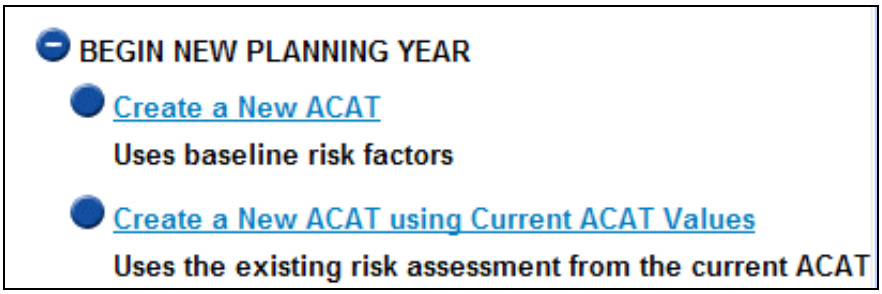


Figure 5-3: ATOS "Begin New Planning Year" Submenu

The baseline is **Create a New ACAT**. The one for using the existing risk assessment from the ACAT is **Create a New ACAT using Current ACAT Values**. If you choose to create a new ACAT with current values and the last ACAT has not been saved Final, an Internet Explorer message will appear advising you to save that ACAT to Final before creating an ACAT in the new planning year.

Clicking on the **Create a New ACAT using Current ACAT Values** link from Figure 5-3 brings you to the ACAT home page, Figure 5-4.

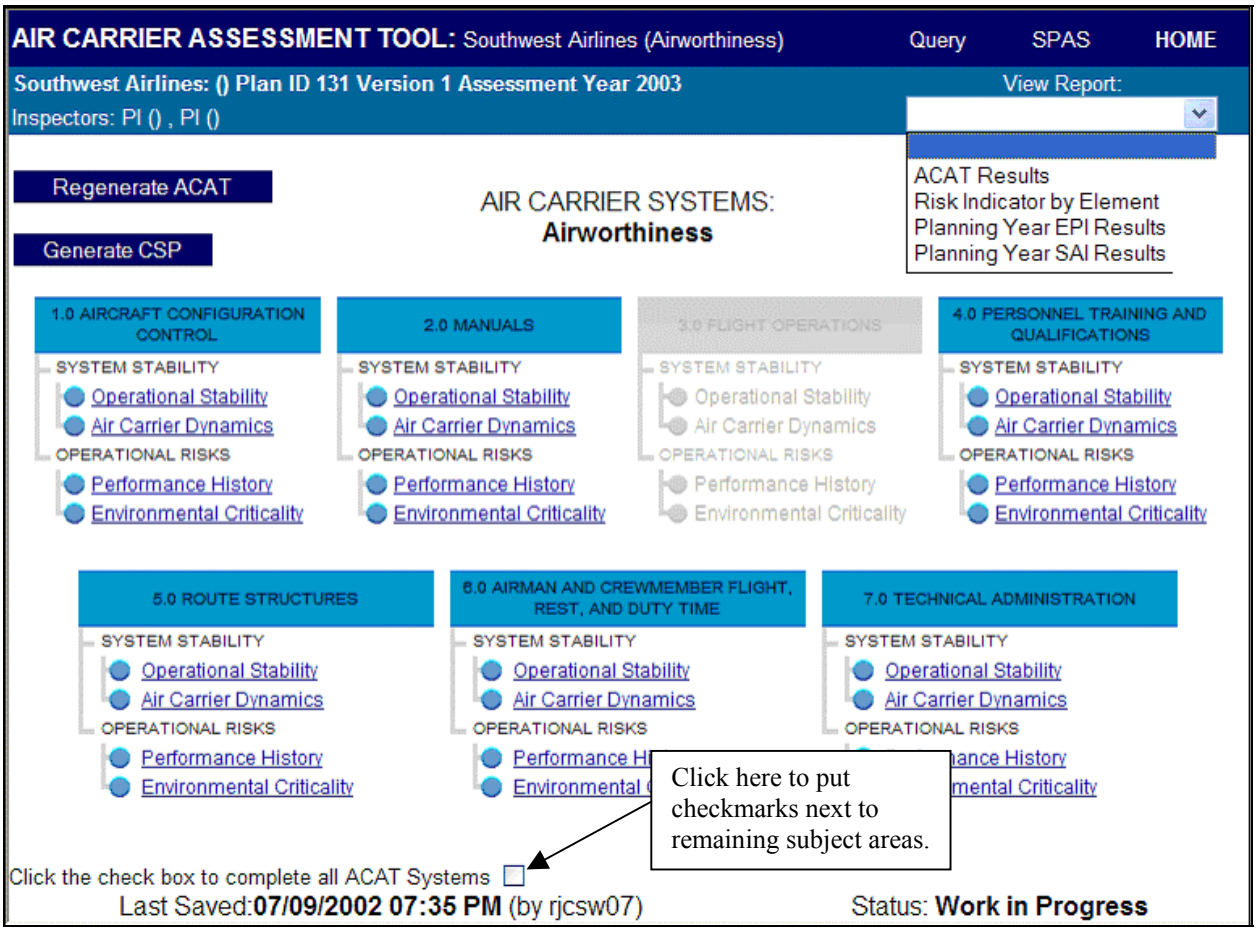


Figure 5-4: ACAT Home Page

Because the last, Saved Final, ACAT was fully completed, this ACAT Home Page shows a status of "Work-In-Progress" but, initially, there will be no completion check marks next to the subject areas. As you access the individual subject areas and complete each set of Risk Indicators, checkmarks will appear in the circles to the left of the subject area links. If you have completed those areas you are changing and will be using the current values for the remaining systems, click the box just right of the phrase "Click the check box to complete all ACAT Systems" near the lower left corner of the ACAT home page to automatically create the checkmarks without accessing the remaining risk indicator pages.

Reports listed in the drop-down menu for the "View Report" field in the upper right corner of the main ACAT page are available to facilitate your review of ACAT and CSP selections. These reports are illustrated in Section 5.1.3.

5.1.1 Modify the ACAT

Click on any of the subject areas under one of the seven systems that appear on the ACAT Home Page (Figure 5-4) to see the first matrix of Risk Indicators. An illustration of the matrix that would appear for System 1.0, Aircraft Configuration Control, for the subject of Operational Stability is shown as Figure 5-5.

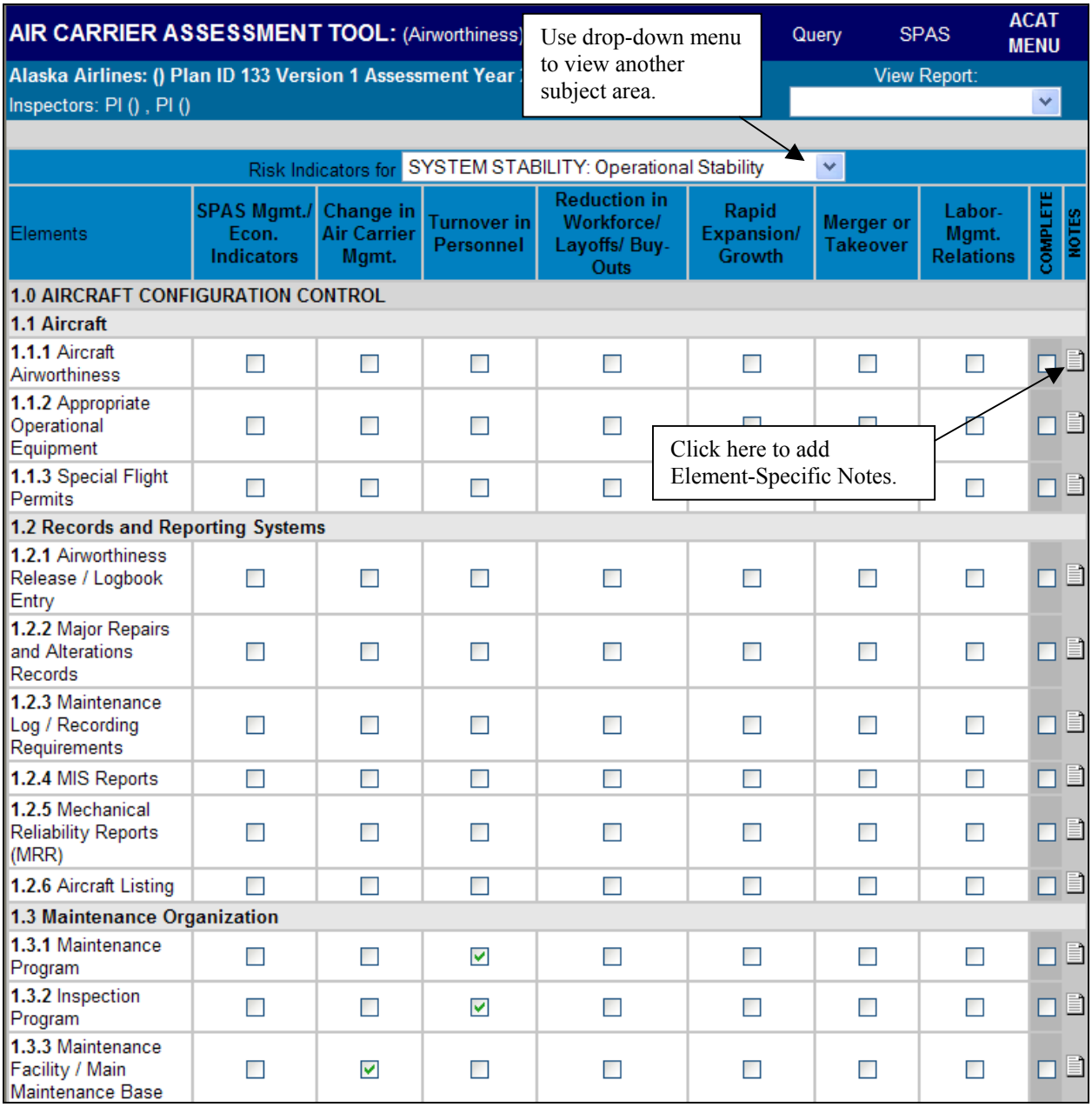


Figure 5-5: Risk Indicators for System 1.0

When a risk indicator is to be considered, click on the box to enter a checkmark there. Note that when a new ACAT is created with current values, some of the boxes will already be checked. Un-check a box by clicking on it.

Click on the PI's Notes icon at the end of a row to add Element-Specific notes. This opens the "ACAT Element Notes" window. An example of a completed notes window is included as Figure 5-12 within the discussion of the "ACAT Results" report. Only the PI may provide element-specific notes. Once the ACAT is saved as Draft, the PI's notes are available in read-only format, along with the rest of the ACAT data, for reviewing CMT members. CMT members may add their own comments to the ACAT as a whole via the ADD AN ACAT COMMENTS link on the ACAT main page. (Please see the illustration presented in the discussion of the CSI's comments on page 5-15.) A second link on the ACAT main page allows any reviewer to VIEW ALL COMMENTS.

Revise and review the new version of the ACAT using standard ACAT criteria for evaluating and judging Air Carrier Systems, and retaining, adding, or removing check marks as required. When you have completed a row, check the box in the column, under the label of "Complete".

Click the **Save** button when you are satisfied with your selections and have entered a checkmark at the end of each row. Note that the box in the "Selected" column must be checked for the row to be considered complete.

> *Caution: Be sure to click on the Save button before returning to the ACAT main page, or selecting another subject from the "Risk Indicator" drop-down list. Your work will otherwise be lost.*

After accessing all seven Systems and saving the last set of risk indicators, the next window, Figure 5-6, offers you the option to upgrade the status of the ACAT to Draft.

All rows in this ACAT have been completed.

Save this ACAT as a DRAFT
Once this ACAT is saved as a DRAFT, it will be made available for review to all CMT Members from your air carrier. They will have read-only access, and will not be able to make edits.

Do not Upgrade Status
To return to the current ACAT, without upgrading its status. (**NOTE:** Each time an ACAT is saved with all rows complete, you will be given the opportunity to upgrade its status.)

Figure 5-6: Option to Upgrade ACAT to Draft

Click on **Save this ACAT as a DRAFT** to allow other members of your CMT to view this ACAT. Other CMT members will have read-only access, that is, they will be unable to edit your work.

Click on **Do not Upgrade Status** to return to the ACAT home page without upgrading its status. Once back to the ACAT home page, you can click on the same or another subject to continue your assessment.

If, at anytime prior to generating the CSP you wish to regenerate the ACAT, you may do so by clicking on the **Regenerate ACAT** button in the upper left corner of the ACAT page. Doing so will bring you the warning that everything you have done will be deleted and you will be starting the ACAT over again (Figure 5-7).

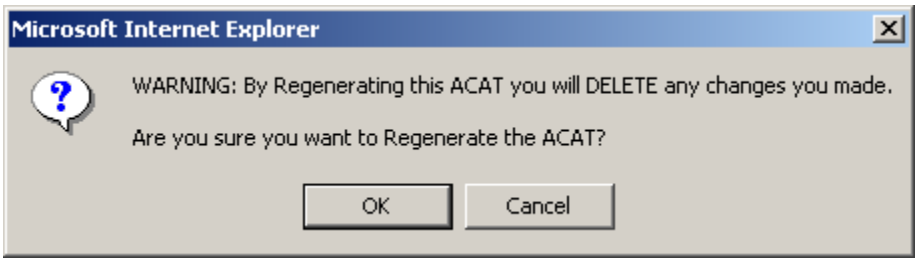


Figure 5-7: Regenerate ACAT Warning

Click on **Cancel** to return to the ACAT working page without regenerating the ACAT. Click on **OK** to confirm regeneration of the ACAT, return to your home page, and have the original choices of creating the ACAT using baseline or current values.

Clicking the **Generate CSP** button brings you first a warning that in doing so you will no longer be able to regenerate the ACAT (Figure 5-8)

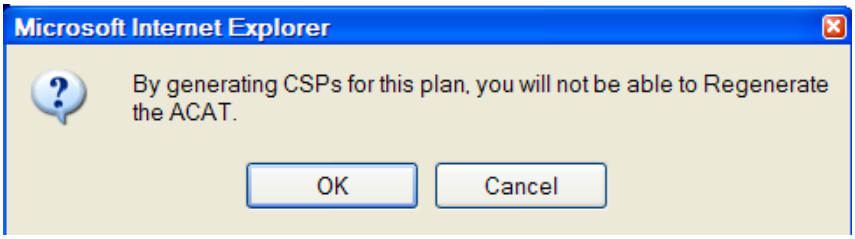


Figure 5-8: Warning Regarding Generation of the CSP

Clicking on the **OK** button to acknowledge the warning and go forward with the generation of the CSP returns you to your ATOS home page to continue with PLANNING YEAR OPTIONS. This time, the submenu will show the new ACAT ready for editing. Additionally, clicking on the circled plus sign to the left of the COMPREHENSIVE SURVEILLANCE PLAN shows an EPI Plan and an SAI Plan as works in progress and also available for editing. Figure 5-9 shows an example of the menu a PI would see.

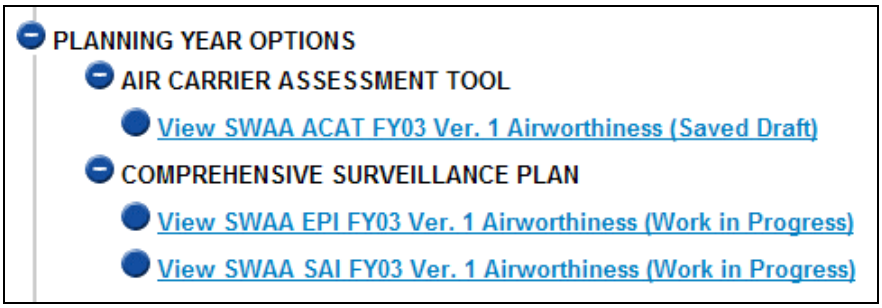


Figure 5-9: Home Page Excerpt Showing a Draft ACAT and EPI and SAI Plans in Progress

5.1.2 Saving the ACAT as a Draft

Clicking on the **Save this ACAT as a DRAFT** link from the option to upgrade window, Figure 5-6, returns you to the ACAT page, which now shows a status of "Draft". You may continue to assess systems and edit the ACAT without upgrading to the "Final" status. Each time you click on a **Save** button you will have the opportunity to keep the ACAT in draft form or upgrade its status to Final.

5.1.3 View Reports

A drop-down menu of reports is available from the main ACAT page, as well as from each of the individual reports, to facilitate review of your ACAT and CSP selections. These reports are presented all on one page that may be viewed by using the vertical scroll bar. An example of each of these reports follows:

- ACAT Results
- Risk Indicator by Element
- Planning Year EPI Results
- Planning Year SAI Results

5.1.3.1 ACAT Results

Figure 5-10 is an example of the beginning of an ACAT Results page. Figure 5-11 shows the end of the page.

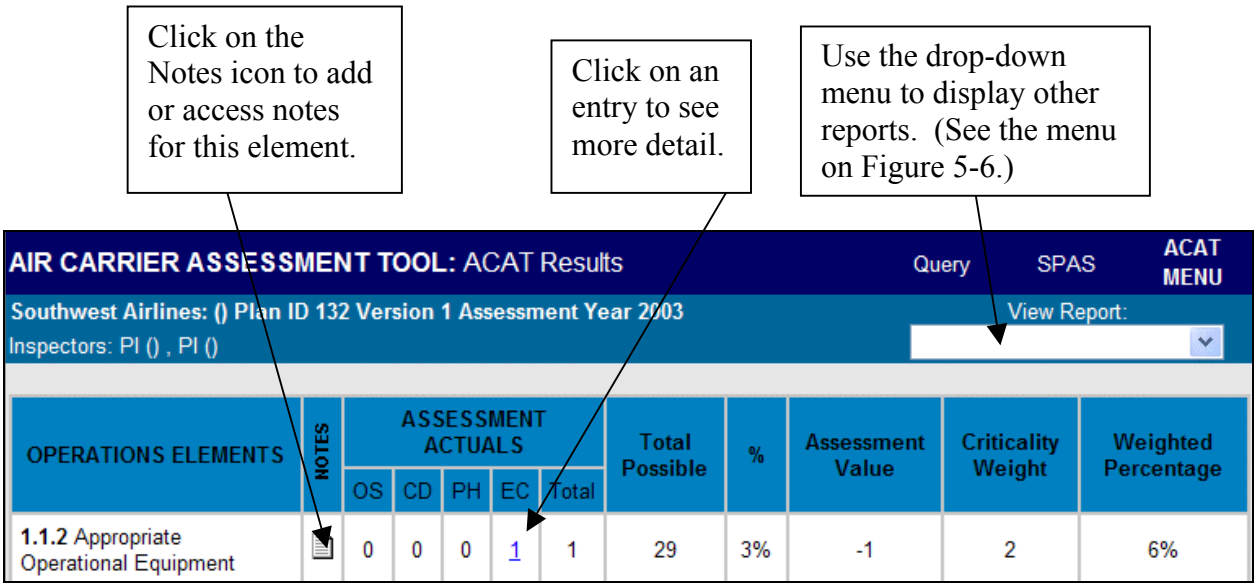


Figure 5-10: Excerpt of ACAT Results Page – Beginning

The Assessment Value shown is applied to the EPI and SAI Frequency Baselines to determine the Minimum Frequency for an element. The Assessment Values are:

- -1 = Leads to a reduction in the inspection frequency for the surveillance element.
- 0 = Leads to no change in the inspection frequency for the surveillance element.
- +1 = Leads to a one-level increase in the inspection frequency for the surveillance element.
- +2 = Leads to a two-level increase in the inspection frequency for the surveillance element.

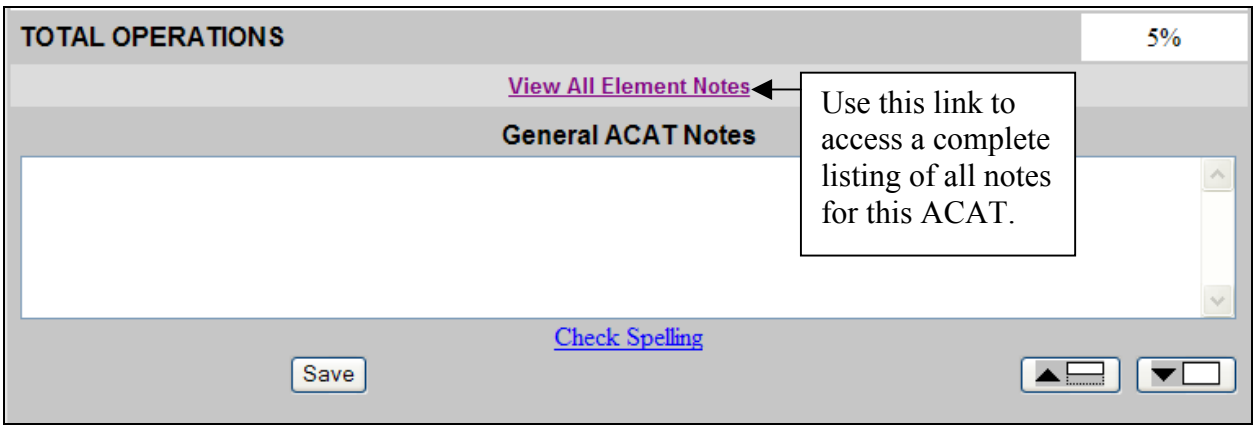


Figure 5-11: Excerpt of ACAT Results Page – Ending

Clicking on the PI's "Notes" icon (Figure 5-10) opens a window for input that will include the date and name of the PI who added the notes. A yellow icon signals that one or more PIs have already added a note. Figure 5-12 is an example.

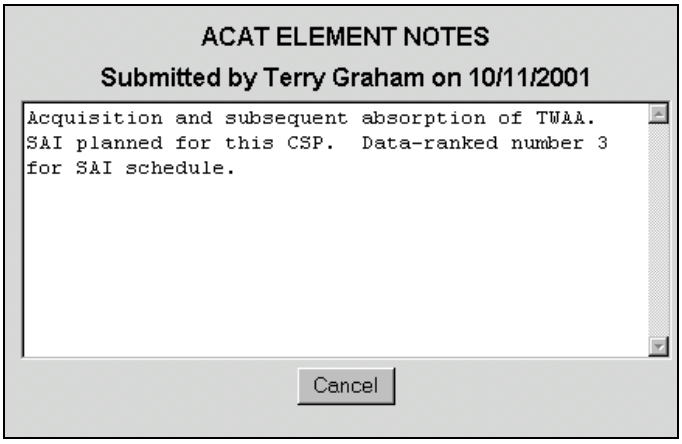


Figure 5-12: ACAT Element Note

Review all of the PI's element-specific notes associated with this ACAT by clicking on the **View All Element Notes** link near the bottom of the ACAT Results page. Figure 5-13 is an excerpt of the presentation of this full set of PI notes.

AIR CARRIER ASSESSMENT TOOL NOTES Query SPAS **BACK**

Operations Elements	Submitted By	Date	Notes Text
1.1.1 Aircraft Airworthiness	Terry Graham	10/11/2001	
1.1.2 Appropriate Operational Equipment	Terry Graham	10/11/2001	

The comments shown in this column are the same as on those viewed by clicking the notes icon for an individual element.

Figure 5-13: ACAT Notes – Excerpt of View of All PI Notes

5.1.3.2 Risk Indicator by Element

The "Risk Indicator by Element" report (Figure 5-14) shows how many checkmarks were entered for each risk indicator for all of the elements in each system.

AIR CARRIER ASSESSMENT TOOL: Risk Indicator by Element Query SPAS **ACAT MENU**

Southwest Airlines: () Plan ID 132 Version 1 Assessment Year 2003 View Report:

Inspectors: PI () , PI ()

Risk Indicator Name	1.0 Aircraft Configuration Control	2.0 Manuals	3.0 Flight Operations	4.0 Personnel Training and Qualifications	5.0 Route Structures	6.0 Airman and Crewmember Flight, Rest, and Duty Time	7.0 Technical Administration	Total
Operational Stability								
SPAS Mgmt./ Econ. Indicators	0	0	0	0	0	0	0	0
Change in Air Carrier Mgmt.	0	0	1	3	0	0	0	4
Turnover in Personnel	0	0	0	1	1	0	0	2
Reduction in Workforce/ Layoffs/ Buy-Outs	0	0	0	[illegible]	[illegible]	[illegible]	0	0
Rapid Expansion/ Growth	0	2	0	[illegible]	[illegible]	[illegible]	0	3

Click on a number to see which Elements were check-marked.

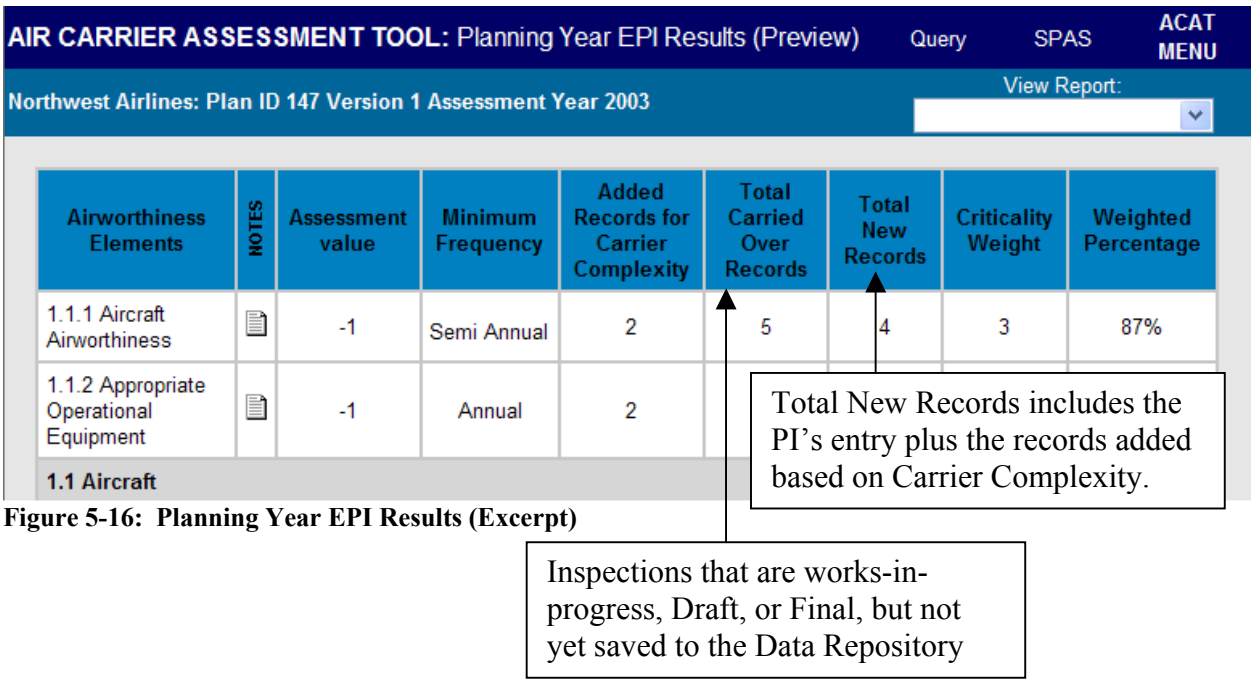
Figure 5-14: ACAT Risk Indicator by Element Report

For each system, click on the number displayed to learn exactly which elements within that system received a checkmark. An example of the window that will pop up over the report when a number in the total column is clicked is shown in Figure 5-15.

Figure 5-15: ACAT Risk Indicator Detail

5.1.3.3 Planning Year EPI Results

A portion of a "Planning Year EPI Results" report is shown as Figure 5-16.



Airworthiness Elements	NOTES	Assessment value	Minimum Frequency	Added Records for Carrier Complexity	Total Carried Over Records	Total New Records	Criticality Weight	Weighted Percentage
1.1.1 Aircraft Airworthiness		-1	Semi Annual	2	5	4	3	87%
1.1.2 Appropriate Operational Equipment		-1	Annual	2				
1.1 Aircraft								

Figure 5-16: Planning Year EPI Results (Excerpt)

The **Minimum Frequency** is computed by applying the Assessment Value to the Inspection Frequency Baseline (Quarterly, Semi-annual, or Annual). This indicates the minimum frequency with which the element will be inspected within the defined planning cycle. It will be categorized as Heightened, Quarterly, Semi-annual, or Annual.

- Heightened = Heightened surveillance of the element within the defined planning cycle, to a frequency greater than quarterly as determined by the Principal Inspector. A thorough system assessment, such as an SAI, should be considered for this element.

- Quarterly = Quarterly surveillance of the element within the defined planning cycle.
- Semi-annual = Semi-Annual surveillance of the element within the defined planning cycle.
- Annual = Annual surveillance of the element within the defined planning cycle.

The Criticality Weight column corresponds to the Criticality Baseline column on the CSP. The criticality weight is used in computing the Weighted Percentage column and provides representation of the criticality for each element into the criticality weight. The criticality weight may differ for each element. It will be categorized as 3, 2, or 1, representing High, Medium, or Low Criticality Baseline, respectively.

5.1.3.4 Planning Year SAI Results

A portion of a "Planning Year SAI Results" report is shown as Figure 5-17.

AIR CARRIER ASSESSMENT TOOL: Planning Year SAI Results (Preview) Query SPAS ACAT MENU

Northwest Airlines: Plan ID 147 Version 1 Assessment Year 2003 View Report:

Airworthiness Elements	NOTES	Total Carried Over Records	Criticality Weight	Weighted Percentage
1.1.1 Aircraft Airworthiness		0	3	87%
1.1.2 Appropriate Operational Equipment		0	2	12%
1.1 Aircraft		SAI Priority: **4**		**50%**

Figure 5-17: Planning Year SAI Results (Excerpt)

5.1.4 Saving the ACAT to Final

From your Home Page, click on the circled plus sign left of **PLANNING YEAR OPTIONS** to reveal the **AIR CARRIER ASSESSMENT TOOL** menu that includes the link to access the draft ACAT. Figure 5-18 shows this expanded menu.

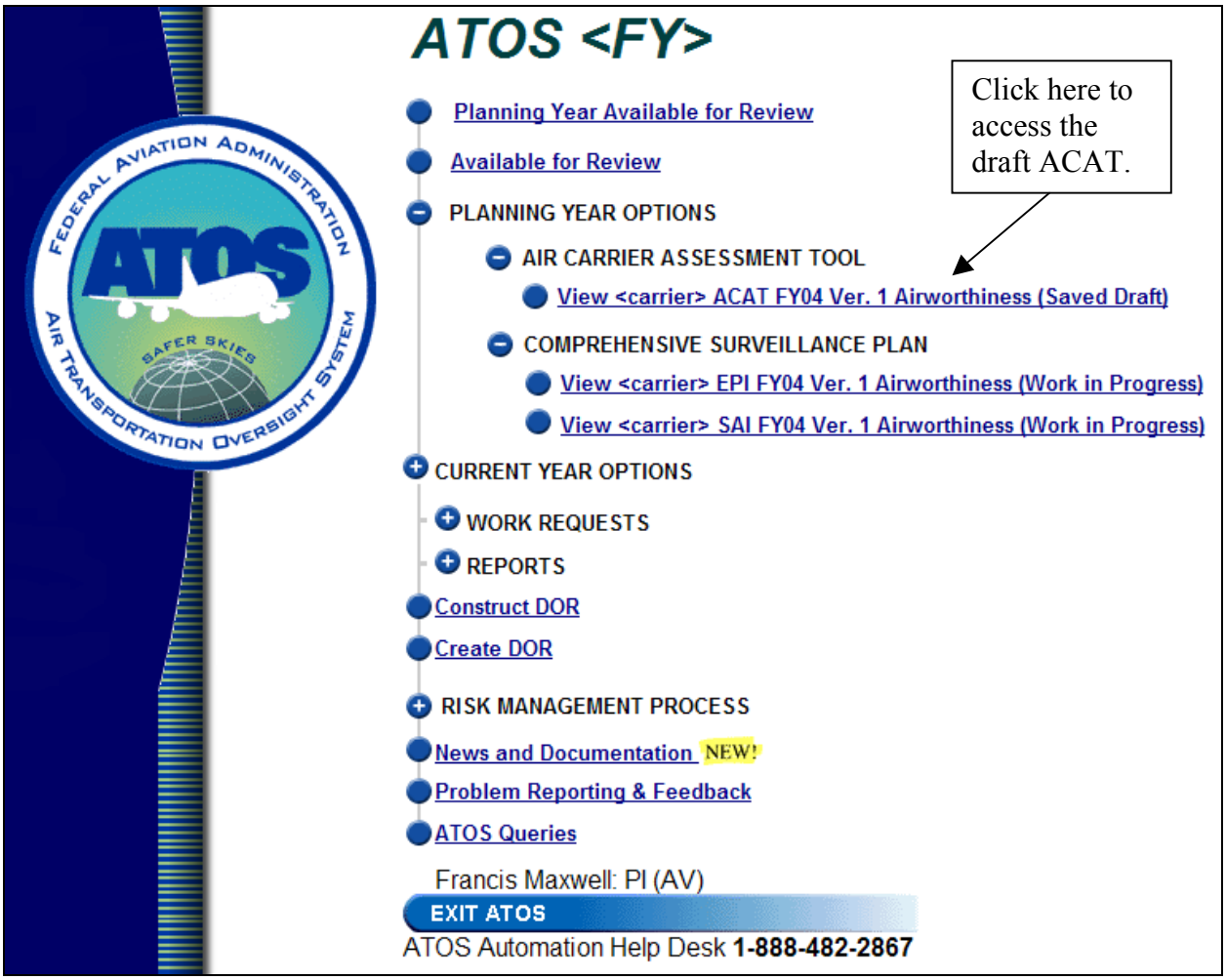


Figure 5-18: Principal Inspector's ATOS Home Page

Click on the View…ACAT…(Draft) link (Figure 5-18) to access the ACAT page (Figure 5-19).

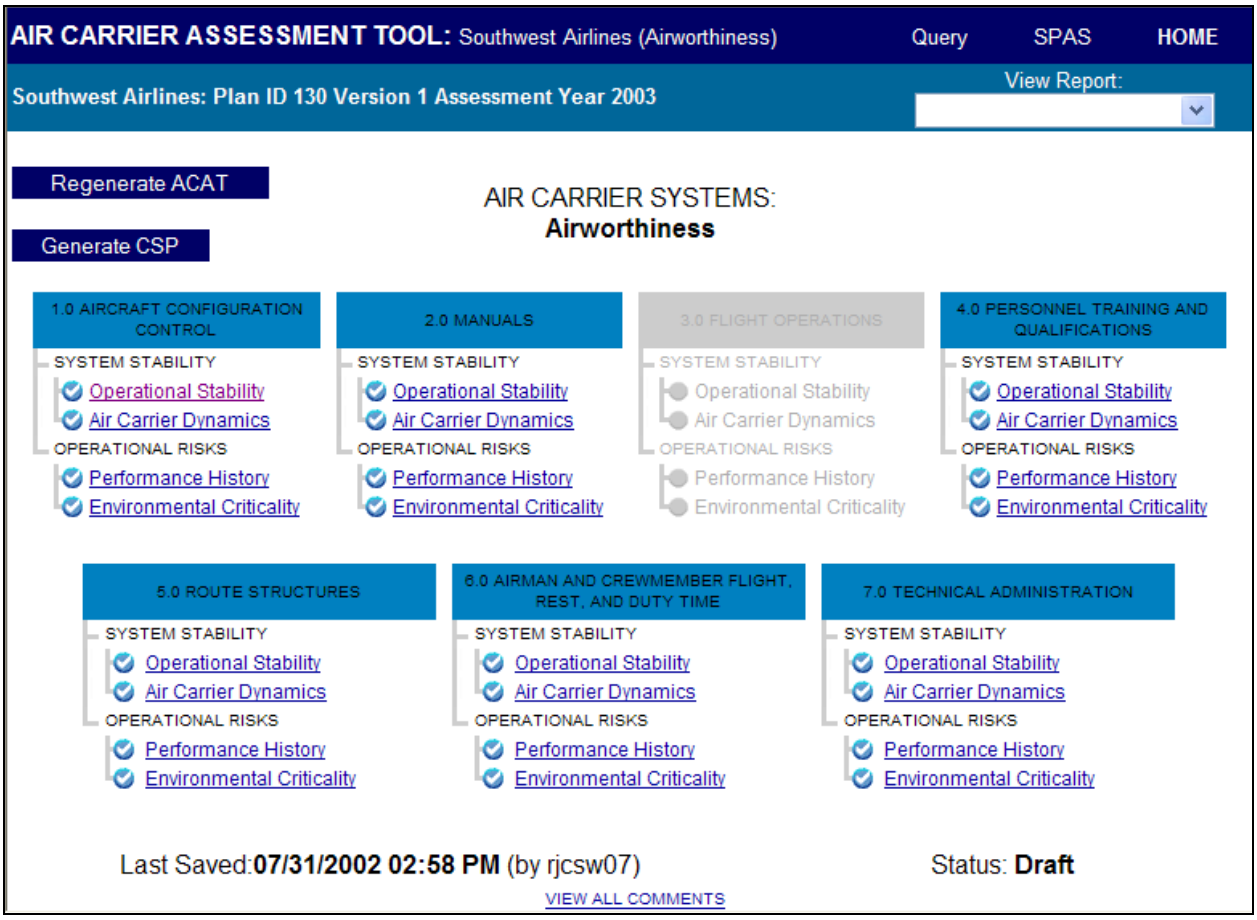


Figure 5-19: ACAT Appearing in Draft Status

Click on any subject to bring up a risk indicator matrix and click on the **Save** button. The next window, Figure 5-20, will give you the option of upgrading the status of the ACAT.

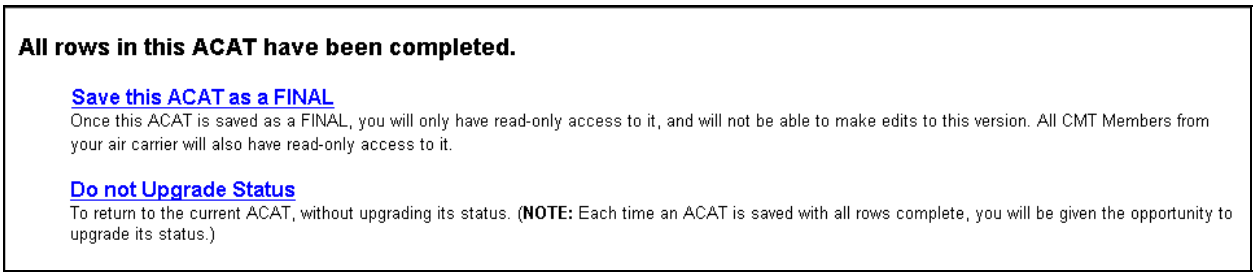


Figure 5-20: Option to Save the Draft ACAT as a Final

Clicking on the link to **Save this ACAT as a FINAL** results in the automatic entry of your ATOS UserID as the "first approval" (Figure 5-21).

In the case of an Airworthiness ACAT, both the PMI and the PAI must approve the ACAT, but either may initiate the ACAT and provide the first approval.

An Operations ACAT must be approved by both the POI and the CSI, but the POI is the only one who may initiate the Operations ACAT and provide the first approval. This is the illustration that follows.

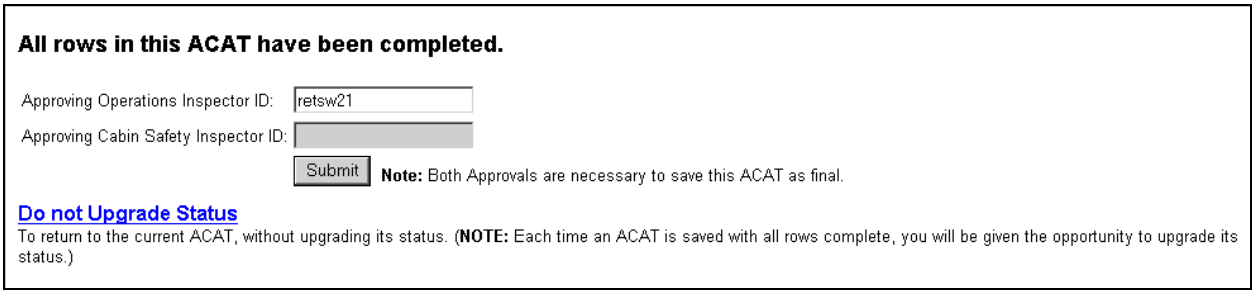


Figure 5-21: First Approval to Save an Operations ACAT as Final

Click on the **Submit** button to have the ATOS Automation forward the ACAT to the appropriate CSI for the second approval.

When the CSI clicks on the approval link from the CSI Home Page (Figure 5-22), the Draft ACAT is shown (Figure 5-23).

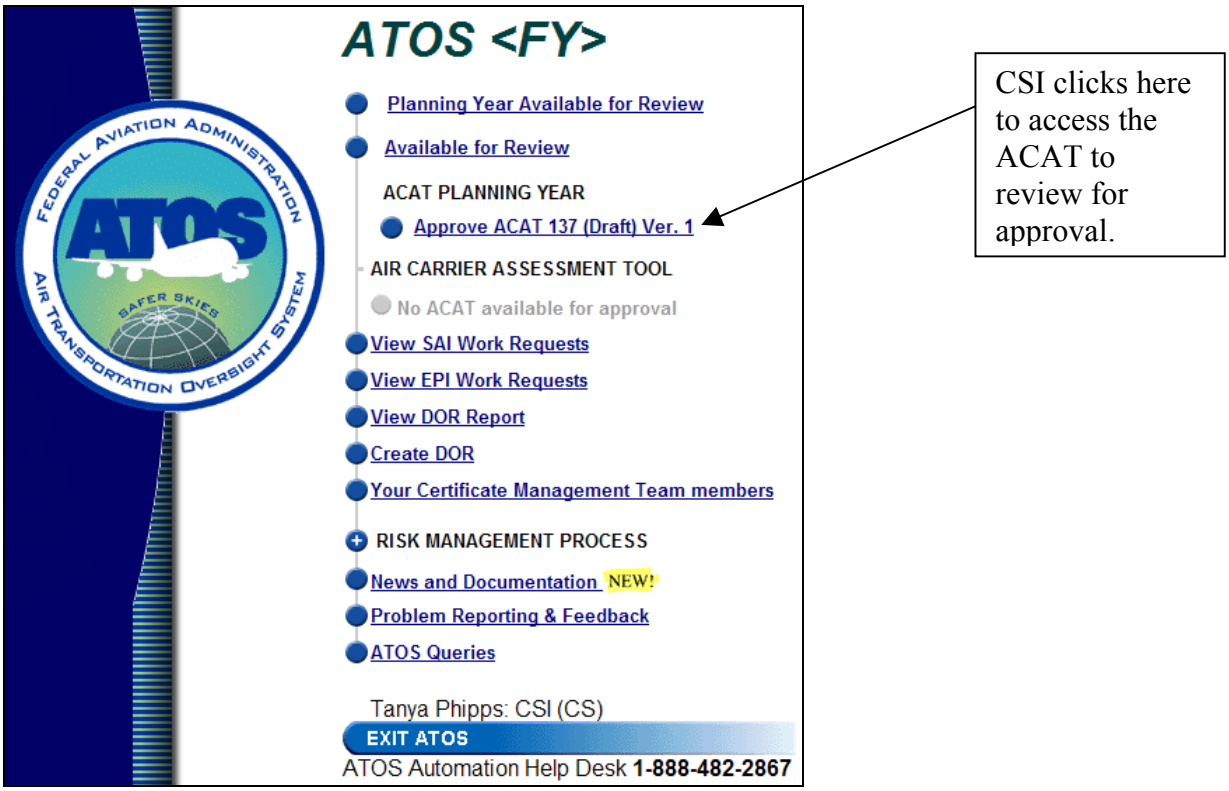


Figure 5-22: CSI Home Page Showing Link to Item(s) Available for Review

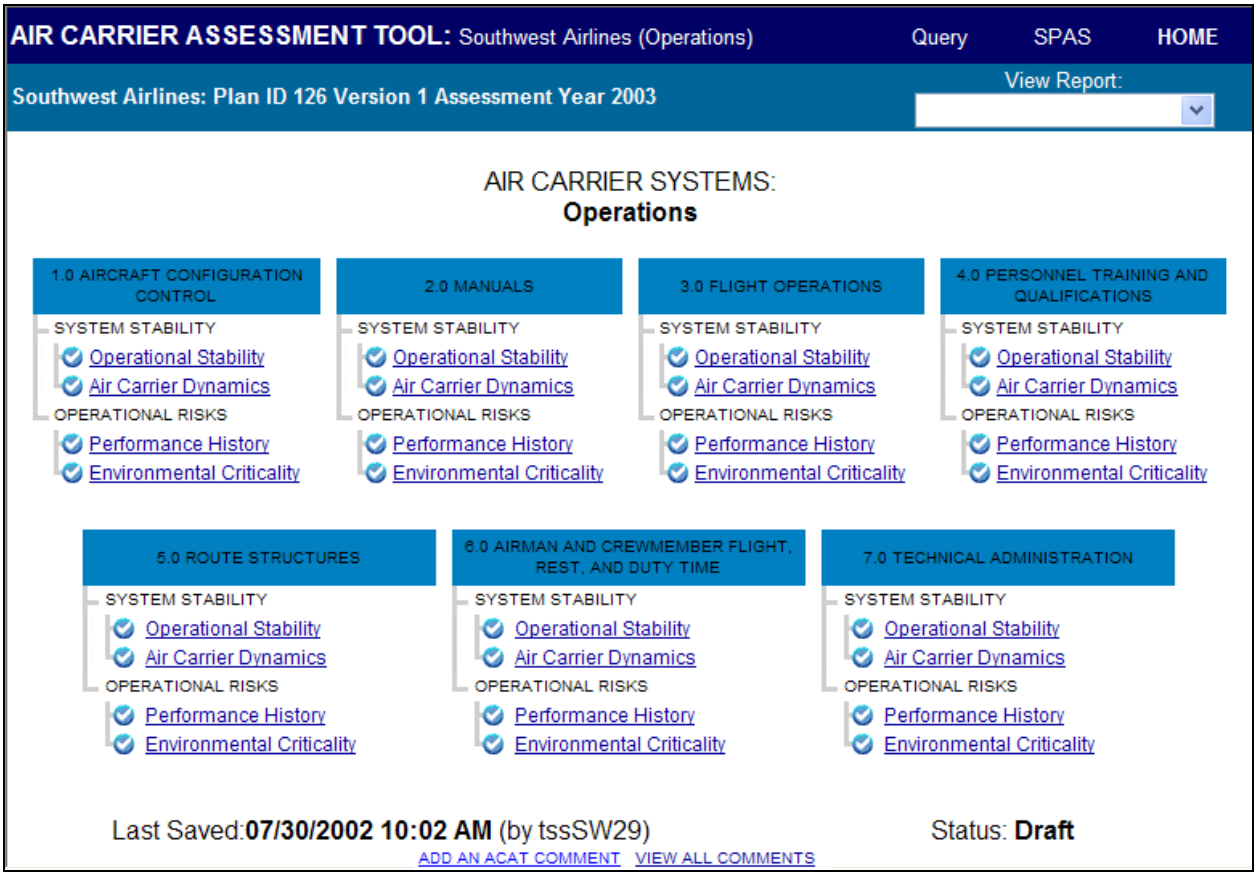
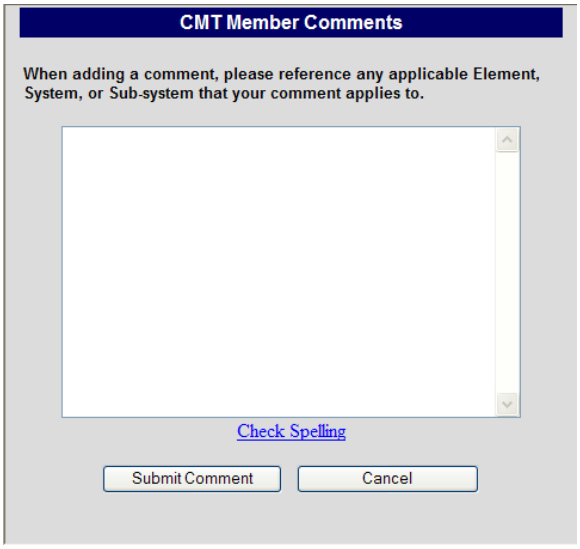


Figure 5-23: ACAT in Draft Status

From the ACAT main page (Figure 5-23), the CSI may comment on the ACAT by clicking on the **ADD AN ACAT COMMENT** link at the bottom of the page. This will open the "CMT Member Comments" window, as shown in Figure 5-24.



When adding a comment, it is important to reference any applicable Element, System, or Sub-system that your comment applies to.

Clicking on the **Submit Comment** button when your comments are completed closes the CMT Member Comment window.

Clicking on the **VIEW ALL COMMENTS** link on the ACAT main page will open a window listing the comments that other CMT members have made upon review of the Draft ACAT.

Figure 5-24: CMT Member Comments Window

From the ACAT main page, clicking on any subject brings an element level matrix (Figure 5-25 is an example) for the CSI to review.

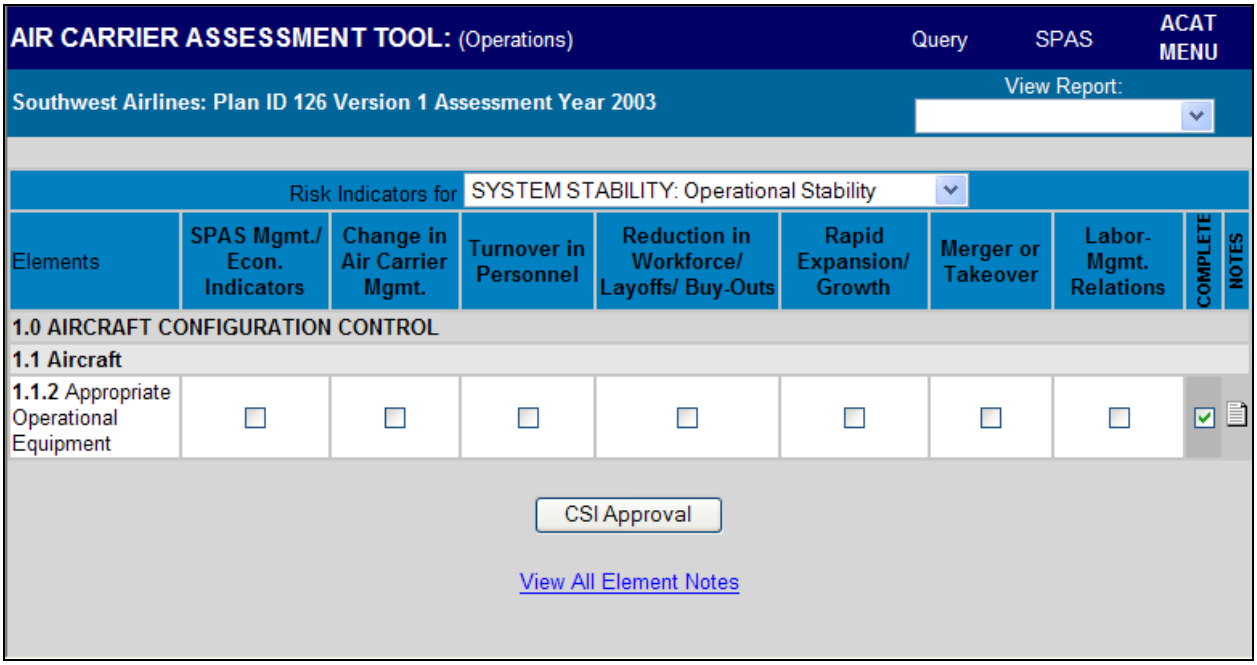


Figure 5-25: Sample of an Element Level Screen Entered from the ACAT Main Page

Click on the **CSI Approval** button to continue the approval process for the ACAT. The next window is the announcement that the ACAT may be saved as a FINAL, as shown in Figure 5-20. Clicking on the **Save this ACAT as a FINAL** link brings the second approval window, Figure 5-26, with the ATOS UserID of the CSI, automatically entered.

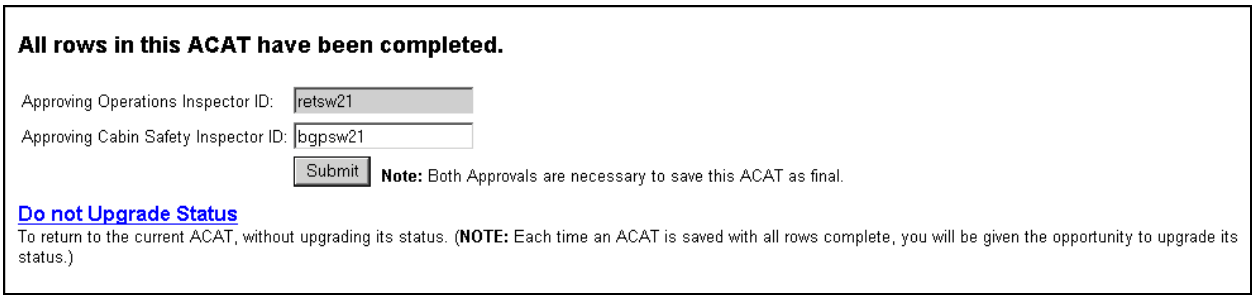


Figure 5-26: Second Approval to Save the ACAT as Final

The CSI clicks on the **Submit** button to complete the second approval of the ACAT. The ACAT is then shown with a status of "Final" (Figure 5-27).

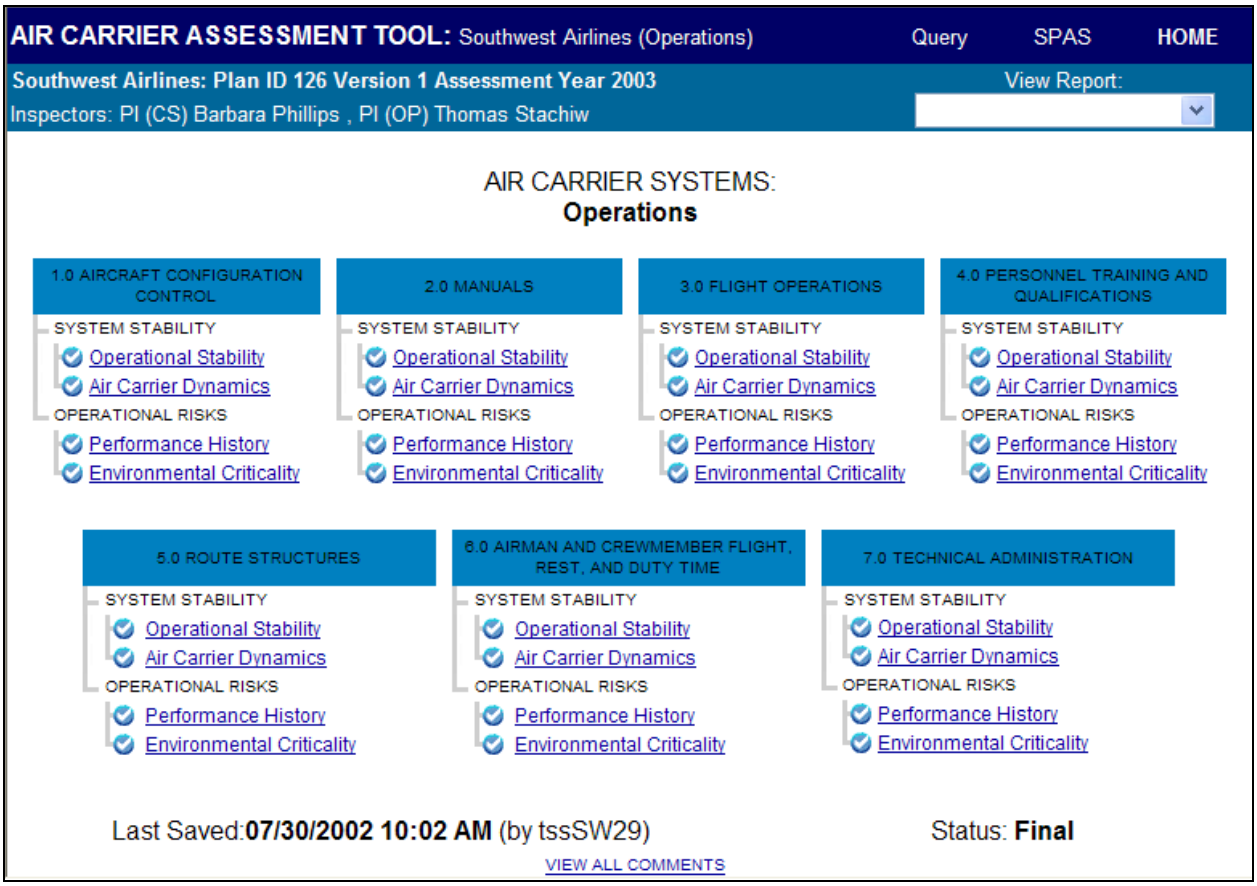


Figure 5-27: ACAT in Final Status

Click on the **HOME** button in the upper right corner of the ACAT page to return to the CSI Home Page. As illustrated by Figure 5-28, there is no longer a link to Planning Year Options.

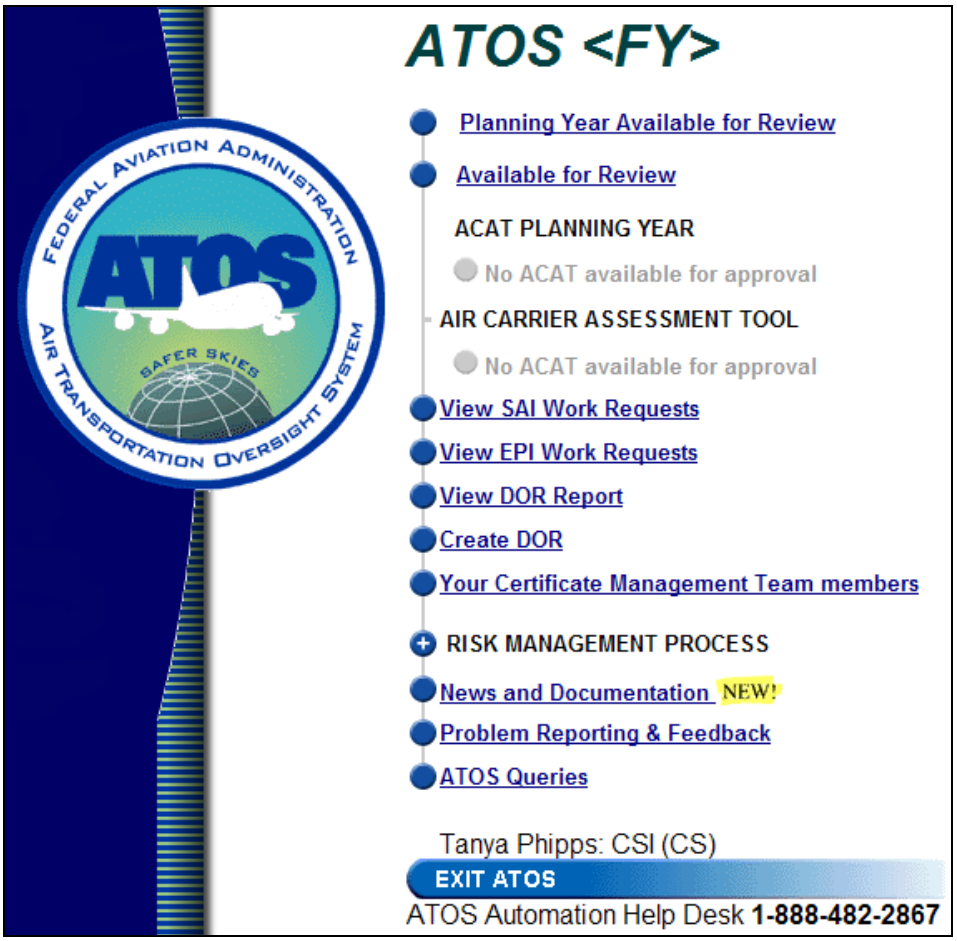


Figure 5-28: CSI Home Page Showing No Link to Planning Year Options

During the planning process, the current plans are active and surveillance continues as usual. While using the planning versions, the CSP EPI and SAI Plans can be generated before finalizing the ACAT. This may be done multiple times as changes are made to the ACAT.

Additional detail regarding modification of the ACAT may be found in Chapter 6, Retargeting.

Once planning is completed and the CHDO Manager has acknowledged the new CSP (see Section 5.4), the new plans can be released and become the active plans for surveillance. All Records and Activities that were active under the old plans are automatically migrated to the new plans for completion.

The following matrix is a quick reference to the columns in the Planning Year EPI and SAI displays as they relate to how records are inherited from previous planning years and their affect on the number of new and existing inspections in any given planning year.

Number of Inspections	**EPI Planning Year**	**SAI Planning Year**
Baseline	Computed from the ACAT assessment value applied to the Air Carrier Complexity Factor of the ATOS Carrier: Group 1 (smallest, least complex) adds 0 records Group 2 (mid-range) adds 2 records Group 3 (largest, most complex) adds 4 records	Not Applicable
Carried Over	Inspections that are works in progress, in draft status, or in final status, but not yet saved to the Data Repository	Same as EPI
New Inspections	Defaults to the number that, when added to those "Carried Over" will equal the "Baseline"	Defaults to zero
Total Inspections	Sum of "Carried Over" and "New Inspections"	Same as EPI

5.1.5 Edit the EPI Plan in the Planning Year CSP

To reach the EPI Plan, click on the circled plus sign left of PLANNING YEAR OPTIONS on the PI's Home Page (Figure 5-29) to expand the menu to include the AIR CARRIER ASSESSMENT and COMPREHENSIVE SURVEILLANCE PLAN. Expanding the COMPREHENSIVE SURVEILLANCE PLAN will show the EPI and SAI documents under development, along with the status of each. Click on the link to the EPI Plan to begin the editing process.

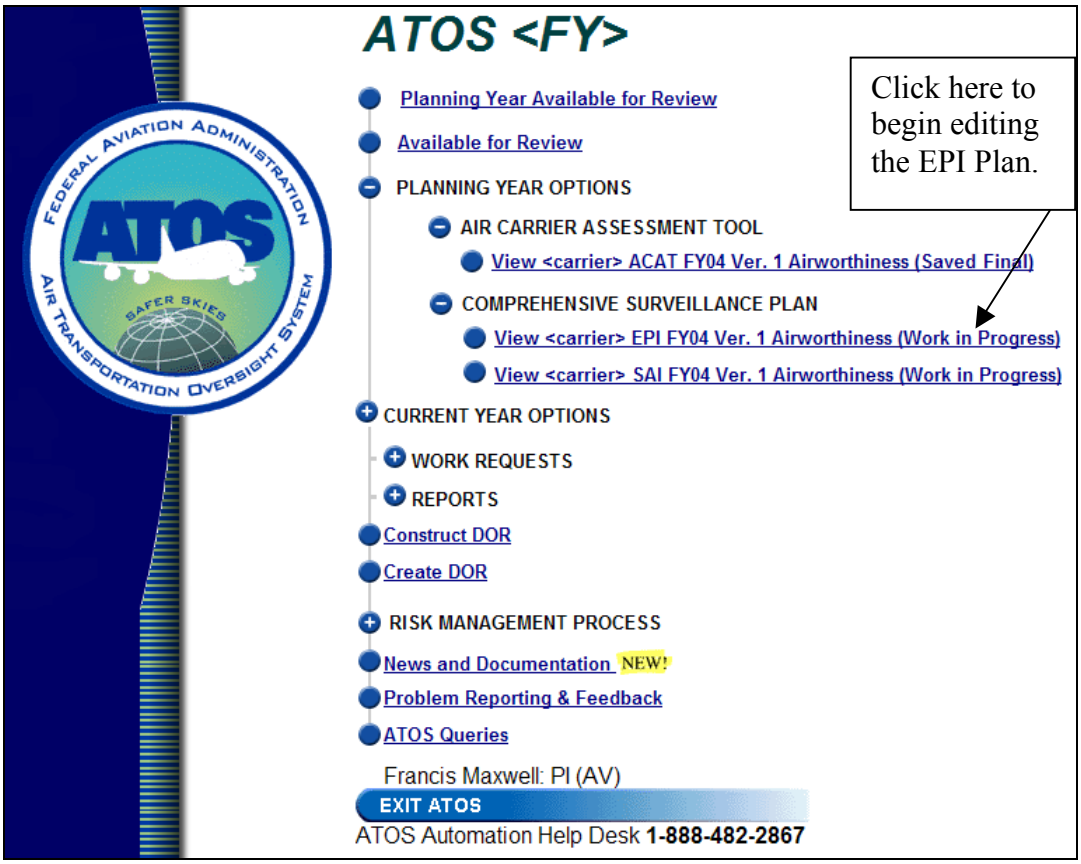


Figure 5-29: PI's Home Page with Menu Items Expanded to Show Link to the EPI in Progress

Clicking on the View <Air Carrier> EPI… link on the home page opens the EPI main page, as shown in Figure 5-30.

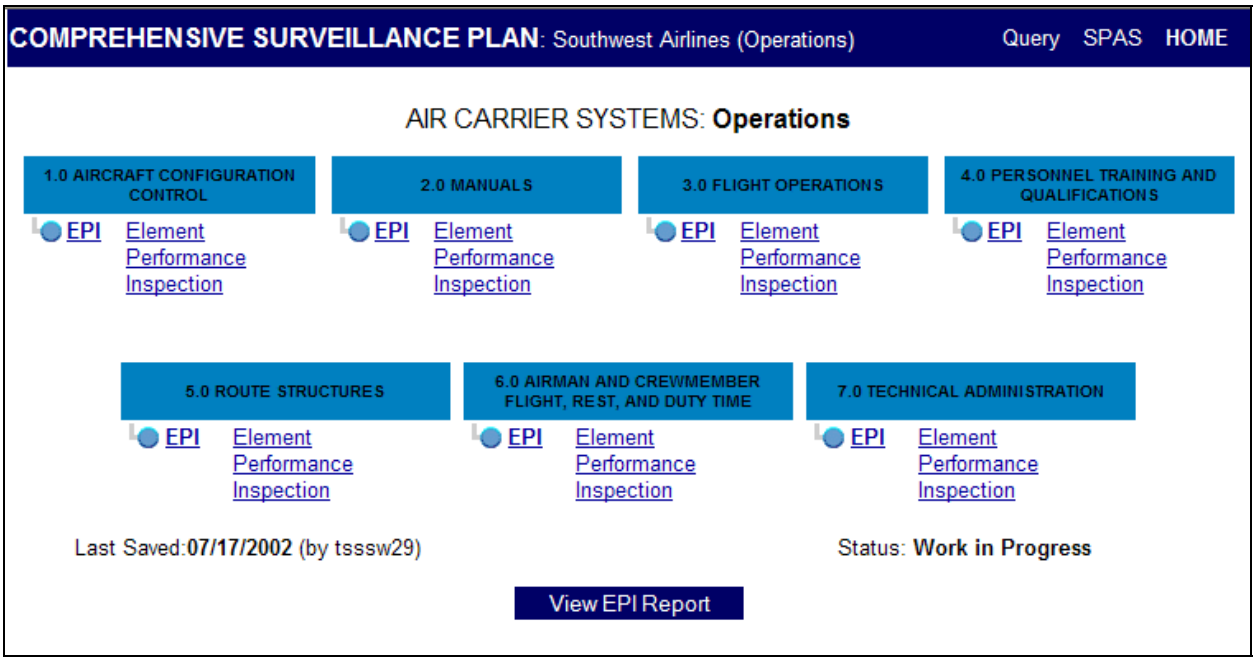


Figure 5-30: EPI Main Page with a Status of Work-in-Progress

Clicking on one of the EPI links brings you to the EPI assignment page for that system, as illustrated in Figure 5-31.

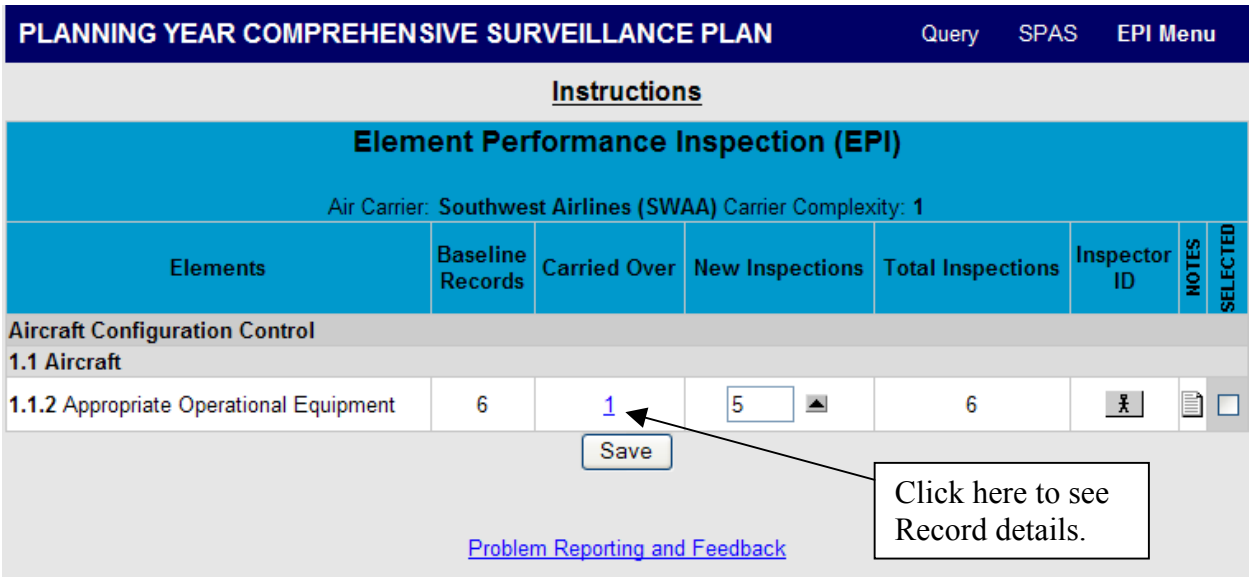


Figure 5-31: EPI Element Planning Screen

The number showing in the "Carried Over" column includes those inspections that are works in progress, in draft status, or in final status, but not yet saved to the Data Repository. This number is a hyperlink to a listing of those records that includes the Inspector assigned and the current status, as shown in Figure 5-32.

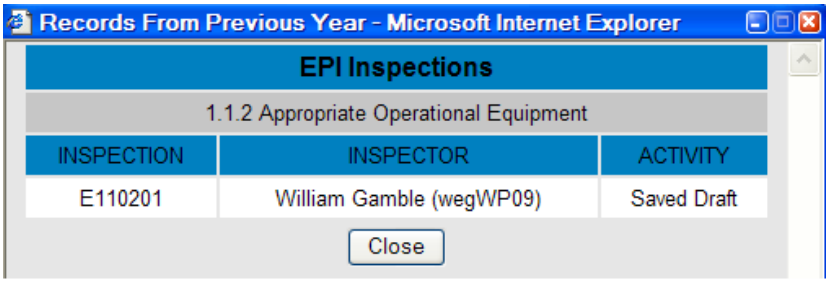


Figure 5-32: Detail of EPI Record Carried Over to New Fiscal Year

The number shown in the "New Inspections" column will default to the number of inspections that, when added to those now in progress shown in the "Carried Over" column, will equal the number shown in the "Baseline" column. Increase the number in the "New Inspections" column by clicking on the arrow to the right of the number field. Once you have saved the page, the number in the "Total Inspections" column is automatically updated to the new total. If the number of new inspections has been increased to more than the baseline, inspections may be deleted by clicking on the "Inspector ID" icon and deleting a record from that listing.

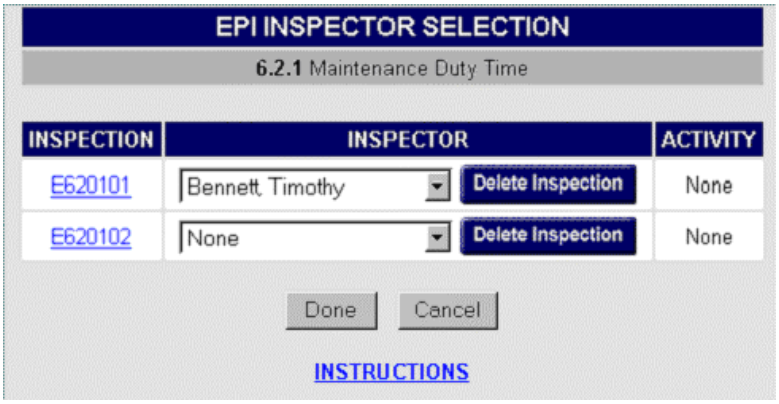


Figure 5-33: EPI Records That May be Deleted

When the total inspections are above the baseline, clicking on the "Inspector ID" icon will open the EPI Inspection Selection window, Figure 5-33. Only those records that have an entry of "None" under "ACTIVITY" may be considered for deletion. No record may be deleted if doing so would result in a total number of inspections less than the baseline number.

Clicking on the Inspector icon from the EPI Element screen brings up the "EPI Inspector Selection" window, Figure 5-34, where an Inspector may be designated for each inspection Record. (Note that this view does not have a **Delete Inspection** button because the number of inspections does ***not*** exceed the baseline number.)

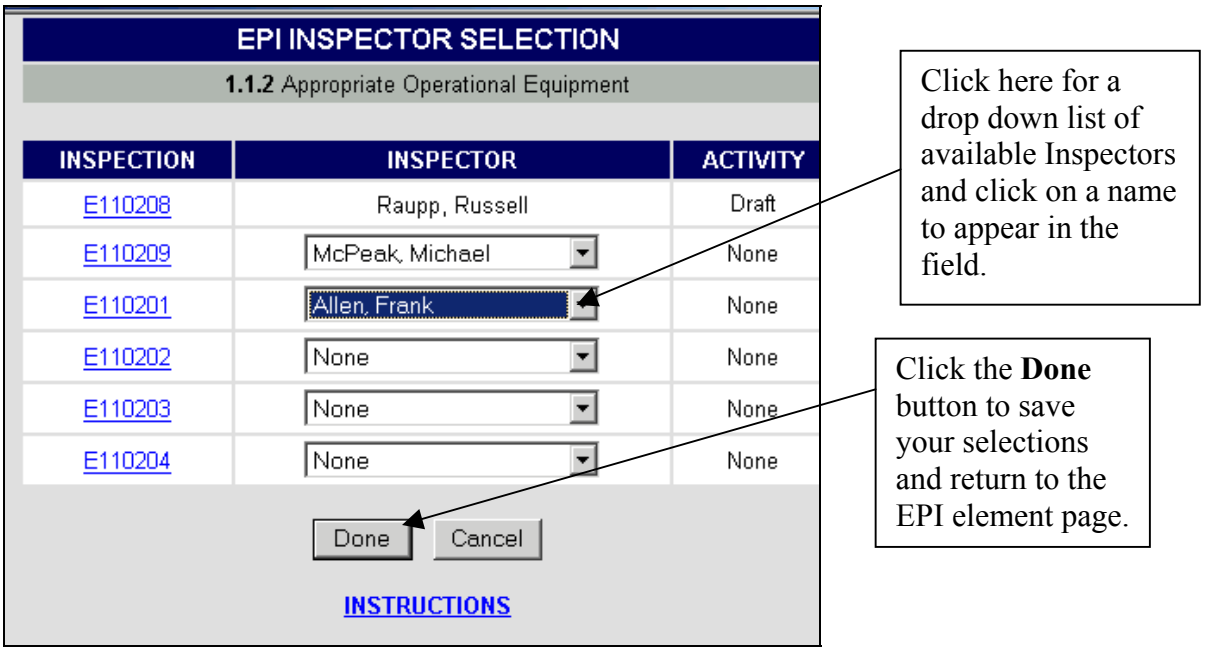


Figure 5-34: EPI Inspector Selection Window

Use the arrow to the right of the Inspector field to see a drop down list of available Inspectors. Clicking on an Inspector's name causes it to appear as the entry in the field and the drop down menu goes away. As long as the entry in the "Activity" column is "None," that is, as long as the Inspection has not been initiated, you may change the name of the Inspector assigned to a given record. When you have finished assigning inspectors, click on the **Done** button and you will return to the EPI Planning page for the element you were working with.

As you complete assignments, enter a check mark in the **Selected** column box at the end of each row.

> *Caution: Be sure to click on the Save button before returning to the EPI Menu, or any changes you have made will be lost.*

When you complete all of the rows of a given element, click on the **EPI Menu** link in the upper right corner of the page. Once back at the EPI Menu, you will see a check mark in the circle to the left of the element link you have completed. When you have completed each of the EPI links, you will have the opportunity to upgrade the status of the EPI Plan to "Draft" or to keep it as a Work in Progress (Figure 5-35).

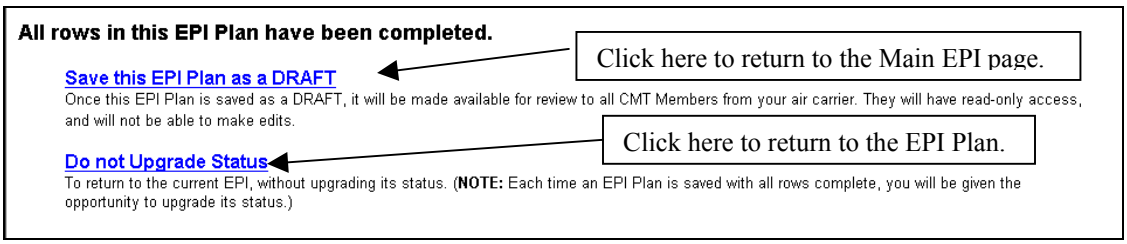


Figure 5-35: Option to Upgrade EPI Plan to Draft Status

If you click on the **Do not Upgrade Status** link, then you will return to the EPI Plan.

Clicking on the **Save this EPI Plan as a DRAFT** returns you to the EPI Plan Main Page where you can see that the Status is now shown as "Draft" (Figure 5-36).

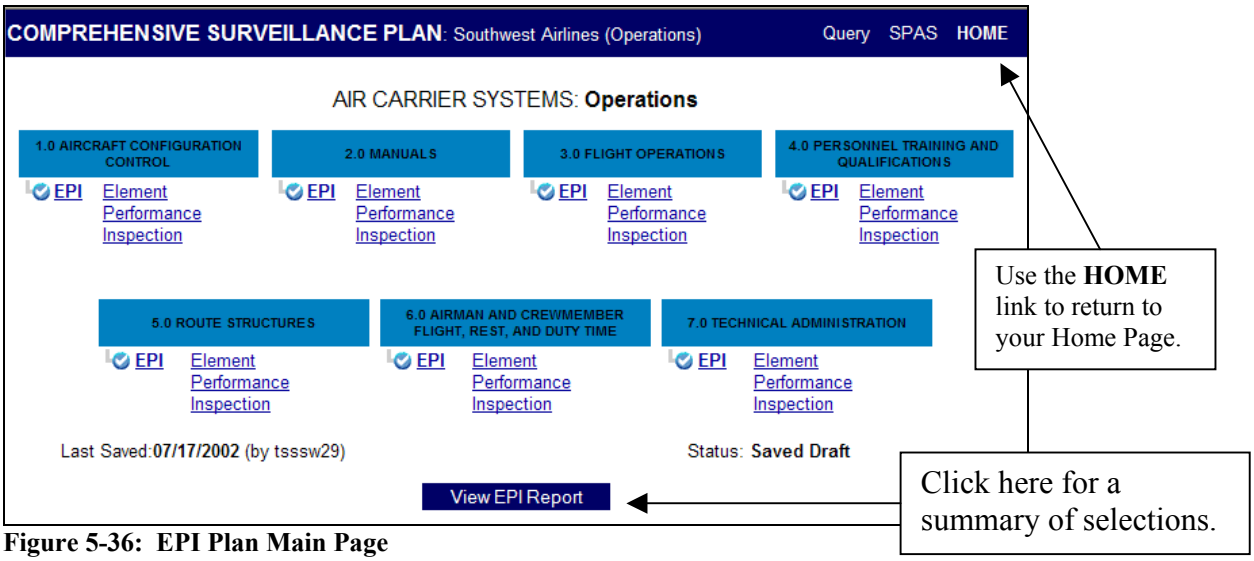


Figure 5-36: EPI Plan Main Page

A summary of EPI selections may be seen by clicking on the **View EPI Report** button on the bottom of the EPI Plan main page (Figure 5-36). An excerpt of this report is shown as Figure 5-37.

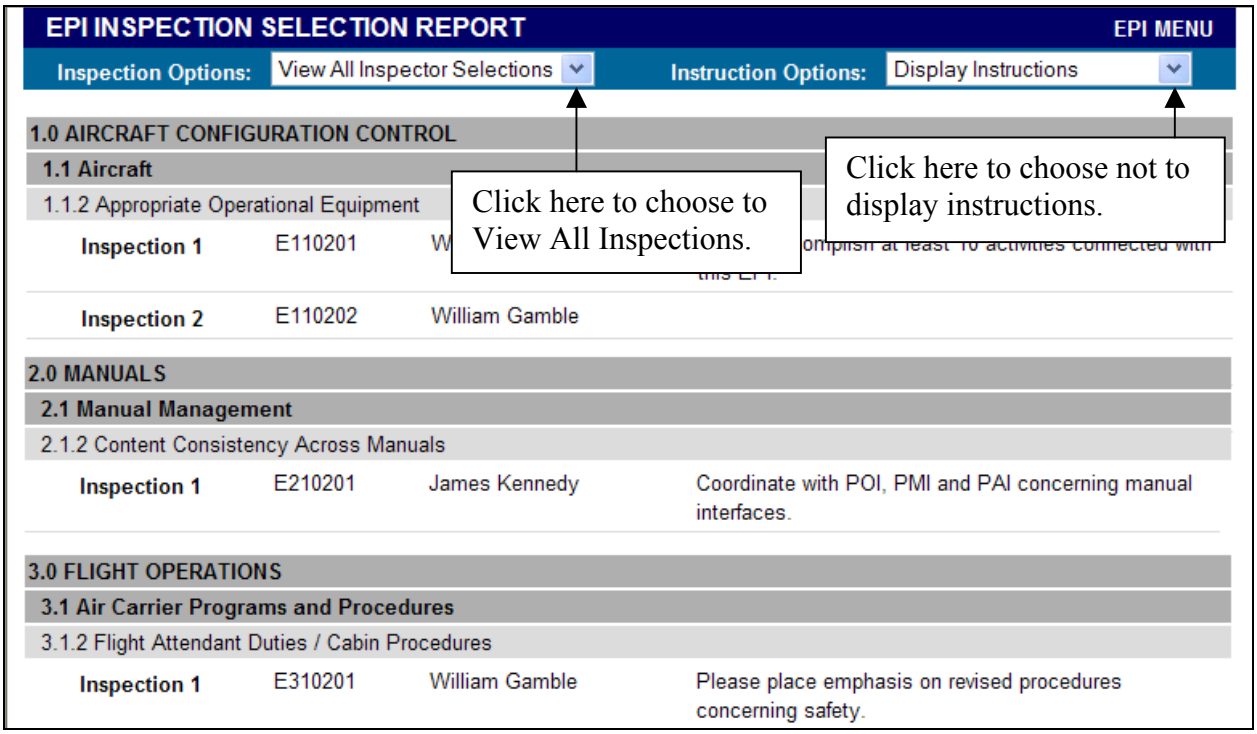


Figure 5-37: EPI Inspection Selection Report - Excerpt

Drop-down menus at the top of the EPI Selection Report (Figure 5-37) offer various display options. When you choose to "View All Inspections", the report will include those inspections for which the Inspector is noted as "Unselected". Choosing the "Do Not Display Instructions" will simply result in a blank space to the right of the Inspector's name.

Return to the EPI Menu via the link in the upper right corner of the EPI Inspection Selection Report. From there, return to your ATOS Home Page by clicking on the **HOME** link in the upper right corner of the page. As illustrated in Figure 5-38, the CSP EPI plan will now be noted as "Saved Draft".

Additional detail regarding editing of the EPI Plan may be found in Chapter 6, Retargeting.

5.1.6 Edit the SAI Plan in the Planning Year CSP

To reach the SAI Plan, click on PLANNING YEAR OPTIONS on the PI's Home Page (Figure 5-38) to expand the menu to include the AIR CARRIER ASSESSMENT and COMPREHENSIVE SURVEILLANCE PLAN. Expanding the COMPREHENSIVE SURVEILLANCE PLAN will show the EPI and SAI documents under development, along with the status of each. Click on the link to the SAI Plan to begin the editing process.

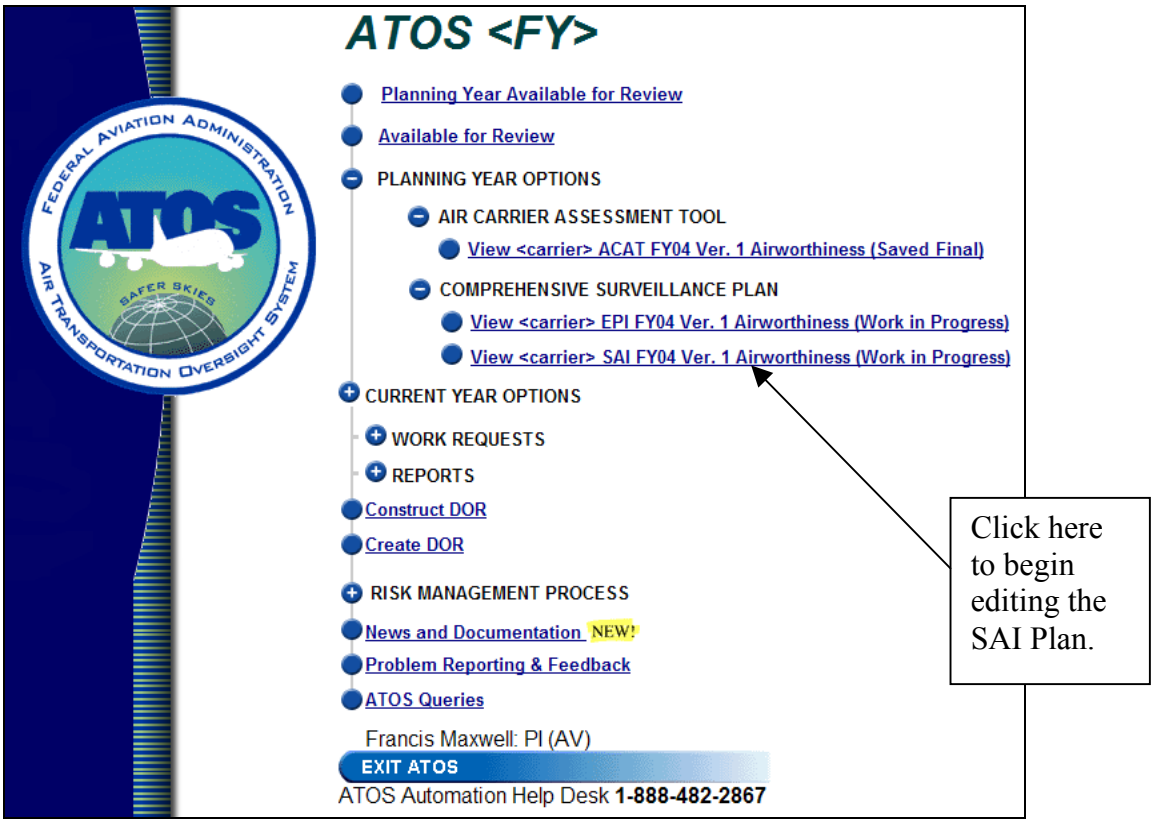


Figure 5-38: PI Home Page with Menu Items Expanded to Show Link to the SAI in Progress

Clicking on the View <Air Carrier> SAI… link on the home page opens the SAI main page, as shown in Figure 5-39.

Figure 5-39: SAI Plan Main Page

Click on a specific system SAI link to bring up the window that will allow you to detail the inspections required for each element within that system, as illustrated in Figure 5-40.

PLANNING YEAR COMPREHENSIVE SURVEILLANCE PLAN Query SPAS SAI Menu

Instructions

Safety Attribute Inspection (SAI)

Air Carrier: **Southwest Airlines (SWAA)**

Elements	Carried Over	New Inspections	Total Inspections	Inspector ID	NOTES	SELECTED
Personnel Training and Qualifications						
4.2 Training Program		SAI Priority: **1**		SAI Team		
4.2.3 Training of Flight Crewmembers	0	0	0			
4.2.4 Training of Flight Attendants	0					
4.2.5 Training of Dispatchers	1					
4.2.6 Training of Station Personnel	0	0	0			
4.2.7 Training of Check Airmen and Instructors	0	0	0			
4.2.8 Simulators / Training Devices	0	0	0			
4.2.9 Outsource Crewmember Training	0	0	0			
4.2.10 Aircrew Designated Examiner (ADE) Program	0					
4.2.11 Training of Flight Followers	0	0	0			
4.3 Crewmember and Dispatch Qualifications		SAI Priority: **2**		SAI Team		
4.3.1 Pilot Operating Limitations / Recent Experience	0	0	0			
4.3.2 Appropriate Airmen / Crewmember Checks and Qualifications	0	0	0			
4.3.3 Advanced Qualification Program (AQP)	0	0	0			

Save

Problem Reporting and Feedback

Click here to form Teams to assign to Inspections.

Click here to see Record details.

Figure 5-40: SAI Element Screen

The number showing in the "Carried Over" column includes those inspections that are works in progress, in draft status, or in final status, but not yet saved to the Data Repository. This number is a hyperlink to more detail about those records, as illustrated in Figure 5-41.

Records From Previous Year - Microsoft Internet Explorer

SAI Inspections

4.2.5 Training of Dispatchers

INSPECTION	INSPECTION TEAM	ACTIVITY
S420501	Team cannot be changed: 460	Saved Draft

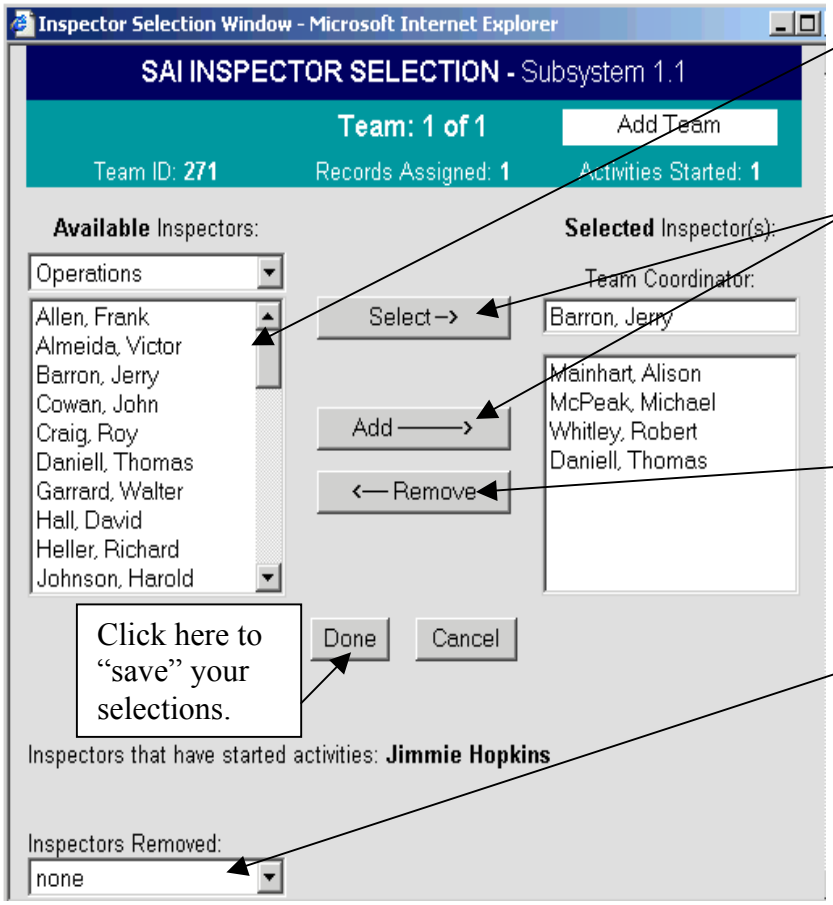
Close

7/18/02 0035 SAI-Carryover-Detail2.bmp

Figure 5-41: Detail of an SAI Record Carried Over to New Fiscal Year

The number showing in the "New Inspections" column will default to the zero. Increase the number in the "New Inspections" column by clicking on the arrow to the right of the number field. Once you have saved the page, the number in the "Total Inspections" column is automatically updated to the new total.

Click on the **SAI Team** icon to bring up the "SAI Inspector Selection" window that allows you to form Teams from available Inspectors, including the designation of a Team Coordinator (Figure 5-42).



1. Click on names from within the "Available Inspectors" box, using the vertical scroll bar to see more of the list.

2. Once a name is highlighted, click on the **Select** button to designate that person as Team Coordinator, or on the **Add** button to add the person to the team.

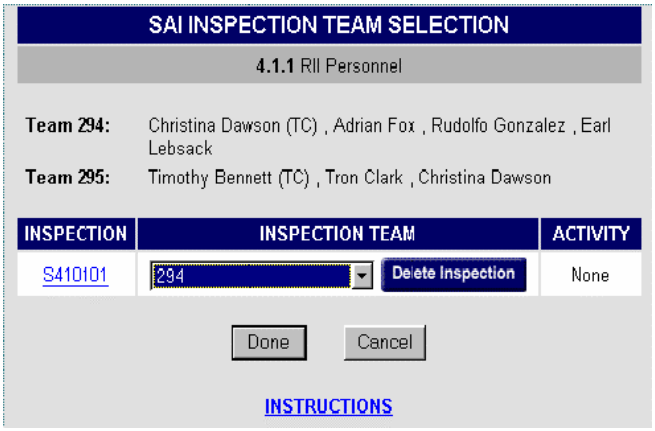
3. If you wish to remove an Inspector from the "Selected Inspectors" list, click on the name to highlight it, then click on the **Remove** button.

4. The ATOS UserIDs of Inspectors removed from the "Selected Inspector(s)" side will appear in the "Inspectors Removed" field in the lower left corner of the window.

Figure 5-42: SAI Inspector Selection Window

When you have completed the Team Selection, click on the **Done** button to return to the SAI Element page.

Assign an SAI Inspection Team to an inspection by clicking on the single Inspector icon on the element line to open the SAI Inspection Team Selection window (Figure 5-43). A drop-down menu is available to select a team.



Inspections may be deleted by clicking on the Delete Inspection button, which will only be presented for those records that have an entry of "None" under "ACTIVITY

Figure 5-43: SAI Inspection Team Selection Showing a Record That May be Deleted

As you complete assignments, enter a check mark in the **Selected** column at the end of each row.

> *Caution: Be sure to click on the Save button before returning to the SAI Menu, or any changes you have made will be lost.*

When you complete all of the rows of a given element, click on the **SAI Menu** link in the upper right corner of the page. Once back at the SAI Menu, you will see a check mark in the circle to the left of the SAI link you have completed. When you have completed each SAI link, you will have the opportunity to upgrade the status of the SAI Plan to "Draft" or to keep it as a Work in Progress (Figure 5-44).

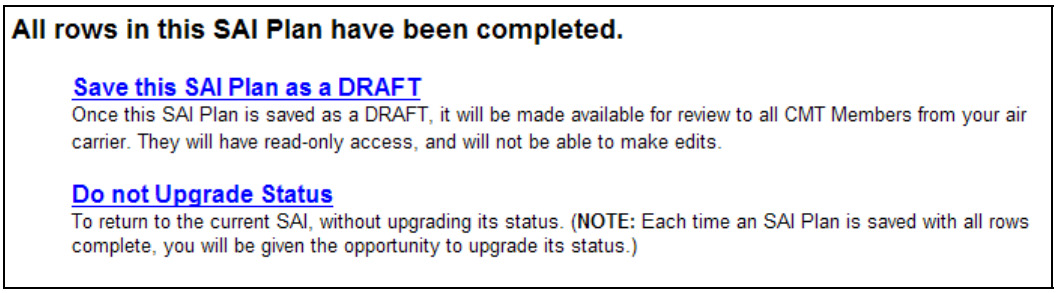


Figure 5-44: Option to Upgrade the SAI Plan to Draft Status

If you click on the **Do not Upgrade Status** link, then you will return to the SAI Plan.

Clicking on the **Save this SAI Plan as a DRAFT** returns you to the SAI Plan Main Page where you can see that the Status is now shown as "Draft" (Figure 5-45).

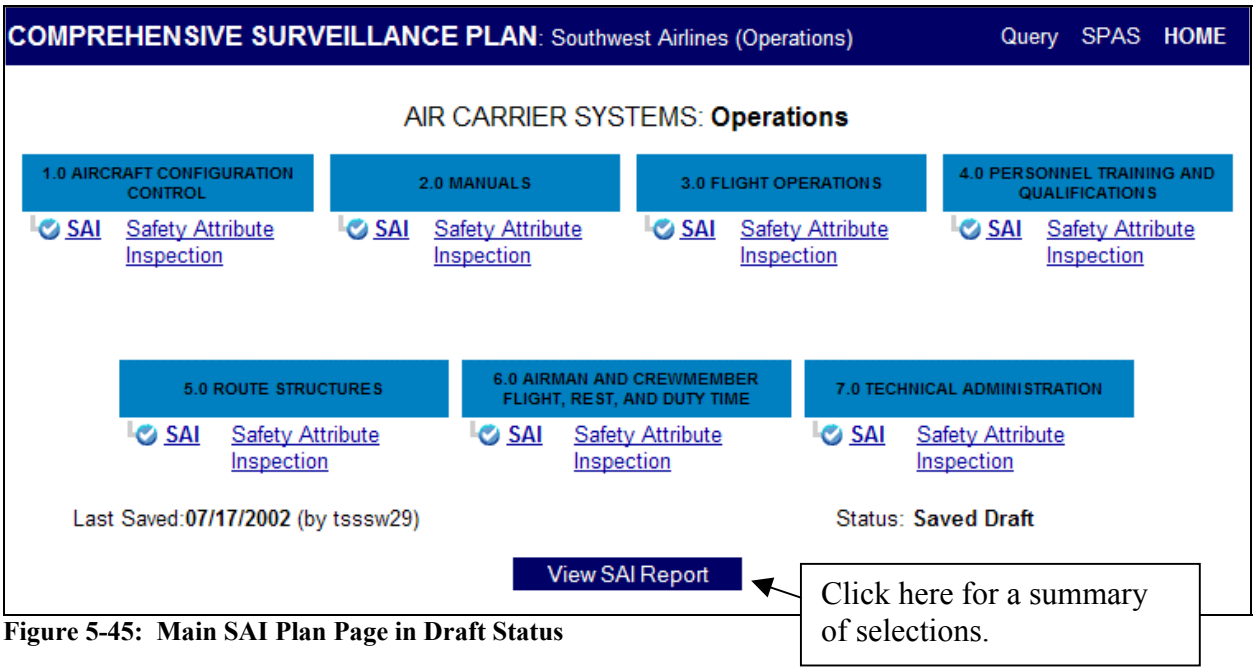


Figure 5-45: Main SAI Plan Page in Draft Status

A summary of SAI selections may be seen by clicking on the **View SAI Report** button on the bottom of the SAI Plan main page (Figure 5-45). An excerpt of this report is shown as Figure 5-46.

SAI INSPECTION SELECTION REPORT SAI MENU

Inspection Options: View All Inspector Selections Instruction Options: Display Instructions

Team Number: 338	**Team Members:**	Gary Fick (TC), James Kennedy, Phillip Lerum, Barbara Phillips, James Speight, Thomas Stachiw
Team Number: 339	**Team Members:**	Gary Fick (TC), James Kennedy, Phillip Lerum, Donald Riley, James Speight, Thomas Stachiw
Team Number: 460	**Team Members:**	Gary Fick (TC), James Kennedy, Donald Riley, James Speight, Thomas Stachiw

3.0 FLIGHT OPERATIONS

3.1 Air Carrier Programs and Procedures

3.1.1 Passenger Handling

Inspection 1	S310101	**Team:** 338	Coordinate with ASW-700 and the CASFO on this SAI. Do not duplicate their efforts. Instead, incorporate their findings, feelings, and opinions into this SAI where appropriate and accomplish those areas unique to flight standards to complete this SAI. Issues arising under 49 C.F.R. Parts 170 - 175 are best left to FAA Security.

3.2 Operational Release

3.2.1 Dispatch / Flight Release

Inspection 1	S320101	**Team:** 339	Coordinate the accomplishment of this SAI with that of the scheduled EPI on Dispatch. Don Riley, Dispatch Inspector, should conduct the majority of activites. Coordinate with PMI concerning issues arising with regard to Maintenance Control and Dispatch interfaces.

4.0 PERSONNEL TRAINING AND QUALIFICATIONS

4.2 Training Program

4.2.5 Training of Dispatchers

Inspection 1	S420501	**Team:** 460	Dispatch Inspector, Don Riley, should conduct, when able, the majority of activities within this SAI.

Figure 5-46: SAI Inspection Selection Report

Additional detail regarding editing of the SAI Plan may be found in Chapter 6, Retargeting.

5.1.7 Saving the EPI and SAI Plans to Final

After the CHDO Manager has concurred with the draft CSP (as described in Section 5.4), the draft EPI and SAI plans may be finalized and the new work plan released. The PLANNING YEAR OPTIONS on the PI's home page will include links to the EPI and SAI plans previously saved as drafts (Figure 5-47). (These links are not available to the CSI.) Procedures for finalizing either plan are alike, beginning with the PI clicking on one of those links.

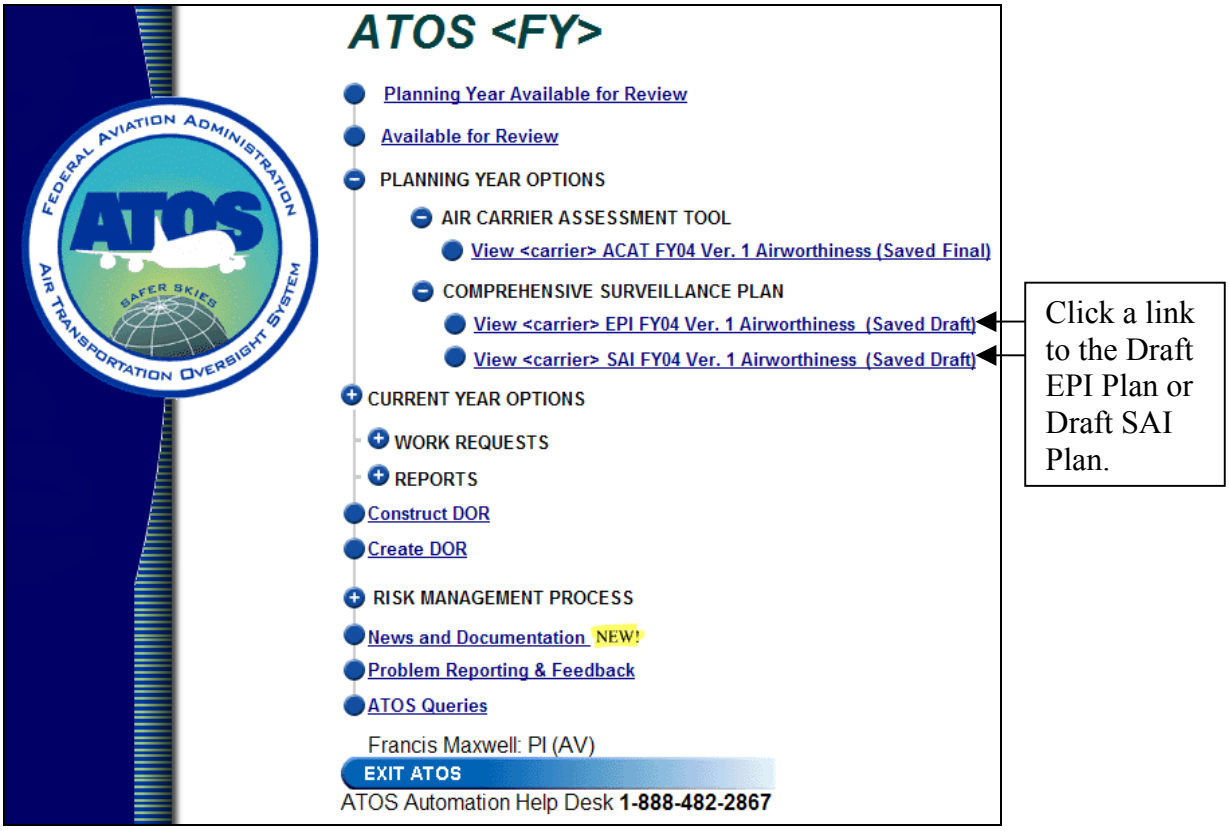


Figure 5-47: PI's Home Page After CHDO MGR Concurrence of Draft EPI and SAI Plans

When the previously saved EPI or SAI page appears, click on any system's link to retrieve the detail page that will allow you to click a **Save** button. When you do so, you will be presented with the opportunity to save the EPI or SAI to Final. Figure 5-48 is an example of the window that would appear in the case of an EPI.

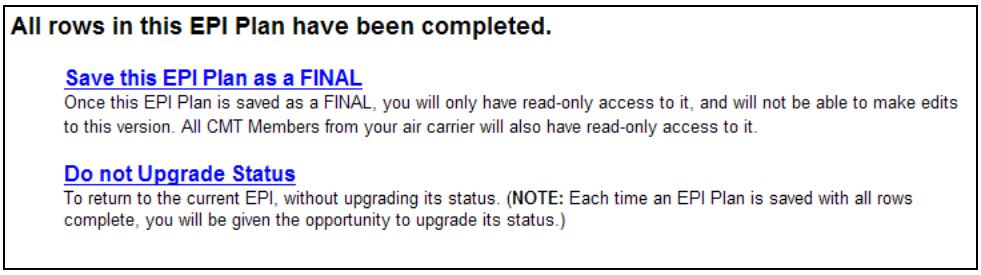


Figure 5-48: EPI Opportunity to Save as Final

5.1.7.1 Saving the EPI and SAI Plans to Final – Operations

When the POI selects the **Save…Final** option, the EPI or SAI page is presented for the opportunity to release the work plan, as shown for the EPI Plan in Figure 5-49, by .clicking on the **Release Work Plan** button on the bottom of the page.

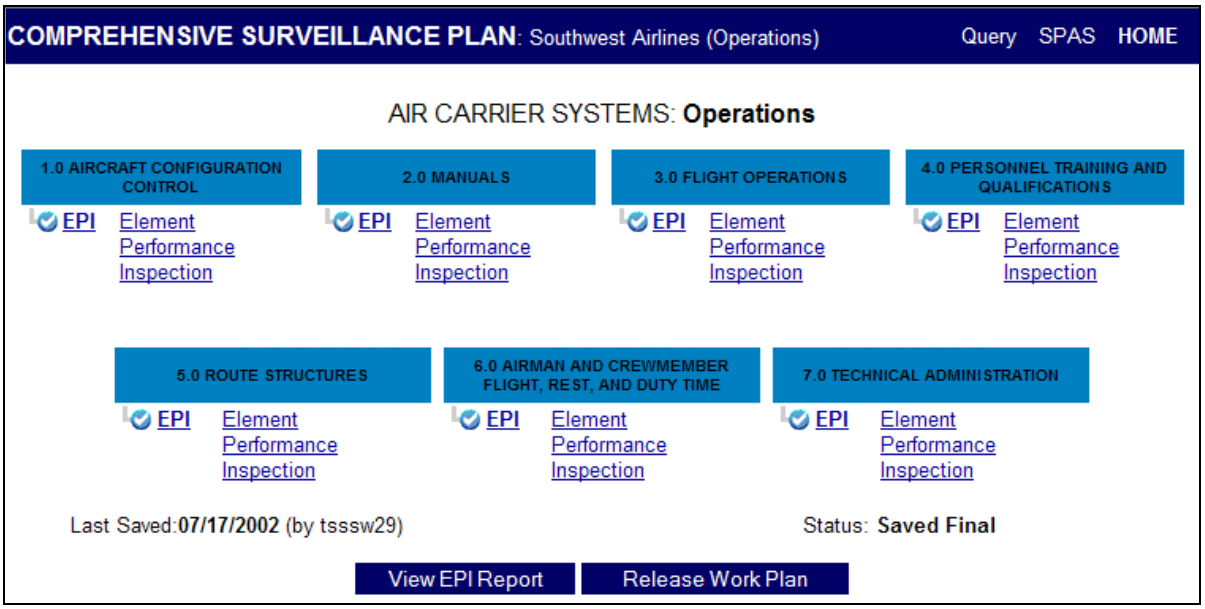


Figure 5-49: EPI Plan Saved Final Before Work Plan is Released

The next view of the Plan will show a status of Final, Released and include buttons along the bottom to facilitate the review of inspections throughout the year. An example of a Final, Released, SAI Plan is shown as Figure 5-50.

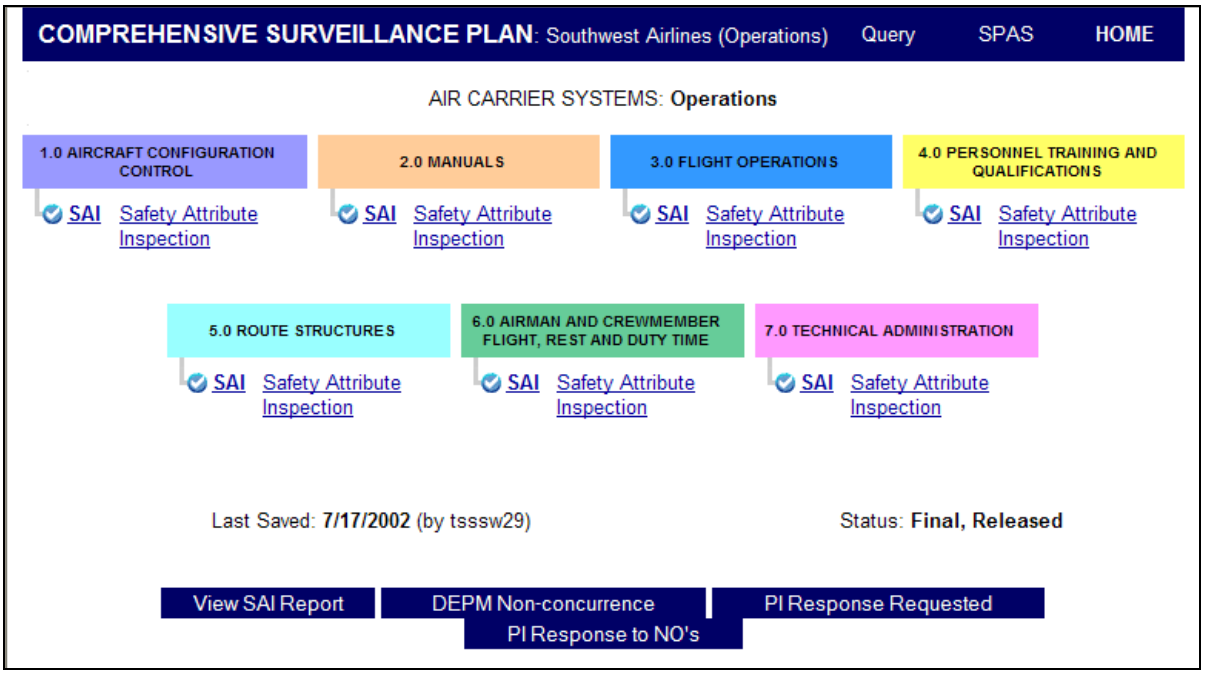


Figure 5-50: Final, Released SAI Plan

5.1.7.2 Saving the EPI and SAI Plans to Final – Airworthiness

When either the PAI or PMI selects the **Save…Final** option, the first approval window appears with that PI's ATOS UserID already filled in. Figure 5-51 is an illustration of the appearance of this window when the PMI is the one providing the first approval.

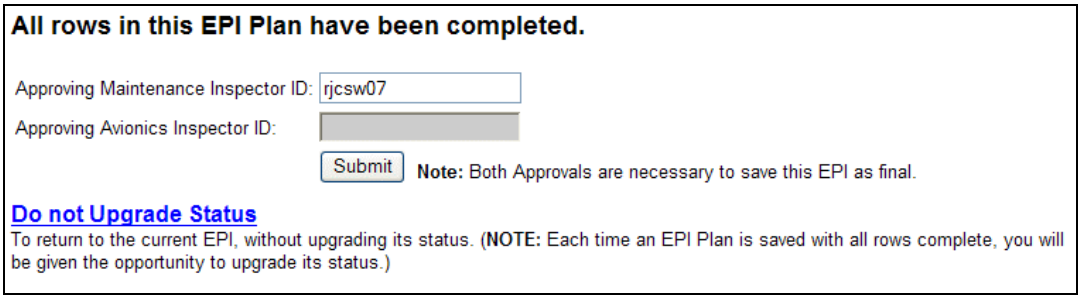


Figure 5-51: Airworthiness EPI Ready for First Approval to Final

In the above case, after the PMI clicks the Submit button, the Plan is available for the PAI to provide the second approval, as illustrated in Figure 5-52.

All rows in this EPI Plan have been completed.

Approving Maintenance Inspector ID: rjcsw07

Approving Avionics Inspector ID: wtssw07

Submit **Note:** Both Approvals are necessary to save this EPI as final.

Do not Upgrade Status

To return to the current EPI, without upgrading its status. (**NOTE:** Each time an EPI Plan is saved with all rows complete, you will be given the opportunity to upgrade its status.)

Figure 5-52: Airworthiness EPI Ready for Second Approval to Final

Alternately, the PAI may provide the first approval and the PMI the second.

The remainder of the process, through release of the work plan, is similar to that for the Operations specialty except that either the PAI or the PMI may release the work plan.

5.2 Carrier Complexity Factors

ATOS carriers are grouped into one of three complexity categories. A complexity factorization is defined that considers the size and complexity of the Air Carrier to determine resource requirements to the baseline inspection levels of EPIs under the CSP. Each of these groups has its own weighing factors for determining, in combination with the CMT reported risk assessments, the inspection level baselines:

- Group 1 = the smallest and least complex of the ATOS carriers. These receive no weighting above current Automation levels for EPIs.
- Group 2 = mid-range carriers. These receive a weighting of 2 on inspection levels by adding 2 to the derived risk assessment.
- Group 3 = the largest and most complex of the ATOS carriers. These receive a weighting of 4 on inspection levels by adding 4 to the derived risk assessment.

5.3 Additional Elements and Subsystems

The CMO Data Collection Tool Workgroup identified new elements and subsystems to be incorporated into the Comprehensive Surveillance Process. These new areas are not evaluated for risk at the ACAT level but will be available for assigning inspections at the CSP EPI and CSP SAI levels. The Frequency Baseline for all new elements is defined by the CMO.

5.4 CHDO MGR Concurrence with Initial CSPs

The ATOS Home Page of a CHDO Manager includes links to view and concur with a CSP before the plans are finalized, as shown in Figure 5-53. (If these links are not immediately visible, click on the circled plus sign to the left of **PLANNING YEAR OPTIONS** to reveal the **CONCUR WITH PLANNING CSP** menu.) The action of concurrence may be delegated by the CHDO Manager through the proxy capability in Automation.

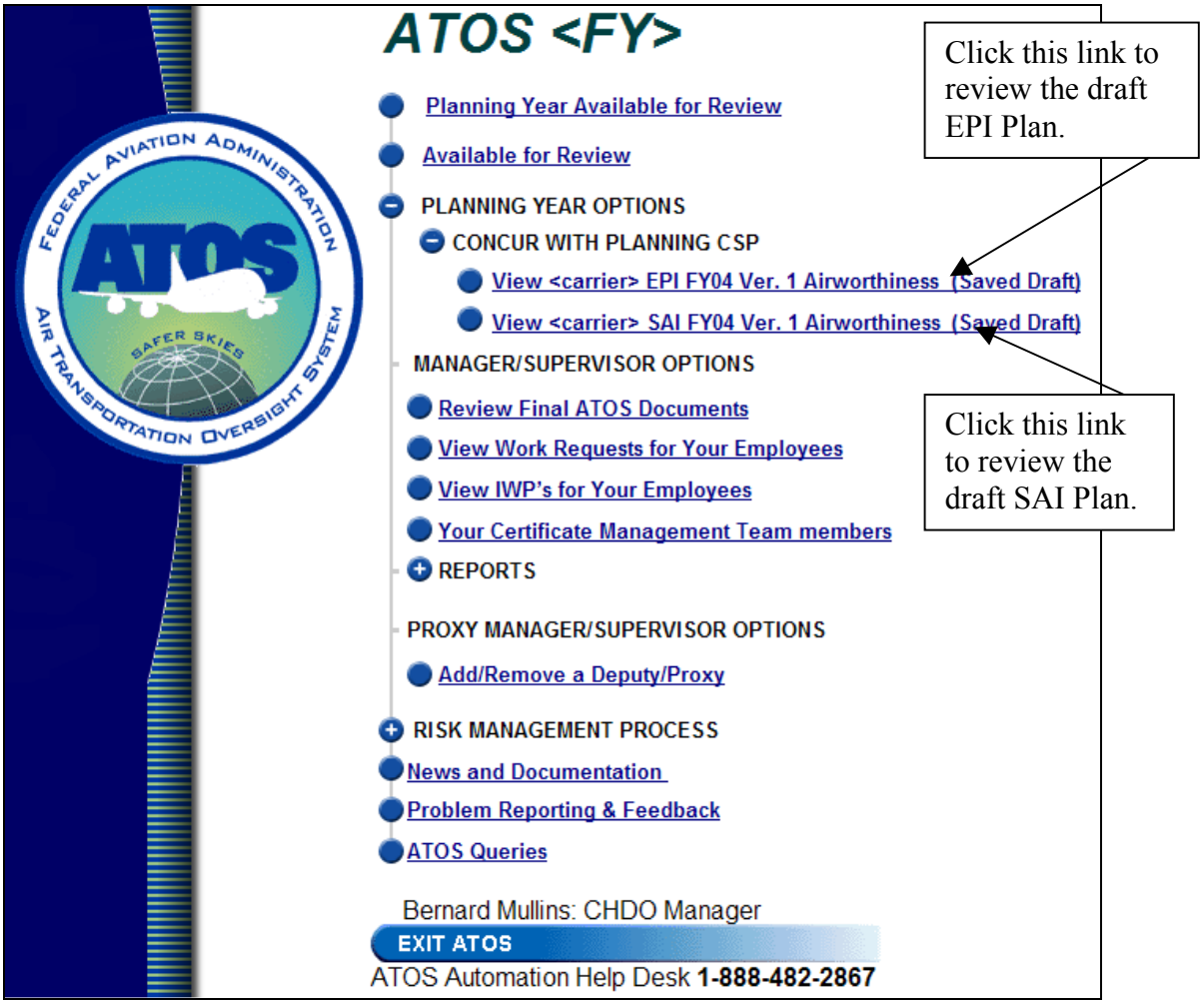


Figure 5-53: ATOS Home Page for CHDO MGR Highlighting Link to ATOS Planning Year Page

Click on the links to the EPI and SAI Plans to review and indicate concurrence. The step-by-step procedure for review and concurrence of the EPI Plan is illustrated in the figures that follow. The procedure for the SAI Plan is the same.

Clicking on the EPI Plan link in Figure 5-53 opens the Planning Year CSP for EPIs, as shown in Figure 5-54. Along the lower edge are buttons to View the EPI Report and Concur.

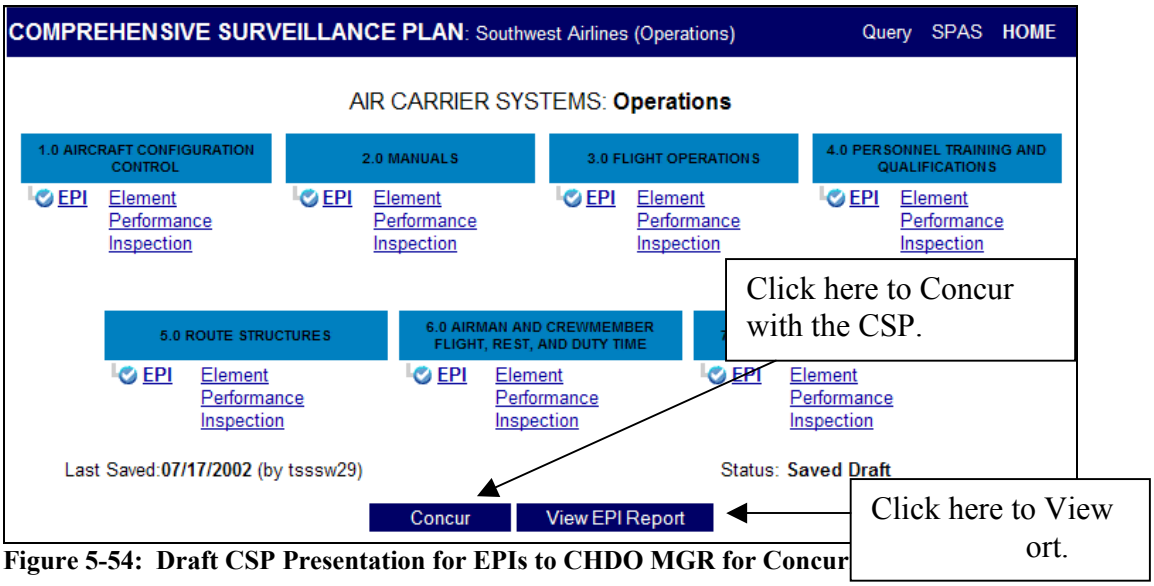


Figure 5-54: Draft CSP Presentation for EPIs to CHDO MGR for Concur

When the Draft CSP is presented for Concurrence, clicking on either the **Concur** button or the **View EPI Report** button will bring you the "EPI Inspection Selection" Report. The top portion of a sample report is shown as Figure 5-55.

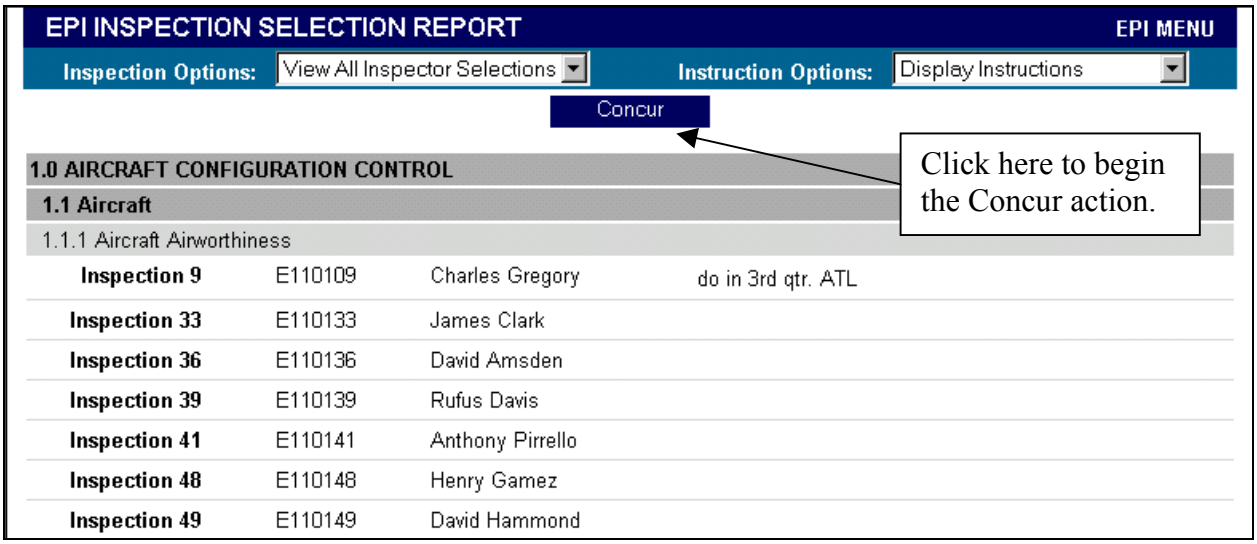


Figure 5-55: EPI Inspection Selection Report Awaiting Concurrence (Excerpt)

The "Inspection Options" field on the top left side of the Report allows you to choose between the default presentation of "All Inspector Selections" and a presentation of "All Inspections". Likewise, the field on the top right side allows a choice between the default of "Display Instructions" and "Do Not Display Instructions".

When you are ready to "Concur", click on the **Concur** button at the top middle. When you do so, a window will pop up for you to answer **Yes** or **No** to the Concur action.

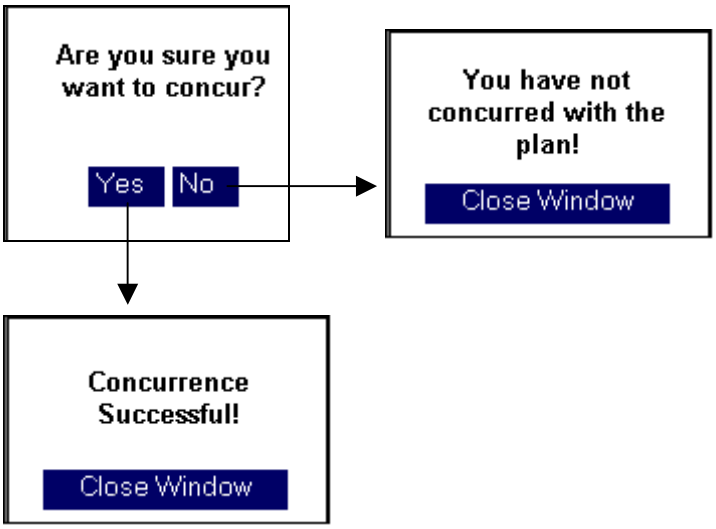


Figure 5-56: Confirmation and Acknowledgement of Concurrence Yes or No

As illustrated by the flow shown as Figure 5-56, either answer is acknowledged. If you have answered **Yes**, then clicking on the **Close Window** will return you to the "EPI Selection Inspection Report" and there will no longer be a **Concur** button at the top. If you have answered **No**, then clicking on the **Close Window** will return you to the same report, but the **Concur** button will still be at the top.

Once back to the "EPI Selection Inspection Report", clicking on the **EPI Menu** link in the upper right corner will return you to the main EPI page (Figure 5-57).

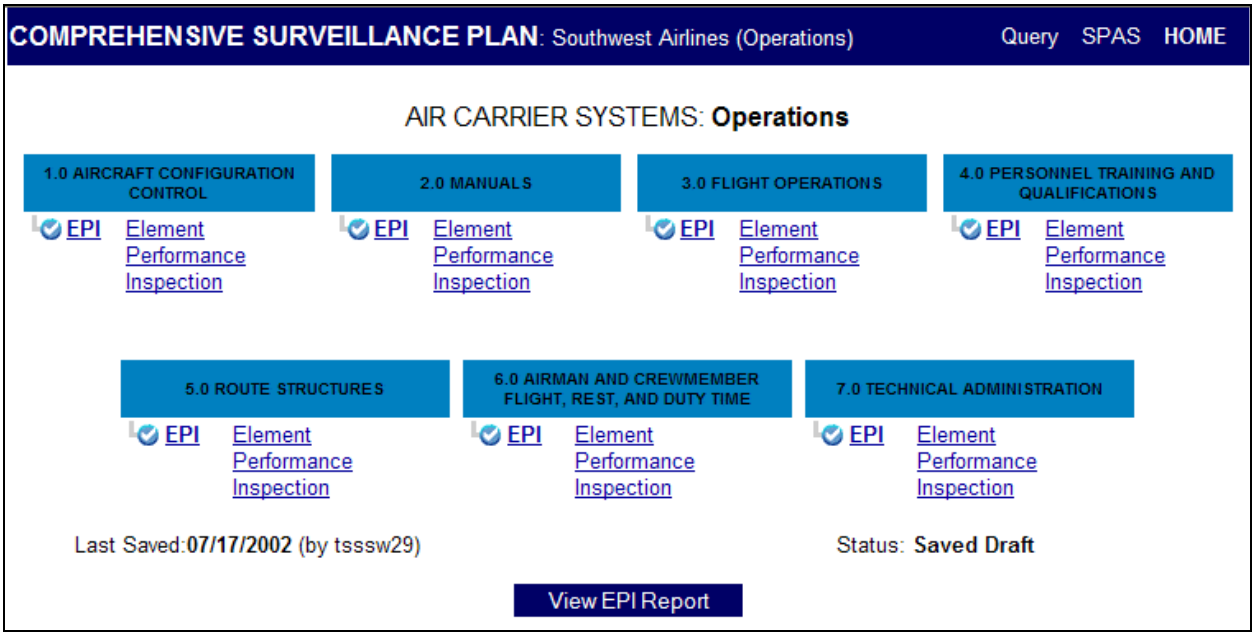


Figure 5-57: CSP Presentation for the EPI Plan After Concurrence by the CHDO MGR

Click on the **HOME** button in the upper right corner to return to the manager's home page and see that the link to the draft EPI plan is gone. Continue the concur process by clicking on the link to the draft SAI plan.

After concurrence with the draft CSP, the menu on the manager's home page will no longer include PLANNING YEAR OPTIONS, as illustrated in Figure 5-58.

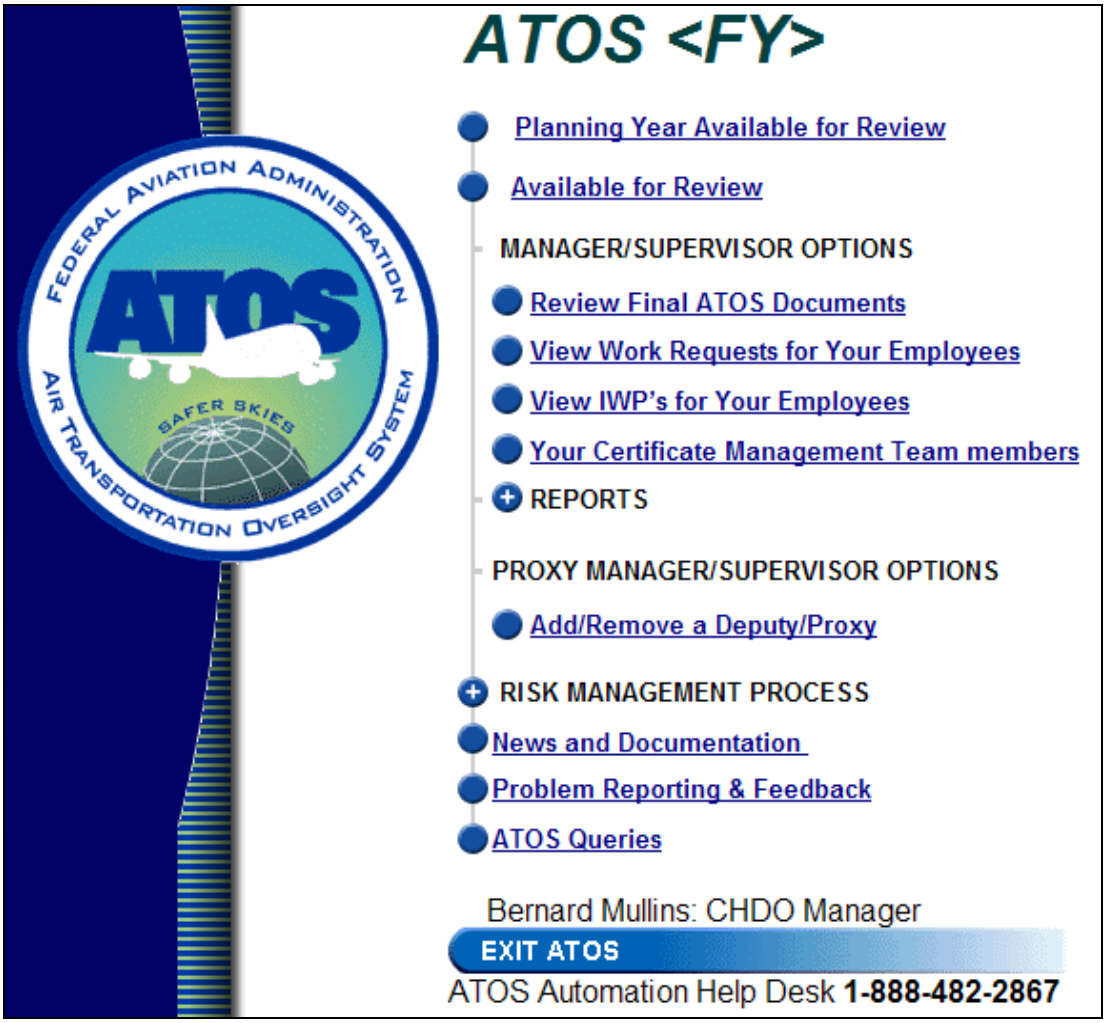


Figure 5-58: Manager's Home Page After Concurring with draft CSP

CHDO Manager concurrence is only for the initial CSP – not all retargeted CSPs – and is necessary before the CSPs are saved as Final. Once the CHDO Manager concurs with the new plans, surveillance can begin under them. The new plans will automatically contain any Records and associated Activities that have not been saved to the Data Repository for completion.

6 Retarget Surveillance

The purpose of this process is to provide the CMT with the means to dynamically retarget surveillance at any time after the initial annual planning cycle. The number assigned to a plan consists of the Air Carrier designation and type of plan (ACAT, EPI, or SAI), followed by the Fiscal Year and version number, for example, SWAA ACAT FY02 Ver.1. During the course of the fiscal year, as a result of retargets, the plan version will change but the plan ID remains the same. The plan ID changes when a new plan is developed for a new fiscal year.

Once the annual planning cycle has been completed and the CMT has a CSP, they begin to implement the plan. Throughout the implementation process they continue to collect, review, report on, and analyze surveillance data. If surveillance data identifies a problem or other external data triggers an issue, the PI assesses the information and determines any retargeting requirements.

The PI must assess applicable elements of the ACAT and generate a new version. This can be done for the entire air carrier or for selected systems, sub-systems, or elements. The end result of this process is retargeting that leads to an adjustment of the CSP.

6.1 Retargeting Overview

The purpose of retargeting is to provide the CMT with the means to dynamically redirect surveillance in response to new or changed conditions at an air carrier.

(1) If surveillance data identifies a problem or other external data triggers an issue, the PIs assess the situation and determine whether retargeting is required to focus additional resources in an area of concern.

(2) If retargeting is deemed appropriate the PIs must determine which elements of the ACAT are related to the area of concern and generate a new version. This can be done for the entire air carrier or for selected systems, sub-systems, or elements. The end result of this process is retargeting that leads to an adjustment of the CSP.

(3) A new version of the CSP (SAI and EPI) is completed and produced by following the procedures described in detail in the remainder of this manual. When the new CSP is generated from the retargeted ACAT, the PI makes any necessary adjustments to the current plan column for SAIs and EPIs, and resubmits the revised Inspector Work Programs.

6.1.1 Why to Retarget

Retargeting is undertaken in response to conditions within an air carrier. Reasons PIs should consider a retarget include:

- Change in an airline's status or situation, such as change of management, major union actions, or significant financial changes.
- Observations made by Inspectors during the implementation of a current CSP, indicating that a change in inspection emphasis is appropriate and warranted.
- Particular accidents, incidents, or occurrences.
- Analysis of the surveillance data.

NOTE: *Retargeting should **not** be conducted in response to CMT internal considerations. In particular, CMT staffing considerations **cannot** justify retargeting. Staffing adjustments can be accomplished by altering work assignments in a saved final CSP.*

6.1.2 New Versions of the ACAT, and CSP

The starting points for retargeting activities are the current final version, Version 1, of the ACAT and of the CSP SAI and EPI Plans. The tools and CSP are listed on and accessed through the ATOS Home Page (6-1).

This manual is illustrated with examples of ATOS tools and CSPs, each of which has been assigned its own Record ID by Automation. Record IDs are uniquely and permanently assigned to particular tools and CSPs when they are first created by the PI, so the IDs in this manual are demonstrative only; every time a PI creates an initial or retarget ACAT, SAI, or EPI a new and different Record ID will be assigned to it. Version 1 of the Operations Tools and Operations CSP illustrated in this manual include:

- ACAT, Version 1, in Final status and accessible in read-only mode.
- SAI Plan, Version 1, in Final Released status and accessible by CMT members who are using it to guide their surveillance activities.
- EPI Plan, Version 1, in Final Released status and accessible by CMT members who are using it to guide their surveillance activities.

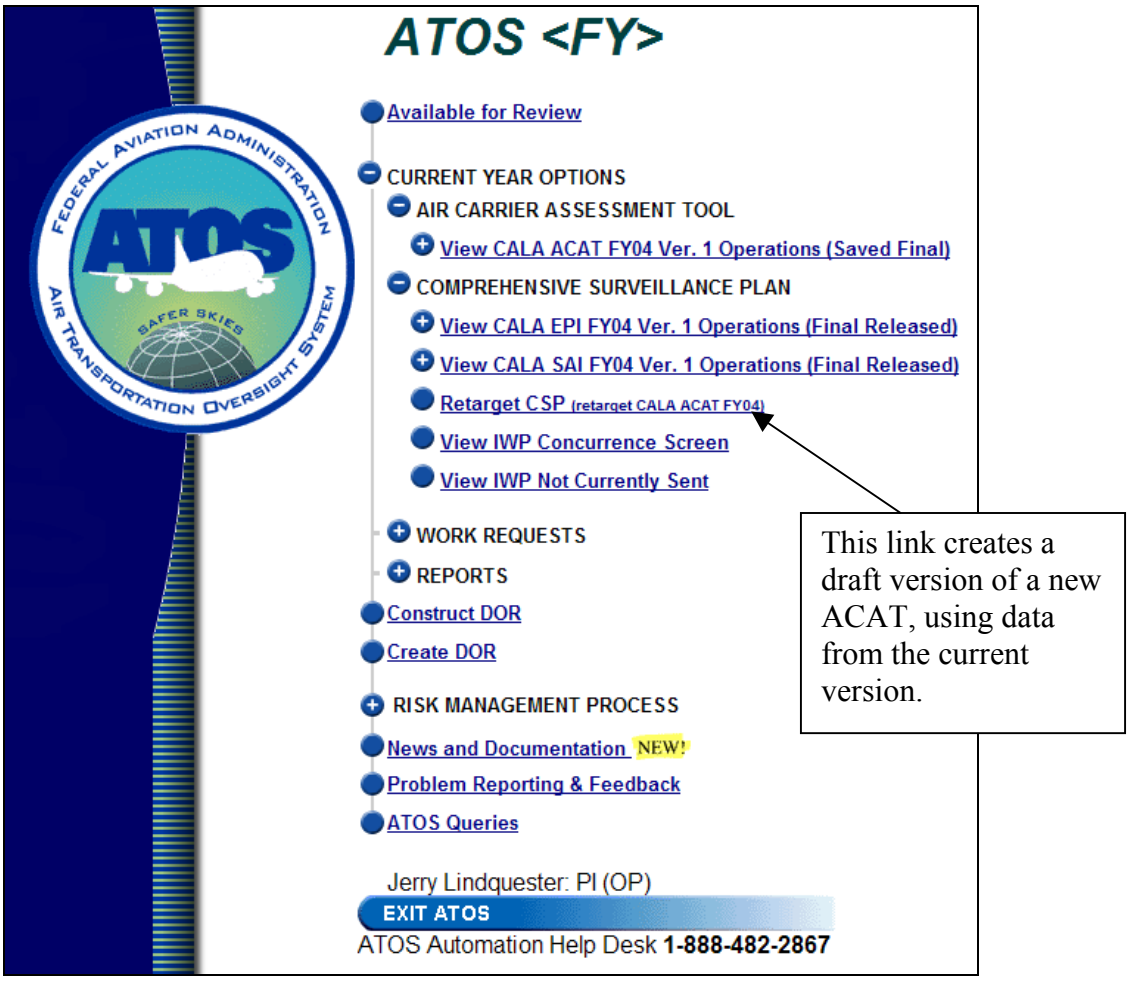


Figure 6-1: ATOS Home Page, Version 1 of the ACAT and the CSP

During retargeting a second version of the retargeted ACAT and CSP will be created. Version 2 of the ACATis created by modifying Version 1 of the appropriate tool. The automatically generated portions of Version 2 and subsequent versions of the CSP are generated from ACAT Version 2 or appropriate subsequent version, just as the corresponding portions of the Version 1 SAI and EPI were generated from ACAT Version 1. The *Initial Plan* columns and the *Completed* columns of SAI Version 2 and EPI Version 2 contain numbers copied directly from Version 1 of the SAI and the EPI.

After creation of the new versions of the tools and the CSP the following changes occur:

- ACAT, Version 2, with Final status, will have replaced ACAT, Version 1, as the current version ACAT.

- SAI Plan, Version 2, with Final Released status, will have replaced SAI Plan, Version 1, as the current version SAI Plan.

- EPI Plan, Version 2, with Final Released status, will have replaced EPI Plan, Version 1, as the current version EPI Plan.

The ATOS Home Page will reflect these changes (Figure 6-2).

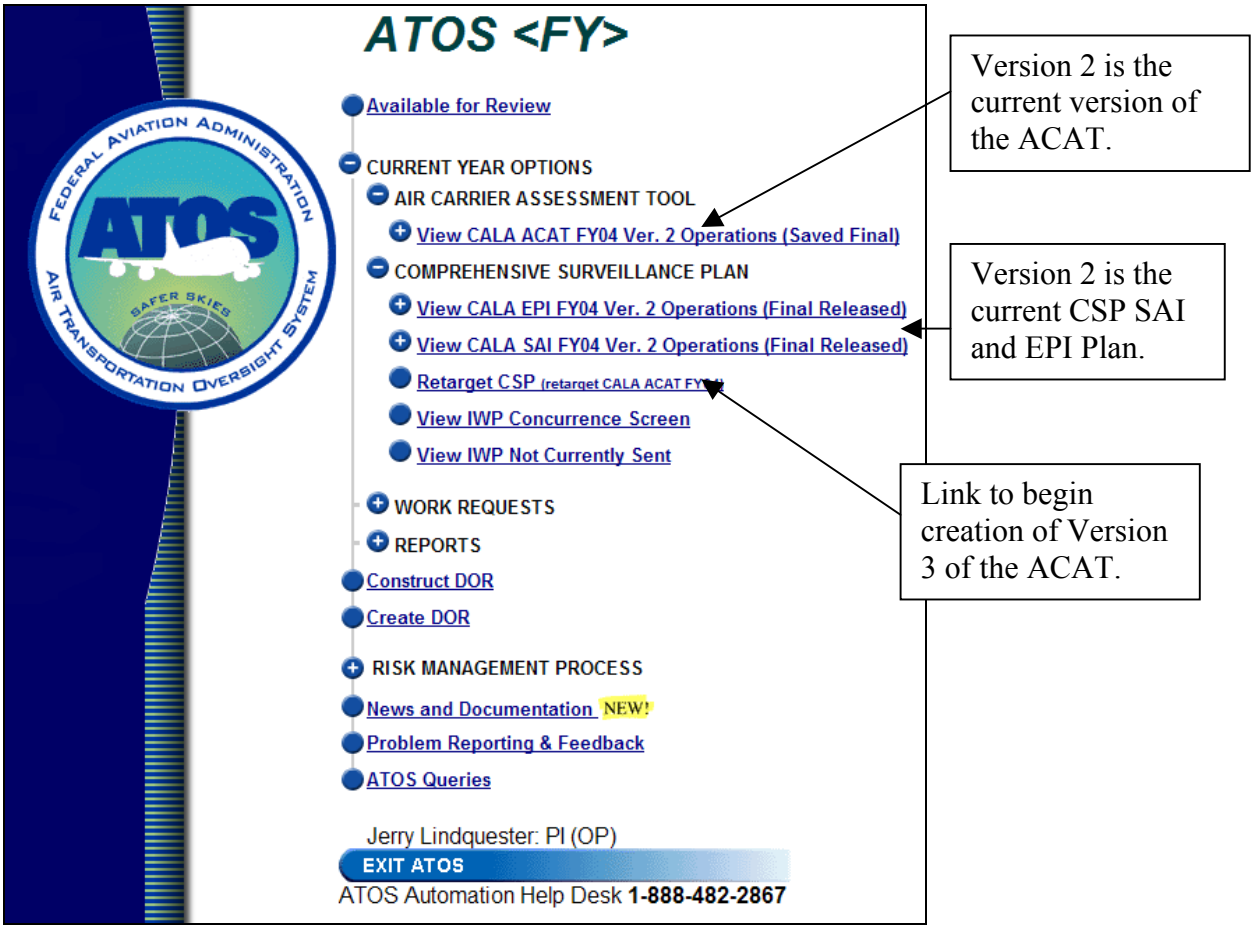


Figure 6-2: ATOS Home Page, Version 2 of the ACAT and the CSP

6.1.3 Data Flow from ACAT to CSP

It is important to recognize that a valid and usable CSP must be generated from ACAT data. The CSP editing privileges held by PIs allow them to change the number of SAIs and EPIs required by the CSP. However, changes to the number of required inspections which are not based on completion and analysis of a new ACAT cannot be justified, and may lead to unfocused and poorly targeted CSPs.

6.2 Retargeting the ACAT

CSP retargeting begins with creation of a new version of the current ACAT. The new version is used to create a new CSP, with surveillance resources redirected in response to changing air carrier conditions.

ACAT retargeting is a collaborative process requiring the joint efforts and mutual agreement of both the POI and the CSI for Operations ACATs, or of both the PMI and the PAI for Airworthiness ACATs.

6.2.1 ACAT Retargeting Policies and Procedures

ACAT procedures are documented in detail in:

- Chapter 3 Section 2 of FAA 8400.10, AIR TRANSPORTATION OPERATIONS INSPECTOR'S HANDBOOK Appendix 6, Air Transportation Oversight System (ATOS), issued 8/26/98

- Chapter 10, Figure 10-5, of FAA 8400.10, AIR TRANSPORTATION OPERATIONS INSPECTOR'S HANDBOOK Appendix 6, Air Transportation Oversight System (ATOS), issued 8/26/98

6.2.2 ACAT Retargeting Using the ATOS Data Repository

ACAT Retargeting requires the following actions:

- Creating a new version of the ACAT from the existing version. This can be initiated by the POI or by either of the Airworthiness PIs.

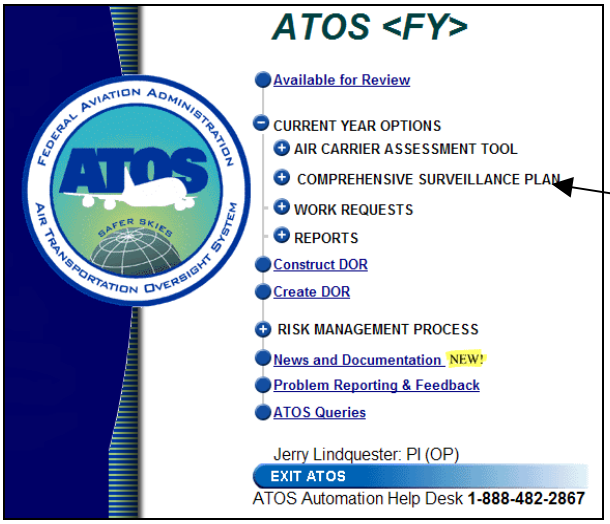
- Modifying the new version of the ACAT. This is done by the PI who created the new version of the ACAT. Modification requires review and revision of the new version, using the same general criteria and making the same evaluations and judgments as when creating the first version of the ACAT.

- Saving the new version of the ACAT as a Draft. This is also done by the PI who created the new version of the ACAT.

- Saving the new version of the ACAT as Final. The POI Saves as Final an Operations ACAT, and approval of the CSI is required. Approval of both the Airworthiness PIs is required to save as Final an Airworthiness ACAT, the initiating PI first, followed by the other PI.

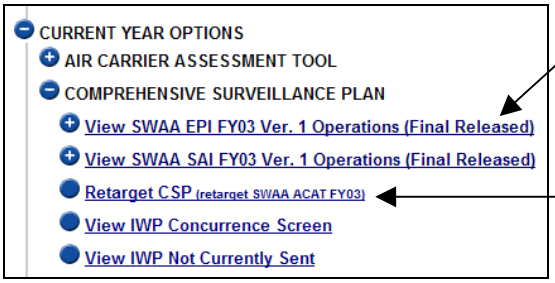
6.2.2.1 Creating a New Version of the ACAT

The ATOS Home Page viewed by Principle Investigators includes a Retarget CSP link listed under the Comprehensive Surveillance Plan bullet (Figures 6-3 and 6-4). This link is only visible on an ATOS Home Page accessed by a PAI, PMI, or POI. Click on the Retarget CSP link to access a copy of the current ACAT, which will be used as the starting point for creating a new version of the ACAT. Note that a new version of an Airworthiness ACAT can be created by either the PAI or the PMI, but only the POI has authority to create a new version of an Operations ACAT.



Click on the circled plus sign to the left of "Comprehensive Surveillance Plan" to roll out the subheadings.

Figure 6-3: ATOS Home Page, Creating a the New Version of the ACAT



This link creates a draft version of a new ACAT, using data copied from the current version.

Figure 6-4: CSP Menu

Clicking the Retarget CSP link displays a window (Figure 6-5), which provides an opportunity to begin CSP retargeting immediately or to temporally halt the retargeting process. The window also lists important retargeting facts. Click Retarget to begin retargeting.

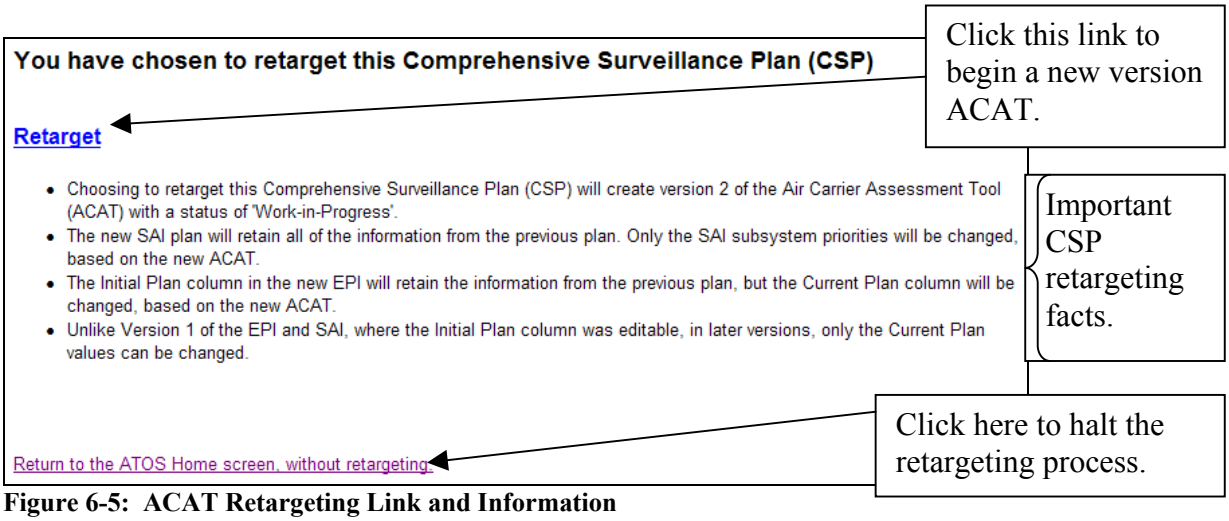


Figure 6-5: ACAT Retargeting Link and Information

The bulleted list on this screen summarizes useful retargeting information including, in the final three bullets, a brief description of how a new version of the ACAT alters the CSP. In general, the points to remember are:

- Choosing to retarget the current Comprehensive Surveillance Plan will create a new version of the Air Carrier Assessment Tool with a status of Work-in-Progress.

- While the new version of the ACAT is in Work-in-Progress status or Draft status the CMT retains access to the current SAI and EPI, however, inspection activities are suspended until the Retargeting process is complete.

- Once the new version ACAT has been saved as Final new versions of the SAI and EPI will automatically be created with a status of Work-in-Progress.

- The new SAI plan will retain all of the information from the previous plan. Only the SAI subsystem priorities will be changed, based on the new ACAT.

- The *Initial Plan* column in the new EPI will retain the information from the initial plan (Version 1 of the EPI Plan), but the *Current Plan* column will be changed, based on the new ACAT.

- Unlike Version 1 of the EPI and SAI, where the *Initial Plan* column was editable, in later versions only the *Current Plan* values can be changed.

Clicking on the **Retarget** link returns you to the ATOS Home Page. Now, when you click on the header of **AIR CARRIER ASSESSMENT TOOL**, you will see a new link to Edit the ACAT along with a link to view the current (Final) ACAT. Figure 6-6 shows a Home Page with this new link. Note that the Retarget CSP link is no longer offered, since a retarget is now in process.

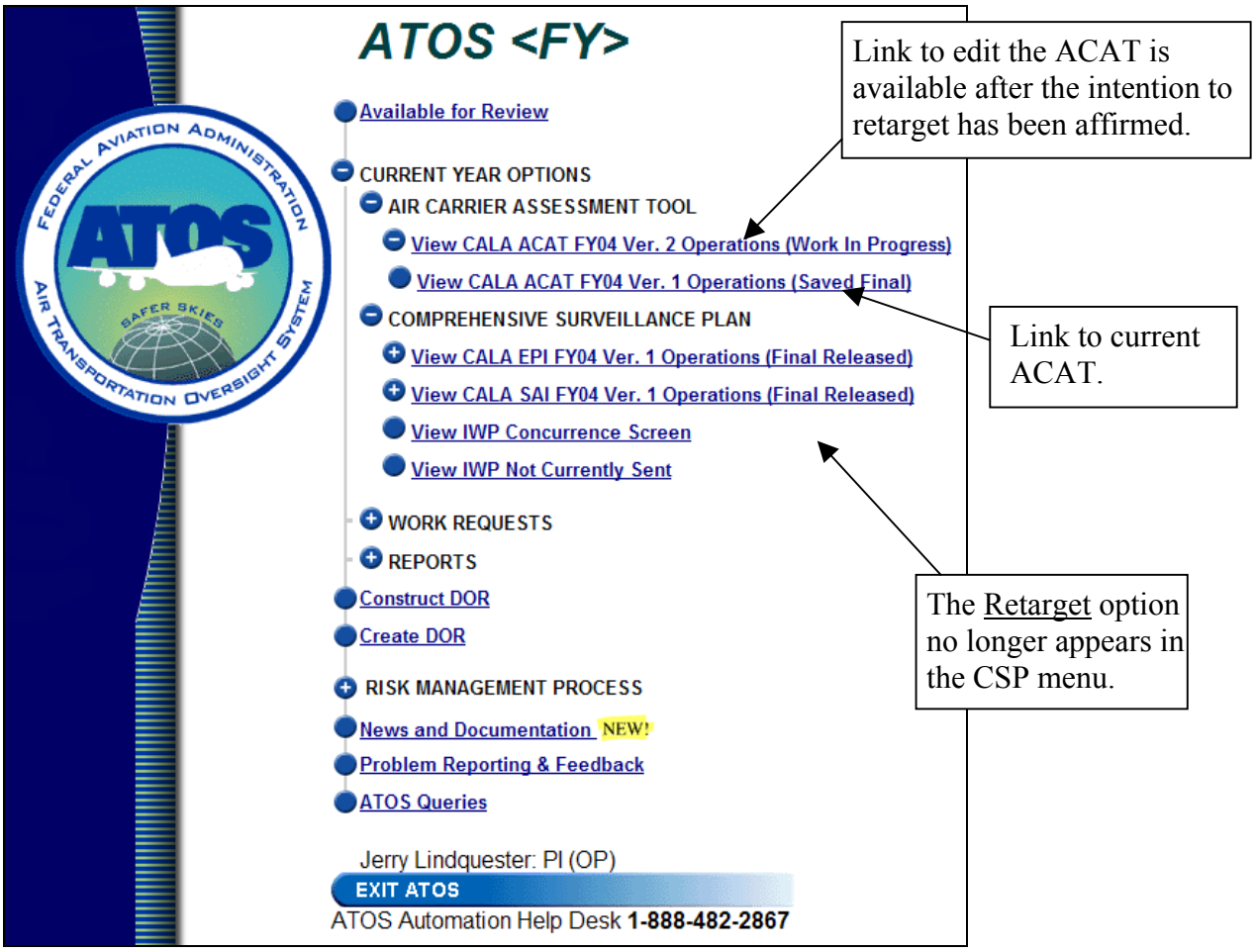
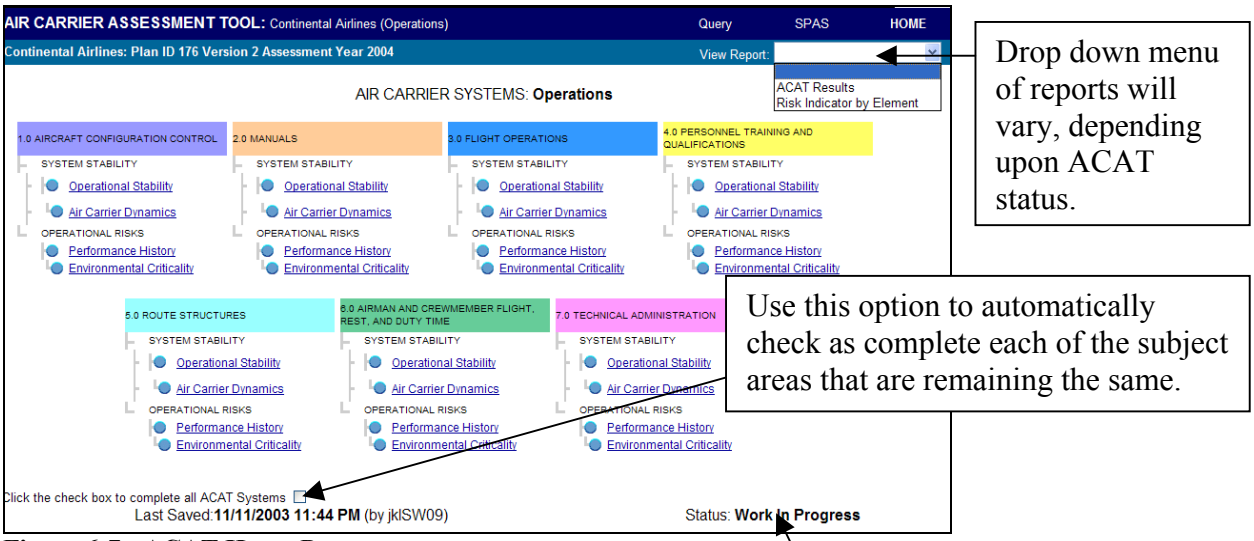


Figure 6-6: Home Page After Affirming a Retarget

6.2.2.2 Modifying the New Version of the ACAT

When a new version of an ACAT is created the ACAT Home Page (Figure 6-7) displays with none of the subject areas checked as completed and an initial status of **Work-In-Progress.** Click on any of the subject areas under one of the seven headings that appear on the ACAT Home Page to see the matrix of Risk Indicators. An illustration of the matrix that would appear for Personnel Training and Qualifications is shown as Figure 6-8. Note that Risk Indicator screens retain the checkmarks for risk factors from the previous plan.



Drop down menu of reports will vary, depending upon ACAT status.

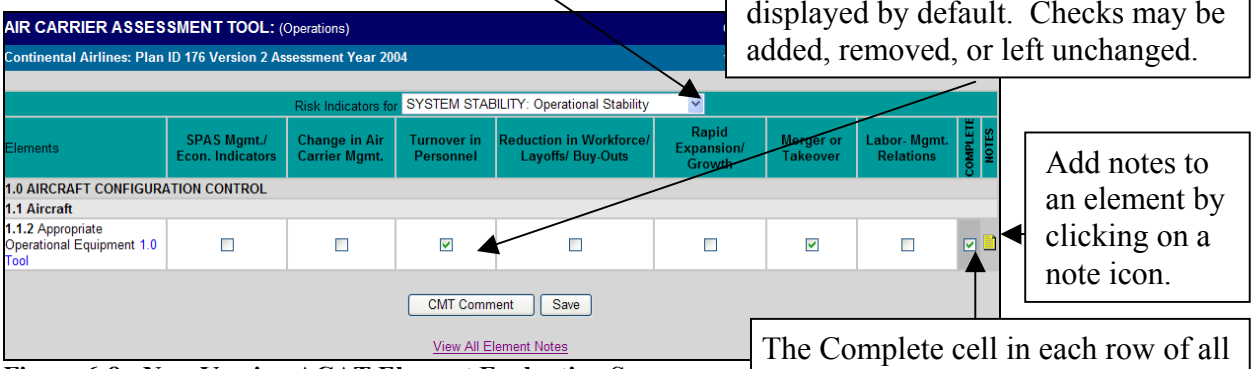
Use this option to automatically check as complete each of the subject areas that are remaining the same.

Figure 6-7: ACAT Home Page

Status while the ACAT is being modified is Work-in-Progress.

Use the drop-down menu to move to another subject area.

Checks from the previous ACAT are displayed by default. Checks may be added, removed, or left unchanged.



Add notes to an element by clicking on a note icon.

The Complete cell in each row of all Element Evaluation screens must be checked before the ACAT may be saved as a draft

Figure 6-8: New Version ACAT Element Evaluation Screen

Review and revise the new version of the ACAT using standard ACAT criteria for evaluating and judging Air Carrier Systems, and retaining, adding, or removing check marks as required. Use the drop-down menu for the Risk Indicators to move to another subject area without returning to the main ACAT page. The PI uses the same general criteria and makes the same evaluations and judgments as when creating the first version of the ACAT, with the exception of annotating an element as "Not Applicable" (N/A) to the CMT's carrier. Once the element is annotated as N/A, the element will not be available at the CSP level, but will continue to be available at the DOR and ConDOR levels. The *only* time an element can be marked or unmarked as N/A is through a retarget. Certain elements are automatically prohibited from being marked as N.A. The new version of the ACAT is Work-in-Progress; only the PI who created the new version and the other PI can view or change it, and he or she can exit the new version without necessarily saving it in Draft status.

Make changes by adding and removing checks in any of the columns. Add notes, if desired, by clicking on the note icon at the end of the row. The note icon will be yellow when a note has been saved.

When you click on **Save**, your changes are saved, but the ACAT status remains "Work-in-Progress" until every row of each element has a checkmark under the "Complete" column header. This can be done in either of two ways:

(1) By clicking the checkbox on the ACAT Home Page to complete all systems. This will refresh the ACAT page, place checkmarks in the completed column for each element, and enter the completion checkmark next to each subject on the ACAT Home Page. This method allows you to review and revise an element's risk indicators, save your changes, then return to the ACAT Home Page to allow automation to enter checkmarks in the completed column of all remaining systems not edited. If you choose this option, it is necessary to enter a subject area to do another save to receive the Retarget prompt described below.

(2) By going through each section's elements and manually entering checkmarks at the end of each completed row.

When you click on **Save** *and* a checkmark is in each row under the "Complete" heading, then a Retarget prompt appears, as shown in Figure 6-9.

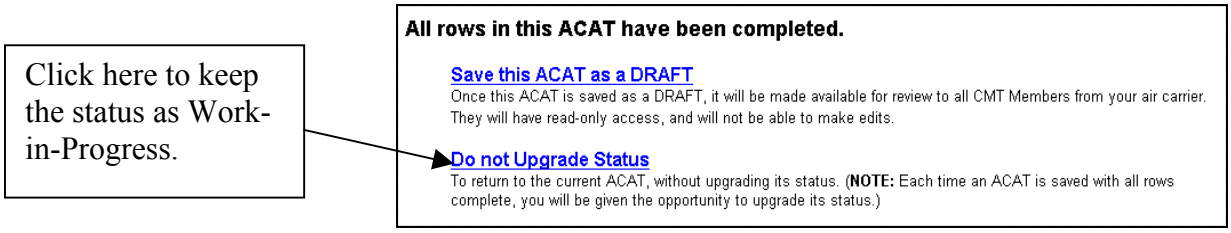


Figure 6-9: Retarget Prompt

Keep the new **version** as a Work-in-Progress by clicking on the **Do not Upgrade Status** link. This action will return you to the ACAT Home Page where you will see a checkmark by each subject area, but the status will still be Work-in-Progress (Figure 6-10).

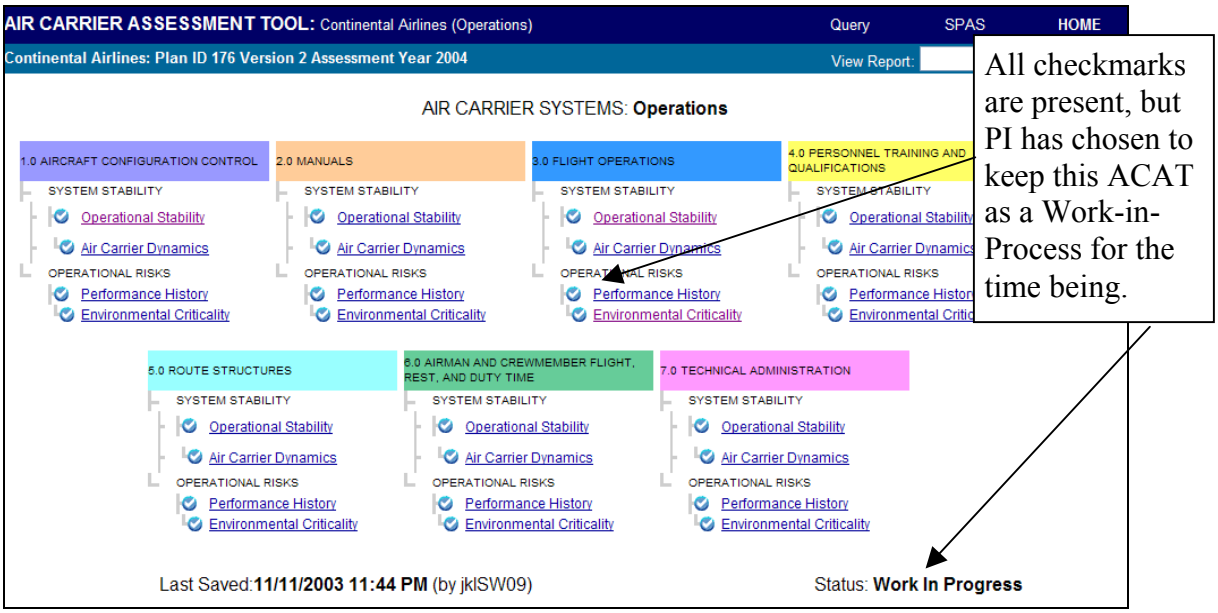


Figure 6-10: ACAT Home Page - Remaining as a Work-in-Progress

6.2.2.3 Saving the New Version ACAT as a Draft

The new version of the ACAT cannot be saved as a Draft until a Row Complete check is entered for every ACAT row. Once the ACAT is saved as a Draft it can be accessed in read-only mode by CMT members. Only the Operations PI who created the ACAT Work-in-Progress can save it to Draft, but either Airworthiness PI (PMI or PAI) can save an ACAT to Draft, regardless of which one of them created it. To save the new version ACAT as a Draft access the Save as Draft screen by clicking the Save button found at the bottom of every ACAT Element Evaluation screen (Figure 6-11).

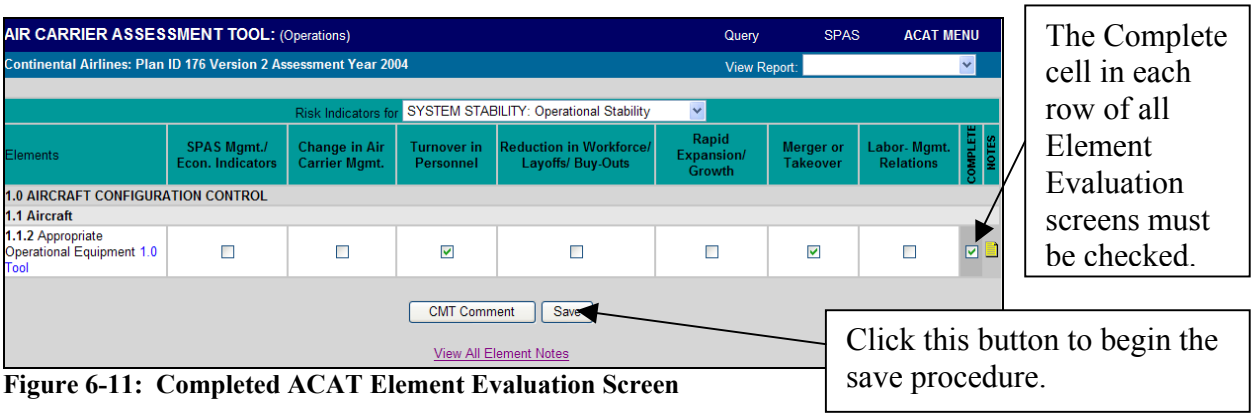


Figure 6-11: Completed ACAT Element Evaluation Screen

As long as each row of the ACAT Element Evaluation screen is marked complete before you click on the **Save** button, a prompt will appear to offer you the opportunity to save the ACAT as a Draft (Figure 6-12).

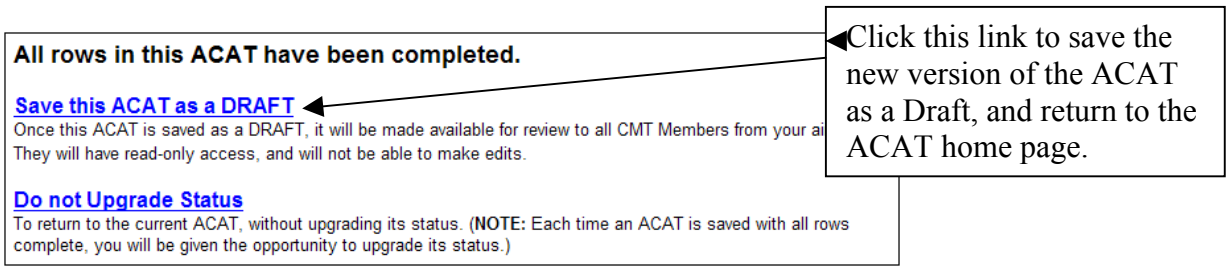


Figure 6-12: Save as Draft Form

When you click on the link to **Save this ACAT as a DRAFT**, as shown in Figure 6-12, you are returned to the ACAT Home Page and the new version will show a status of **Draft** (Figure 6-13).

The ACAT Home Page (Figure 6-13) shows that the new version of the ACAT is now in Draft status.

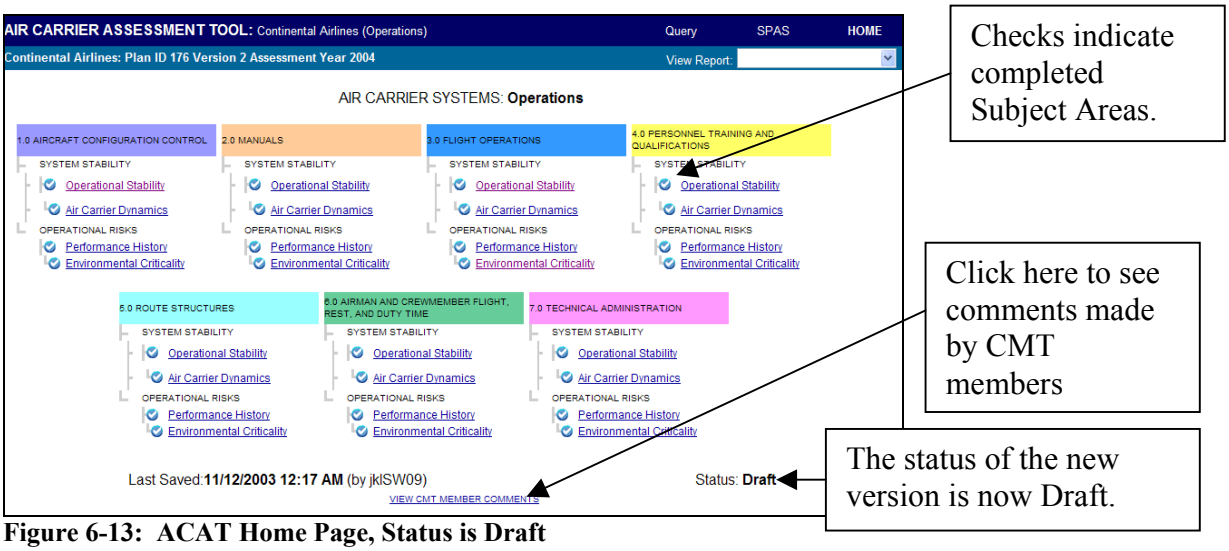


Figure 6-13: ACAT Home Page, Status is Draft

The status of the new version of the ACAT is now Draft. The PI who initiated the retargeting, and the other PI in the case of A/W, can continue to edit it. Other CMT members have read-only access to the Draft ACAT, but may comment by clicking on the **ADD AN ACAT COMMENT** link they will see when they access the Draft ACAT. (Please see the illustration presented in the discussion of the CSI's planning year comments in Chapter 5, on page 5-15.) CMT members may also provide comments at the element level, as notes are collected for the PIs. All notes and comments are aggregated, as well as being listed by element on the ACAT Results page. If there is a PI note for a given element, it is displayed above the input box for the user's comment. CMT members can access the draft ACAT, along with all of the previous versions by clicking on the **Available for Review** link on the ATOS Home Page, as illustrated in Figures 6-14 and 6-15.

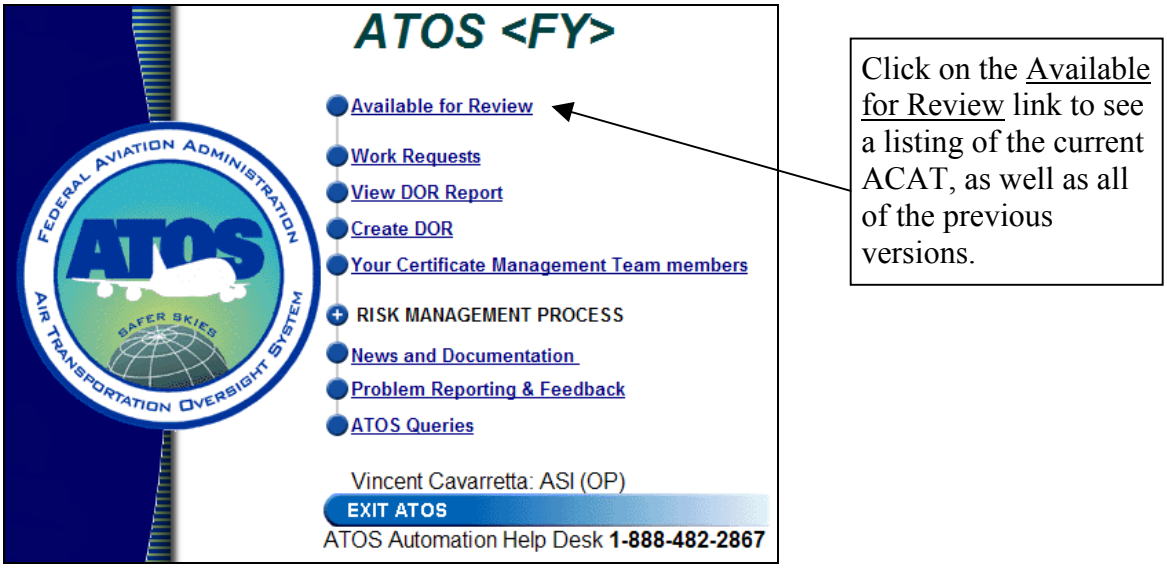


Figure 6-14: ATOS Home Page Showing Link to Documents Available for Review

Figure 6-15: Available for Review - Excerpt Showing ACAT Draft and Previous Version

6.2.2.4 Saving the New Version ACAT as Final, First Approval

ACAT retargeting is a collaborative process requiring the joint efforts and mutual agreement of both the POI and the CSI for Operations ACATs, or of both the PMI and the PAI for Airworthiness ACATs. First approval of the new version of the ACAT requires accessing three different ACAT screens. First, reenter any of the ACAT Element Evaluation screens (if desired, final changes to the new ACAT can be made at this time) then click the Element Evaluation screen's Save button to access the second screen, the Save as Final Form (Figure 6-16).

The boxed note on this screen provides useful information concerning CSP retargeting:

- Saving the new version ACAT as Final (with both PI approvals) will automatically generate a CSP SAI and CSP EPI with status Work-in-Progress.
- Previous versions of the SAI and EPI will change status from Final, Released to Final.
- Inspection Activity Reports in progress will be frozen and work will be suspended until the new versions of the SAI and EPI are Finalized and Released.

Click the Save this ACAT as a FINAL link on the Save as Final Form to close the form and access the third screen, the Approval Form.

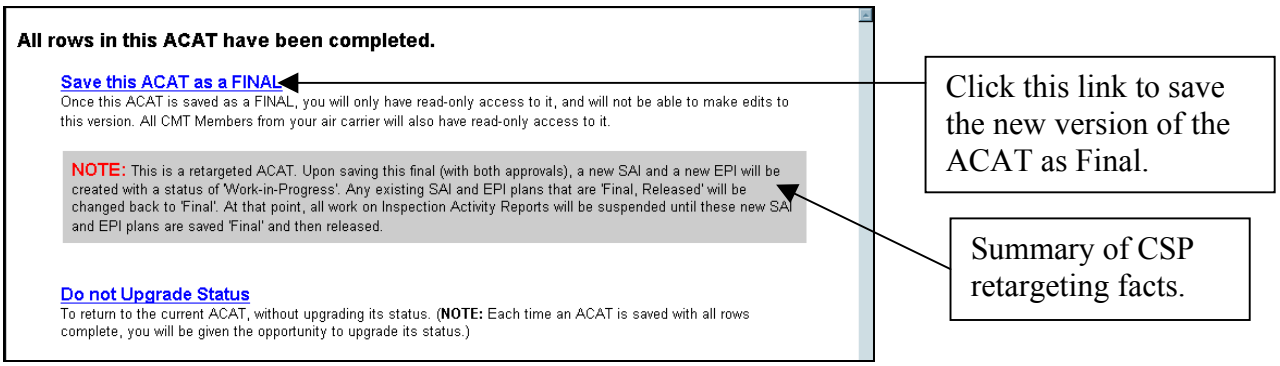


Figure 6-16: ACAT Save as Final Form

The ACAT Approval Form (Figure 6-17) is opened with the initiating PI's ATOS User ID automatically entered in the appropriate cell. The POI must save an ACAT to Final before the CSI has the ability to save it as Final, but either Airworthiness PI (PMI or PAI) can save an

ACAT to Final, regardless of which one of them created it. The new version of the ACAT is approved by clicking the Submit button.

The ACAT illustrated in Figure 6-13 is an Operations ACAT, so the initiating PI is a POI and the required Second Approval will be provided by a CSI. For Airworthiness ACATs, either PI (PMI or PAI) can save an ACAT to Final, regardless of which one initiated it. The Second Approval will then be provided by the other PI. Note that two approvals are always required to finalize a new version of an ACAT and generate a new CSP, whether the ACAT is an Operations ACAT or an Airworthiness ACAT.

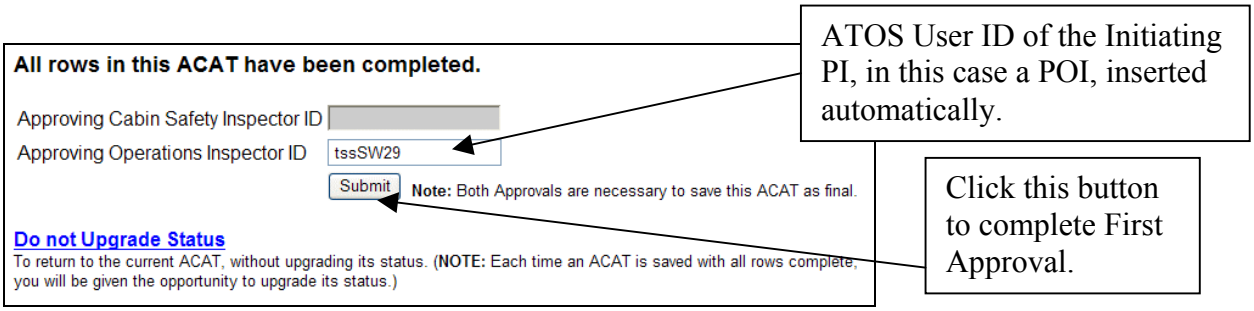


Figure 6-17: ACAT Approval Form, First Approval

6.2.2.5 Saving the New Version ACAT as Final, Second Approval

ACAT retargeting is a collaborative process requiring the joint efforts and mutual agreement of both the POI and the CSI for Operations ACATs, or of both the PMI and the PAI for Airworthiness ACATs. After the initiating PI has saved and approved the new version, the second approving PI or the CSI will be able to access the new version mode through his or her ATOS Home Page. Access by the approving PI is gained by clicking the View ACAT link under the **AIR CARRIER ASSESSMENT TOOL** menu, as shown in Figure 6-18.

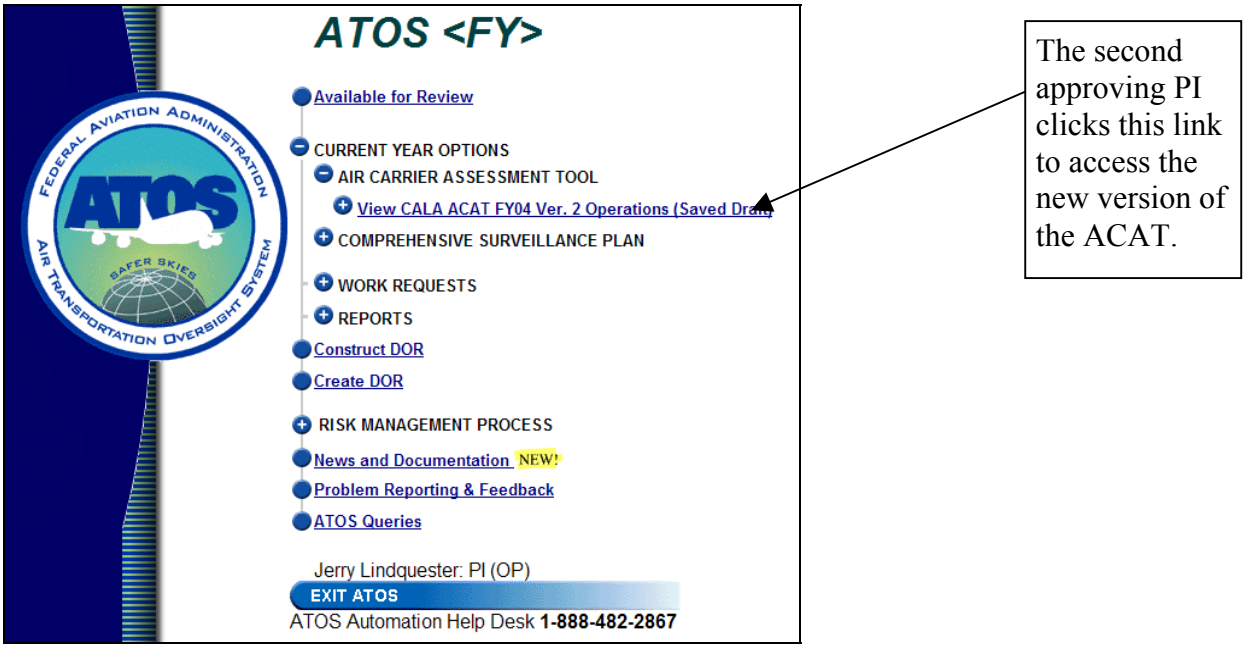


Figure 6-18: Menu from PI's ATOS Home Page

The CSI will have an **Approve ACAT** link under the **AIR CARRIER ASSESSMENT TOOL,** as illustrated in Figure 6-19.

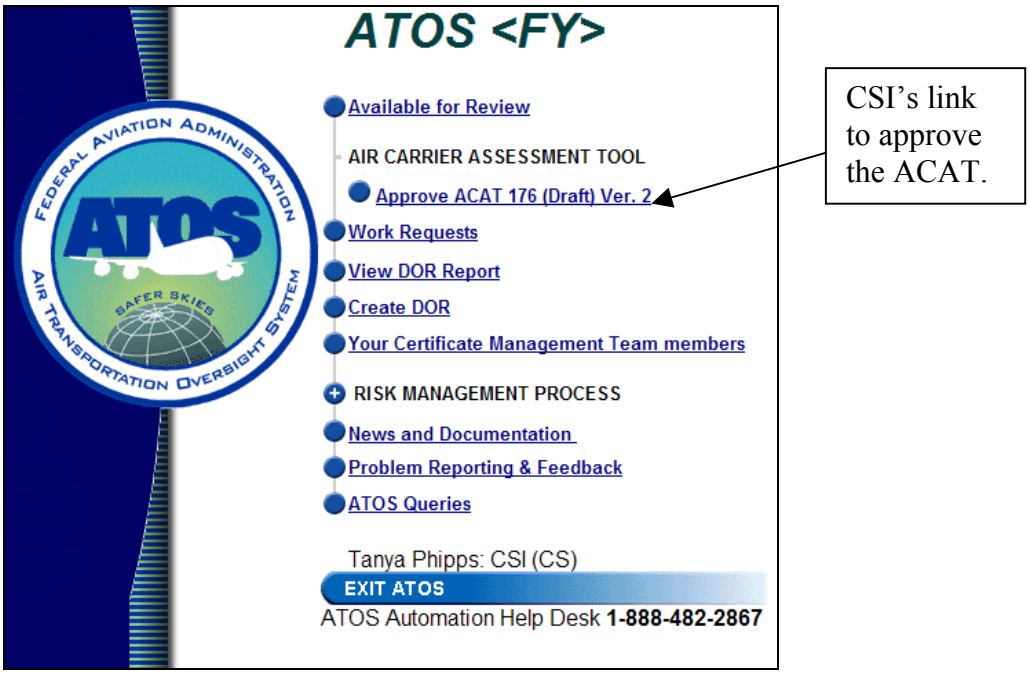


Figure 6-19: CSI Home Page

When the CSI clicks on the **Approve ACAT…**link, the Draft version of the ACAT appears. Clicking on any subject under any system brings a Risk Indicator screen that includes a button for **CSI Approval** (Figure 6-20).

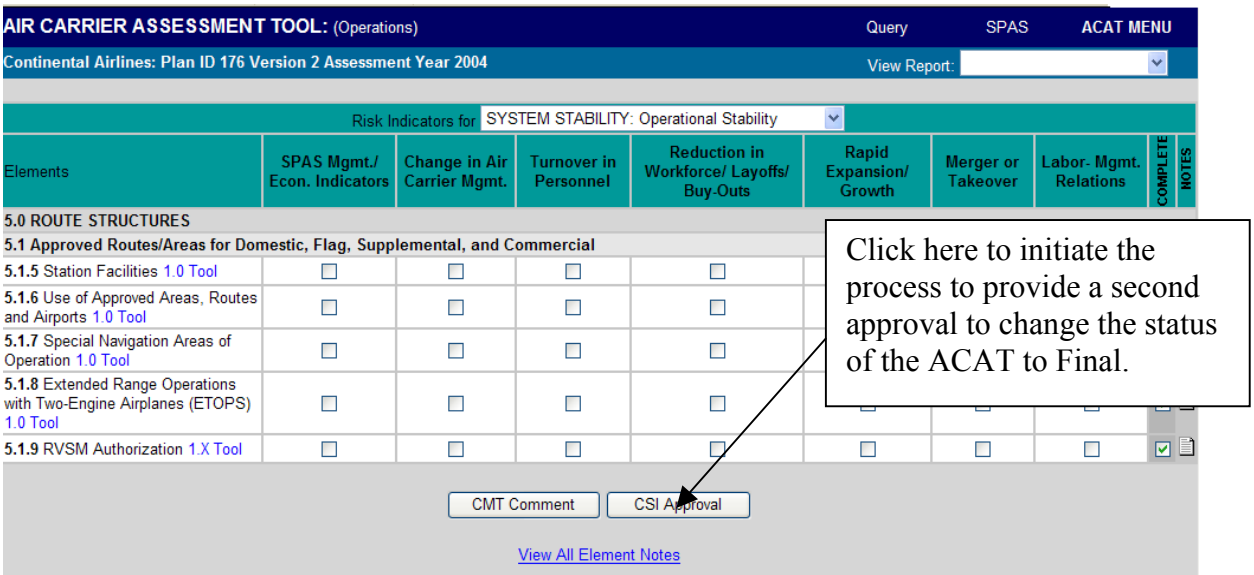


Figure 6-20: CSI View of ACAT Elements with Approval Button

Clicking on the **CSI Approval** button opens the window shown as Figure 2-21.

All rows in this ACAT have been completed.

Save this ACAT as a FINAL
Once this ACAT is saved as a FINAL, you will only have *read-only* access to it, and will not be able to make edits to this version. All CMT Members from your air carrier will also have *read-only* access to it.

NOTE: This is a retargeted ACAT. Upon saving this final (with both approvals), a new SAI and a new EPI will be created with a status of 'Work-in-Progress'. Any existing SAI and EPI plans that are 'Final, Released' will be changed back to 'Final'. At that point, all work on Inspection Activity Reports will be suspended until these new SAI and EPI plans are saved 'Final' and then released.

Do not Upgrade Status
To return to the current ACAT, without upgrading its status.

(**NOTE:** Each time an ACAT is saved with all rows complete, you will be given the opportunity to upgrade its status.)

Figure 6-21: Information for CSI Approval of ACAT

When the CSI clicks on the **Save this ACAT as a FINAL** the second approval window opens, Figure 6-22. The CSI's user ID is automatically entered.

In the case of an Airworthiness ACAT, the second approving PI must access at least one of the ACAT Element Evaluation screens, the Approve as Final screen, and the ACAT Approval Form. The ACAT Second Approval Form (Figure 6-22) is displayed with the ATOS User IDs of both the first approving PI and of either the CSI or the other Airworthiness PI automatically entered in the appropriate cells. The CSI or the second Airworthiness PI approves the new version of the ACAT by clicking the Submit button. The ACAT illustrated is an Operations ACAT, so the initiating PI is a POI and the required Second Approval is provided by a CSI. For Airworthiness ACATs, the first approving PI is either a PAI or a PMI, and the Second Approval is provided by the other PI. Note that two approvals are always required to finalize a new version of an ACAT and generate a new CSP, whether the ACAT is an Operations ACAT or an Airworthiness ACAT.

All rows in this ACAT have been completed.

Approving Cabin Safety Inspector ID bgpSW09
Approving Operations Inspector ID tssSW29
Submit **Note:** Both Approvals are necessary to save this ACAT as final.

Do not Upgrade Status
To return to the current ACAT, without upgrading its status. (**NOTE:** Each time an
be given the opportunity to upgrade its status.)

ATOS User ID of the Second Approval CSI or the PI who has not yet approved the new version ACAT.

ATOS User ID of the PI who has already approved the new version

Click this button to complete Second Approval.

Figure 6-22: ACAT Second Approval Form

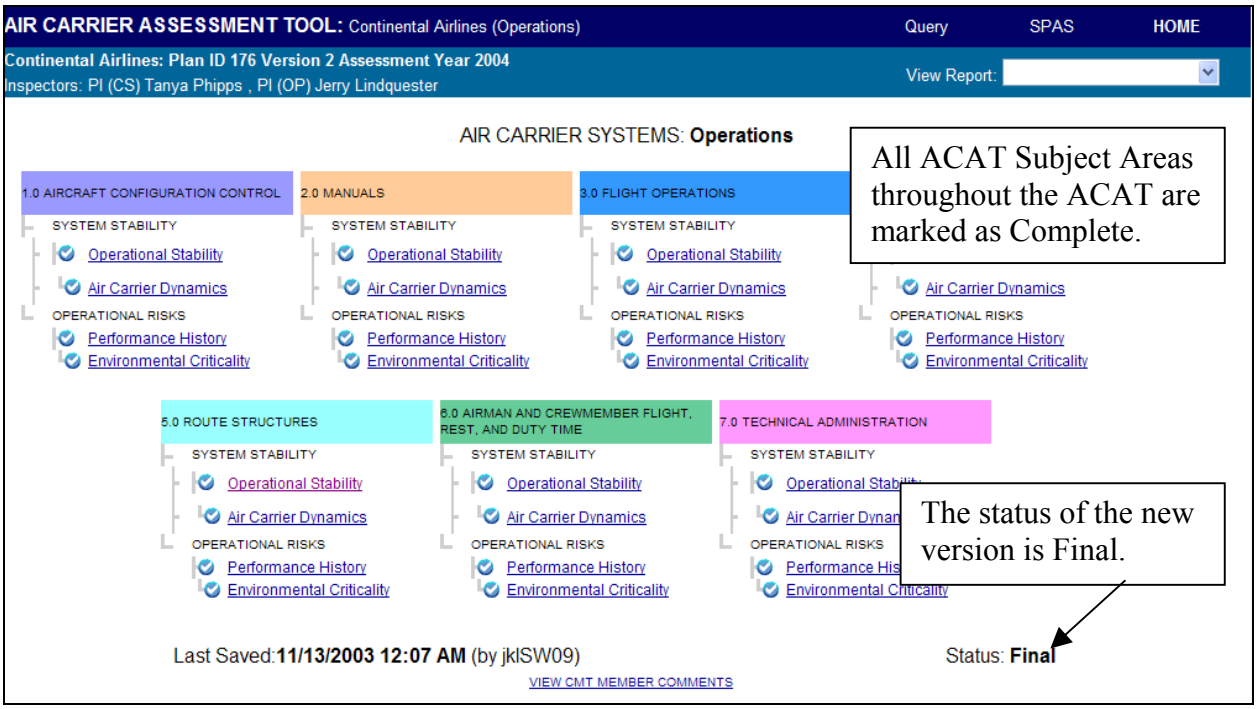


Figure 6-23: ACAT Home Page, Final Status

When the new version of the ACAT has been approved by both the POI and CSI or by both the PAI and PMI it is saved in Final status (Figure 6-23).

6.2.3 Air Carrier Assessment Tool Results

Access the ACAT Result page from the "View Report" drop-down menu on the main ACAT page, as shown in Figure 6-24. Excerpts of this report are shown in Figure 6-25 and Figure 6-26.

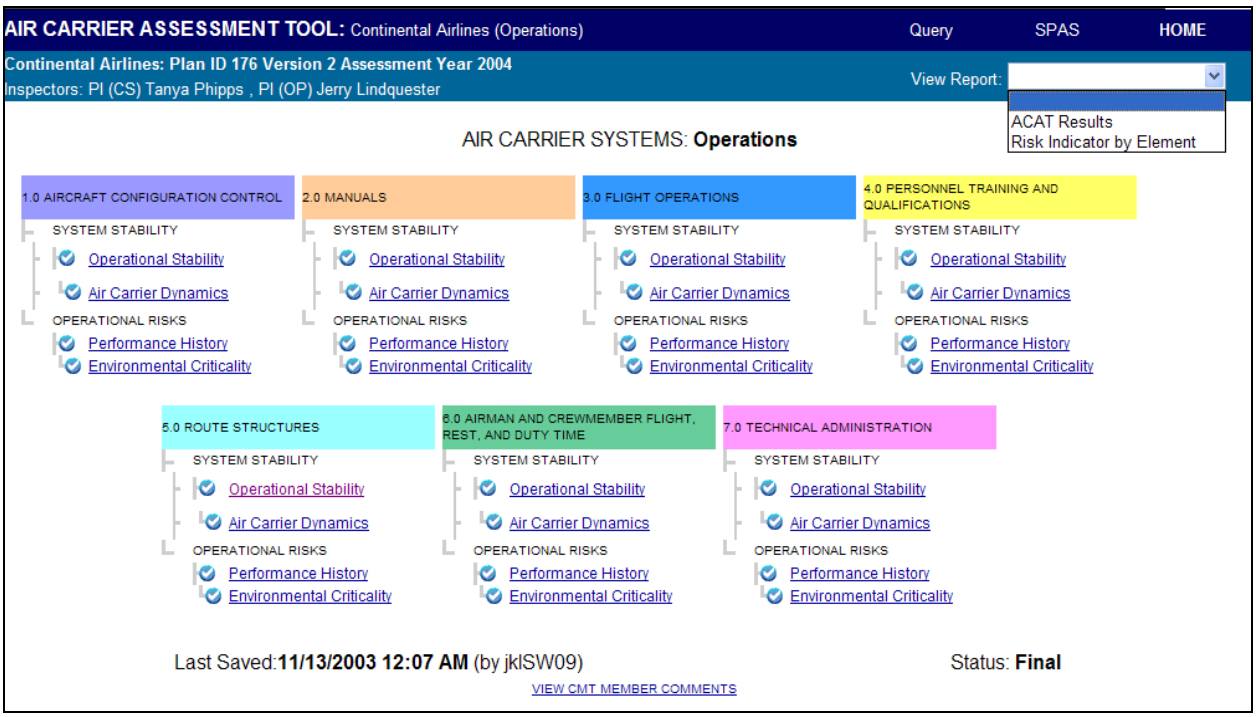


Figure 6-24: ACAT Menu Page Showing Link to ACAT Results

The ACAT Results page is rather lengthy, so only the beginning and the end of a typical page is presented in the two figures that follow, Figures 6-25 and 6-26.

AIR CARRIER ASSESSMENT TOOL: ACAT Results Query SPAS ACAT MENU

6 Version 2 Assessment Year 2004
PI (OP) Jerry Lindquester View Report:

Click on a yellow Notes icon to access notes for this element.

LEMENTS	NOTES	ASSESSMENT ACTUALS					Total Possible	%	Assessment Value	Criticality Weight	Weighted Percentage
		OS	CD	PH	EC	Total					
Equipment 1.0 Tool		4	0	0	0	4	29	14%	1	2	28%
Aircraft Sub-System Weighted Percentage Average											**28%**
2.1.1 Manual Currency 1.X Tool		0	2	0	0	2	29	7%	0	2	14%
2.1.2 Content Consistency Across Manuals 1.X Tool		0	1	0	0	1	29	3%	-1	2	6%
2.1.3 Distribution (Manuals) 1.X Tool		0	0	0	0	0	29	0%	-1	2	0%

Figure 6-25: ACAT Results Page – Excerpt Showing Beginning of Page

7.1.5 Chief Pilot 1.X Tool		0	0	0	0	0	29	0%	-1	1	0%
Key Personnel Sub-System Weighted Percentage Average											**0%**
7.2.1 Safety Program (Ground and Flight) 1.0 Tool		0	0	0	0	0	29	0%	-1	2	0%
Other Programs Sub-System Weighted Percentage Average											**0%**
TOTAL OPERATIONS											5%

View All Element Notes

General ACAT Notes

Check Spelling

Use this link to access a complete listing of all notes for this ACAT.

Figure 6-26: ACAT Results Page – Excerpt Showing End of Page

Clicking on a yellow "Notes" icon opens a window that includes a timestamp and the ATOS User ID of the person who added those notes. Figure 6-27 is an example.

ACAT Element Notes:
Submitted By Barbara Phillips on 07/24/2002

```
Probable change in status due to
issues addressed in testing.
```

Check Spelling

Cancel

Figure 6-27: ACAT Element Note

Review all of the notes associated with this ACAT by clicking on the **View All Element Notes** link near the bottom of the ACAT Results page. Figure 6-28 is an excerpt of the presentation of this full set of notes.

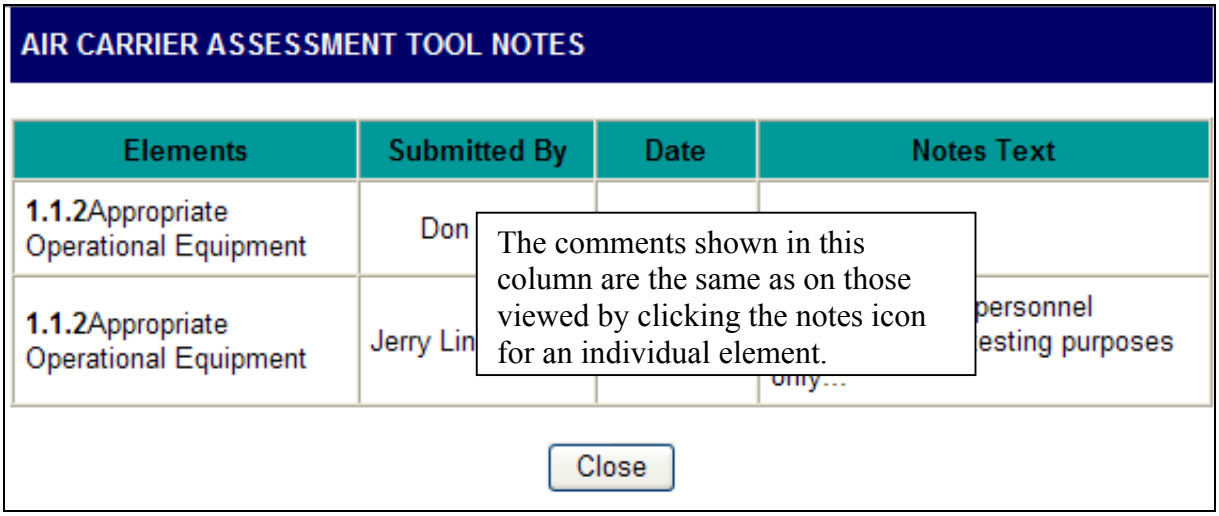
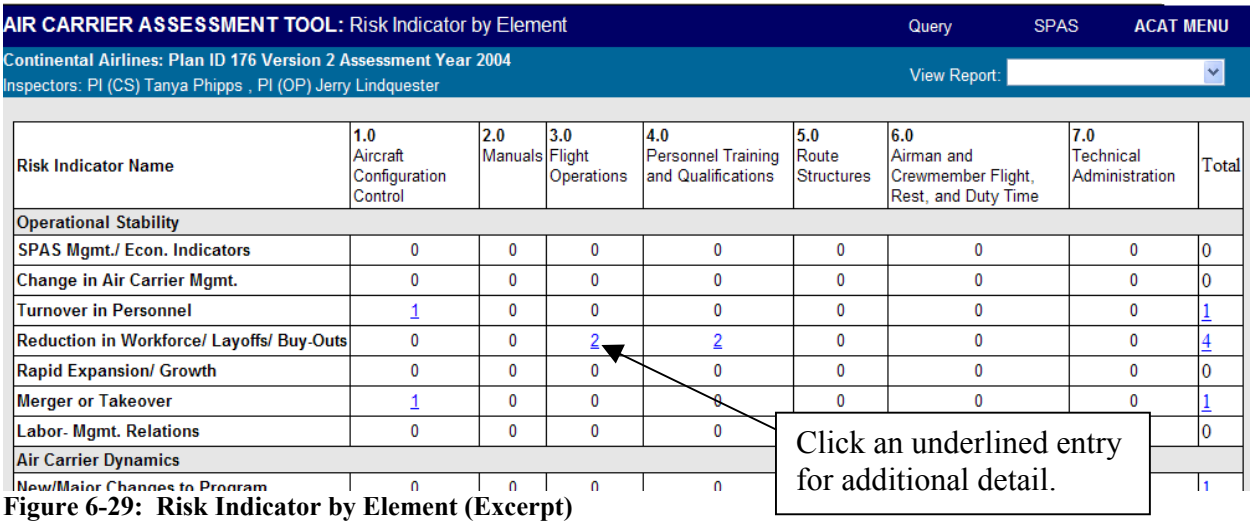


Figure 6-28: ACAT Notes – Excerpt of View of All Notes

6.2.4 Risk Indicator by Element

Selecting "Risk Indicator by Element" from the drop-down menu of "View Report" on the ACAT main page opens the report illustrated in Figure 6-29.



Risk Indicator Name	1.0 Aircraft Configuration Control	2.0 Manuals	3.0 Flight Operations	4.0 Personnel Training and Qualifications	5.0 Route Structures	6.0 Airman and Crewmember Flight, Rest, and Duty Time	7.0 Technical Administration	Total
Operational Stability								
SPAS Mgmt./ Econ. Indicators	0	0	0	0	0	0	0	0
Change in Air Carrier Mgmt.	0	0	0	0	0	0	0	0
Turnover in Personnel	1	0	0	0	0	0	0	1
Reduction in Workforce/ Layoffs/ Buy-Outs	0	0	2	2	0	0	0	4
Rapid Expansion/ Growth	0	0	0	0	0	0	0	0
Merger or Takeover	1	0	0	0	0	0	0	1
Labor- Mgmt. Relations	0	0	0	0				0
Air Carrier Dynamics								
New/Major Changes to Program	0	0	0	0				1

Figure 6-29: Risk Indicator by Element (Excerpt)

The underlined entries in this matrix are links to more detailed information, as illustrated in Figure 6-30.

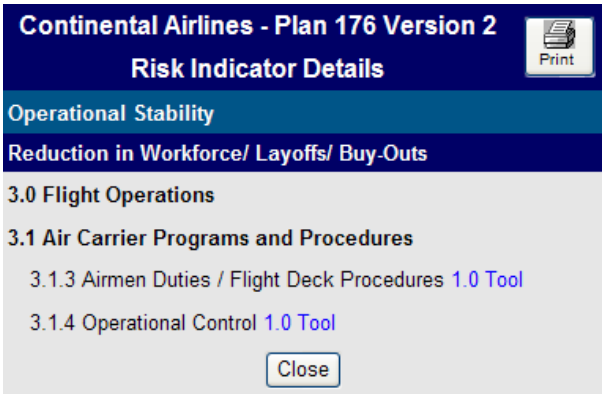


Figure 6-30: Risk Indicator Details

6.3 Retargeting the CSP SAI

Creating a new version of the ACAT results in a new version of the CSP SAI, in which the priority assigned to each element is autofilled with values generated by the new version of the ACAT. Finalization of the new version ACAT is required prior to the development of the new CSP SAI. Based on the retarget ACAT results, as well as the PI's own expertise and personal knowledge of the air carrier, the PI may enter a new number in the *Current Plan SAIs* column of the new CSP, to reflect the new number of SAI inspections to be completed for each element in the new CSP. This allows the PI the ability and authority to direct surveillance efforts towards problem areas. Automation updates the *Remaining SAIs* column based on the new *Current Plan SAIs* column. If any SAI inspections are added as a result of retargeting, the PI adjusts CMT assignments as necessary. When the ACAT is finalized, CMT access to SAIs and EPIs is suspended pending creation of the new version CSP and remains in suspension until the new Inspector Work Programs are finalized.

Procedures governing Final approval of Operations CSP SAIs and CSP Airworthiness SAIs are different. Operations CSP SAIs are saved Final by the POI, while CSP Airworthiness SAIs require formal approval by both Airworthiness PIs (PAI and PMI) to be saved Final. Because the ATOS Data Repository screens reflect this policy difference, Operations PIs and Airworthiness PIs view different screens and follow different procedures.

6.3.1 CSP SAI Retargeting Policies and Procedures

CSP SAI Plan procedures are documented in detail in:

- Chapter 6 §2 ¶3B(1) of FAA 8400.10, AIR TRANSPORTATION OPERATIONS INSPECTOR'S HANDBOOK Appendix 6, Air Transportation Oversight System (ATOS), issued 8/26/98.

- Chapter 10, Figure 10-6 of FAA 8400.10, AIR TRANSPORTATION OPERATIONS INSPECTOR'S HANDBOOK Appendix 6, Air Transportation Oversight System (ATOS), issued 8/26/98

6.3.2 CSP SAI Retargeting Using the ATOS Data Repository

CSP SAI Retargeting requires the following actions:

- Accessing the new version of the CSP SAI Plan. When the ACAT is finalized, CMT access to SAIs and EPIs is suspended pending creation of the new version CSP and remains in suspension until the new Inspector Work Programs are finalized, which can only be done by the POI on the Operations side or both the PAI and PMI on the Airworthiness side.

- Modifying the new version of the CSP SAI Plan. In the case of the Operations CSP SAI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the SAI. Either Airworthiness PI can modify the CSP SAI Plan after the ACAT has been saved Final. Modification requires review and revision of the new version, using the same general criteria and making the same evaluations and judgments as when creating the first version of the CSP SAI.

- Adjusting the CMT membership and assignments of the new version of the CSP SAI Plan. In the case of the Operations CSP SAI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the SAI. Either Airworthiness PI can modify the CSP SAI Plan after the ACAT has been saved Final.

- Saving the new version of the CSP SAI Plan as a Draft. In the case of the Operations CSP SAI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the SAI. Either Airworthiness PI can save the new version of the CSP SAI Plan to Draft once all checks are made in the **Selected** column. All checkmarks must be present in all 7 systems to upgrade the CSP SAI Plan to Draft.

- Saving the new version of the CSP SAI Plan as Final. In the case of the Operations CSP SAI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the SAI. Either Airworthiness PI can save the new version of the CSP SAI Plan to Final once all checks are made in the **Selected** column. All checkmarks must be present in all 7 systems to upgrade the CSP SAI Plan to Final.

- Saving the new version of the SAI Plan as Final Released. In the case of the Operations CSP SAI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the SAI. Either Airworthiness PI can release the new CSP SAI Plan to Final Released after the ACAT has been saved Final and is ready to be released to the Inspectors.

6.3.2.1 Accessing the New Version of the CSP SAI

PIs can access the new version of the CSP SAI from their ATOS Home Page (Figure 6-31). Click on the header line of **COMPREHENSIVE SURVEILLANCE PLAN** you will see the subheaders that include the View…SAI link to open the SAI Home Page (Figure 6-32).

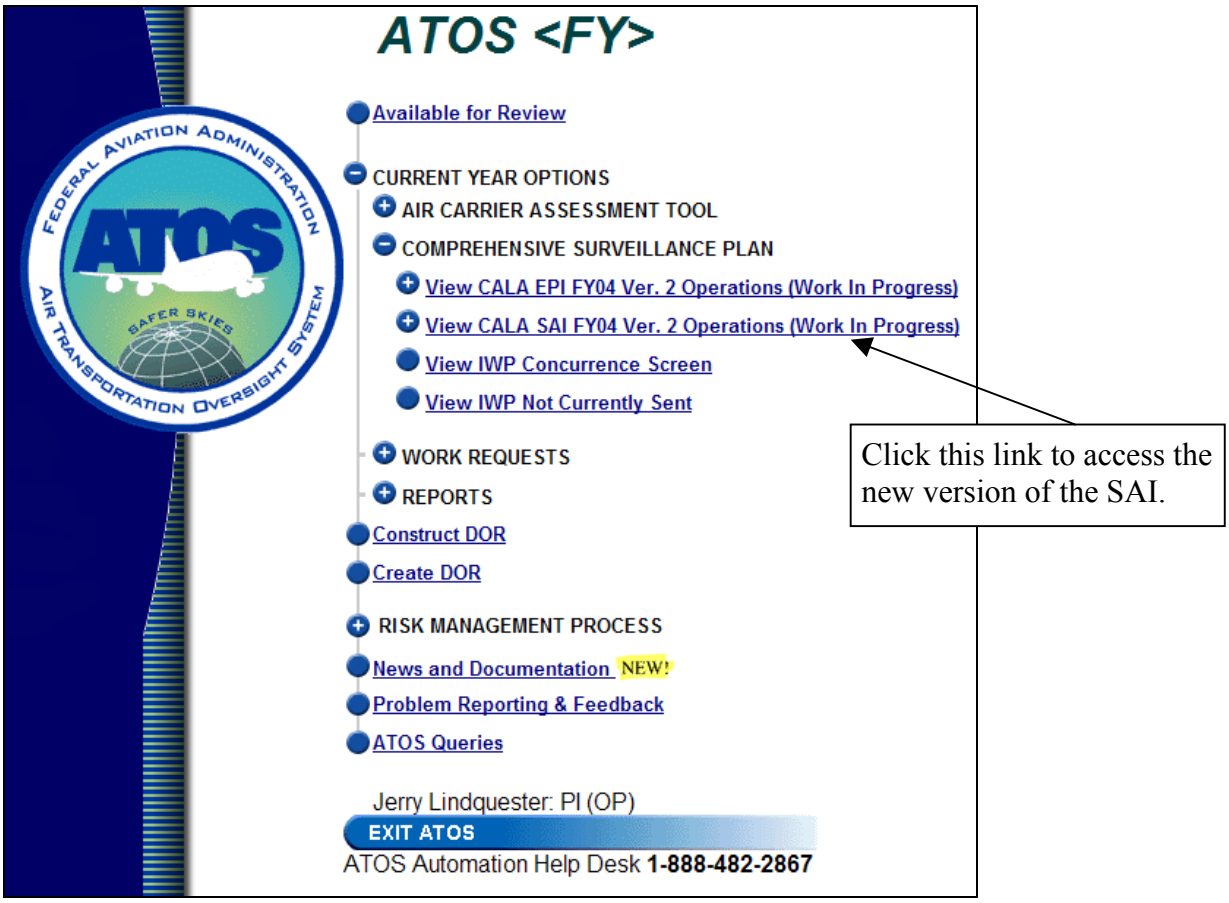


Figure 6-31: ATOS Home Page with Link to New Version of the SAI Plan

The CSP SAI is Work-in-Progress and appropriate data has been copied from the previous version CSP SAI or autofilled from the new version ACAT. A checkmark in the circle beneath the section header means that the section is not affected by the new ACAT. If there is no checkmark, then there is at least one element affected by the new ACAT.

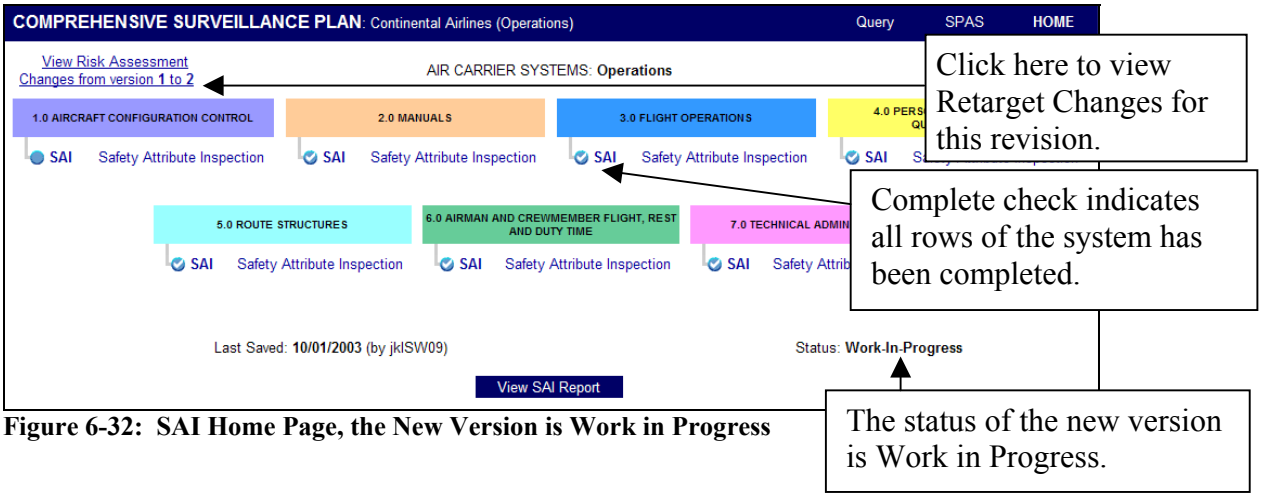


Figure 6-32: SAI Home Page, the New Version is Work in Progress

In the upper left corner of the SAI Home Page is a link to **<u>View Risk Assessment Changes from Version X to Y</u>**, where X is the version that immediately preceded version Y. Figure 6-33 is an example of the Retarget Changes from Version 3 to 4. This page contains ***all*** of the elements, in ***each*** of the systems, that are affected by the new ACAT. A similar window is presented when you choose to view an earlier, final, version of an SAI plan, but in a read-only format. Use the **SAI Menu** button at the top of the window to return to the SAI Home Page.

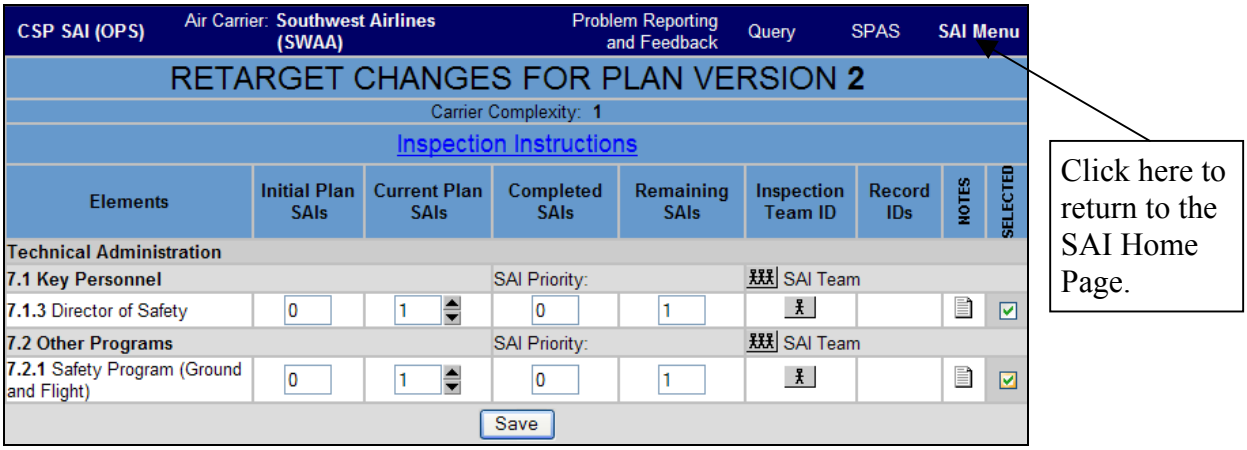


Figure 6-33: Risk Assessment Window

Using the <u>View Risk Assessment Changes</u> (from earlier versions) link to see a summary of changes is an alternative to clicking on each individual section from the SAI Home Page, since all of the elements that require review are presented on one page.

> **Note:** When working from this one page, it is necessary to click the box at the end of the line to mark completion. (This action is done automatically when working with individual sections from the SAI Home Page.)

When the ACAT is finalized, CMT access to SAIs and EPIs is suspended, pending creation of the new version CSP, and remains in suspension until the PI finalizes the new Inspector Work Programs.

6.3.2.2 Modifying the New Version of the CSP SAI

Modification of the CSP SAI requires review and revision of the new version of the CSP SAI using standard SAI criteria for evaluating and judging Surveillance Elements, and increasing or decreasing the number of required inspections for each element as appropriate. Based on the retarget ACAT results, as well as the PI's own expertise and personal knowledge of the air carrier, the PI may enter a new number in the *Current Plan* SAIs column of the new CSP, to reflect the new number of SAI inspections to be completed for each element for this version of the CSP. This allows the PI the ability and authority to direct surveillance efforts towards problem areas. The status of the new version CSP SAI is Work-in-Progress. In the case of the Operations CSP SAI Plan, only the Ops PI can view or change it. Either Airworthiness PI can view and modify the CSP SAI Plan in WIP. Those who work on the CSP SAI can exit the new version without saving it in Draft status.

The Element Evaluation screens of the new version of the CSP SAI (Figure 6-34) resemble those of the initial version. Four SAI columns, two buttons, and a link are of particular relevance to retargeting activities are:

The *Initial Plan SAIs* and *Completed SAIs* columns contain numbers tracked during an entire year-long surveillance cycle, while the *Current Plan SA*Is and *Remaining SAIs* columns contain numbers from the current version of the CSP SAI. The SAI Inspector Selection and Inspection Team Selection buttons are used to adjust CMT member assignment to SAI Teams and to assign those SAI Teams to inspections.

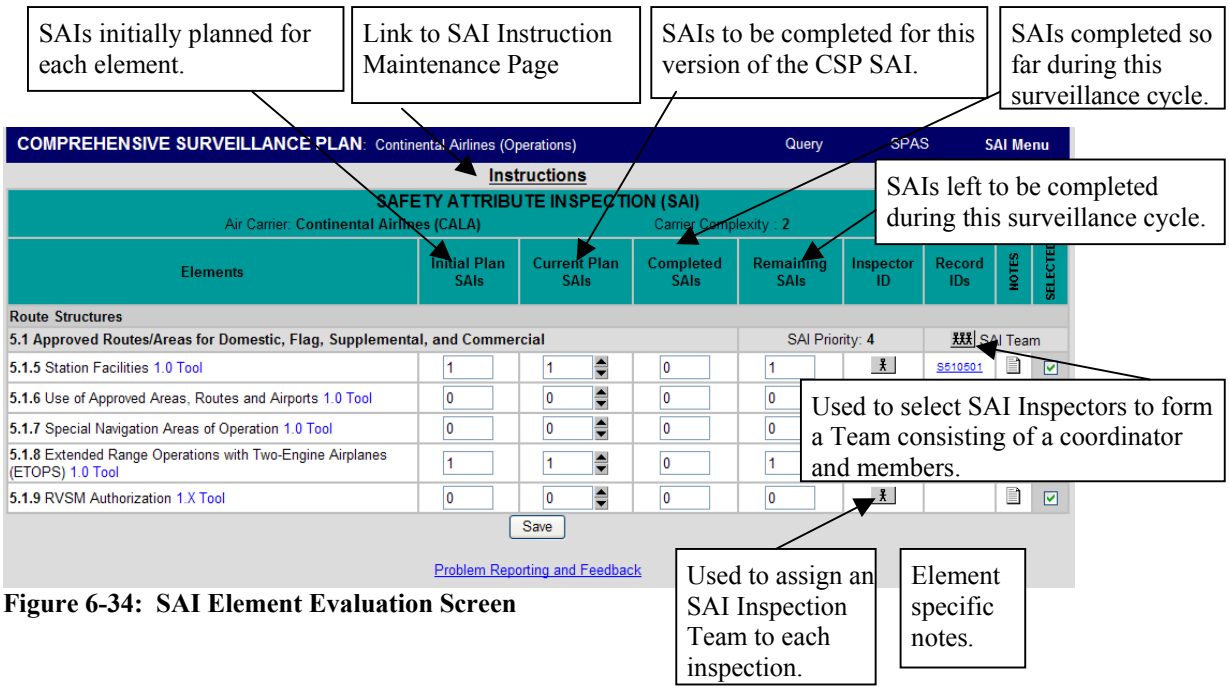


Figure 6-34: SAI Element Evaluation Screen

Initial Plan SAIs: The number of SAI inspections planned for each element in the initial version of the CSP is autofilled in the current CSP. Once this number is set it does not change during the year.

Current Plan SAIs: The number of SAI inspections planned for each element in the current version of the CSP. During retargeting the PI can adjust the number of SAI inspections generated by the ACAT.

Completed SAIs: The number of SAI inspections that have been completed for each element up to this point in the plan year. This is a simple count of inspections completed so far during the current year, and no adjustments are made to account for retargeting-induced changes in the number of planned inspections. Consequently, the Completed SAIs value can be less than, equal to, or greater than the Current Plan SAIs value.

Remaining SAIs: This column identifies the number of SAI inspections left to be completed for each element for the plan year. It is the difference between the Current Plan SAI number and the Completed SAI number. Because the Current Plan SAI number can change in successive versions of the CSP the Remaining SAI number can be negative, meaning more inspections have already been completed than the current Plan requires for the year.

SAI Inspector Selection button: This button accesses a drop-down list of CMT inspectors by specialty, from which the PI creates an SAI Team by selecting a Team Coordinator and additional Team members.

SAI Inspection Team Selection button: This button opens a dialog box with a drop-down list of CMT Teams, from which the PI selects a Team for each SAI inspection. The PI may enter any specific instructions necessary for the Team to complete their SAI inspection in the Instructions box found beneath the Team Selection menu.

Instructions link This link brings you to the SAI Instruction Maintenance Page. This instruction link is for <u>all</u> of the elements on the element evaluation screen.

6.3.2.3 Adjusting CMT Membership and Assignments

Retargeting the CSP SAI typically results in added inspections for some SAI elements. The PI adjusts CMT membership and assignments as necessary using Inspector Selection and Inspection Team Selection windows. Procedures for using these windows to create a new version CSP SAI are the same as when creating the initial version CSP SAI. The windows are used to create Inspection Teams for each safety subsystem and to assign a team to each inspection required for each element. The PI selects a team for each SAI inspection planned, and enters specific instructions necessary for the team to properly complete the SAI inspection.

Two buttons found on every SAI Element Evaluation screen (Figure 6-35) provide access to the SAI Inspector Selection window (Figure 6-36) and Inspection Team Selection windows (Figure 6-38). A link at the top will open the SAI Instruction Maintenance window (Figure 6-39).

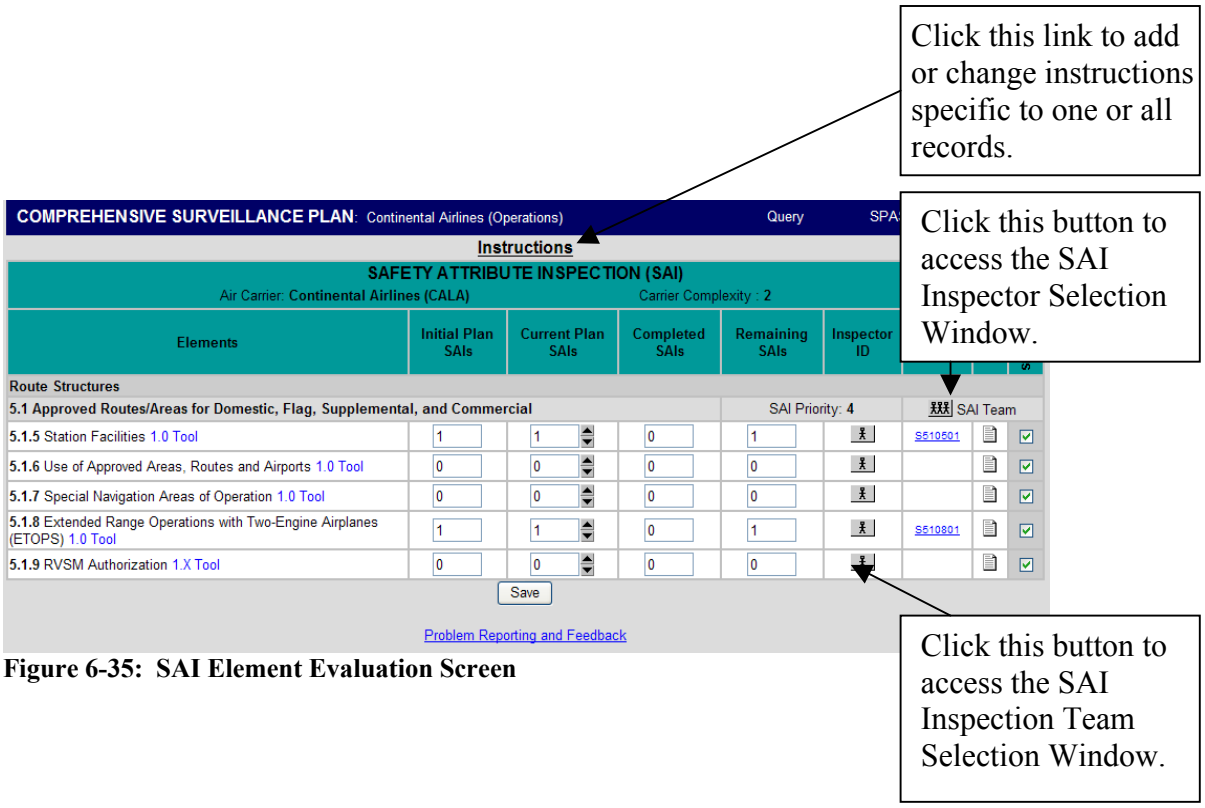


Figure 6-35: SAI Element Evaluation Screen

The Inspector Selection window is used to assign Inspectors to an SAI Team. Click the SAI Team button to access the Inspector Selection window (Figure 6-36). The window lists the Inspectors by specialty who are available for inclusion in SAI Operations and Airworthiness Teams, and allows the designation of one Inspector as the Team Coordinator. Multiple Teams can be created for a Subsystem. The **Delete Team** button is only an option if Inspectors have not started an Activity.

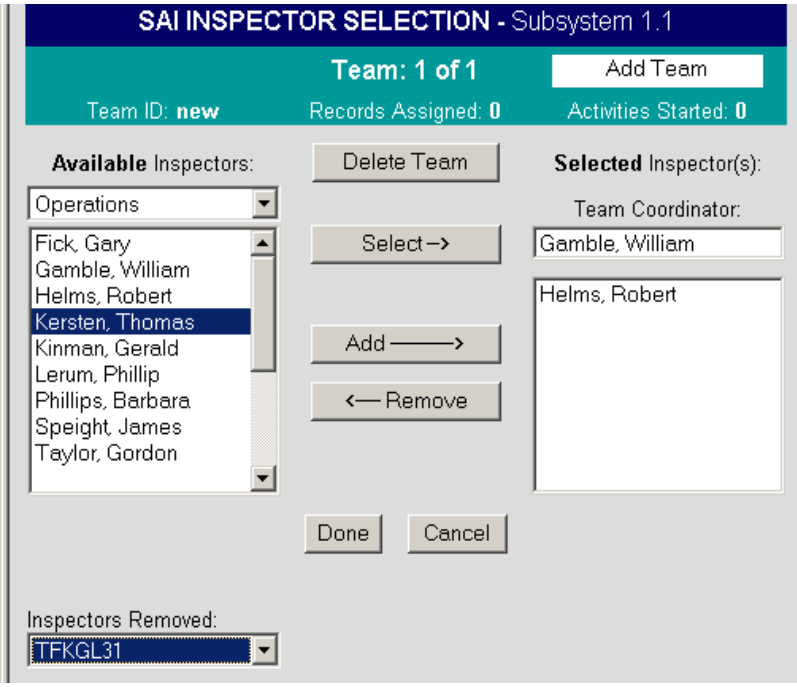


Figure 6-36: SAI Inspector Selection Window

1. Select a name from the list of available inspectors, then click on the **Add** button to add that person to the Team.

2. Select a Team Member's name and click on the **Remove** button to remove that person from the Team. ATOS User IDs of Inspectors removed from the team are listed in the lower left corner under the label "Inspectors Removed".

3. Click on the **Delete** button to remove the entire Team.

4. Click on the **Done** button to save your work and return to the SAI Element Evaluation screen.

The SAI Inspection Team Selection window is used to assign an Inspection Team to a safety element. Click the button in the *Inspector ID* column to access the Inspection Team Selection window (Figure 6-37). The window lists Inspection Teams available for assignment to an inspection, and the PI assigns a Team by selecting it from the list. In addition to Teams, list options include Resources Not Available and Not Applicable. Special instructions for the Team can be added by clicking on the **Instructions** button.

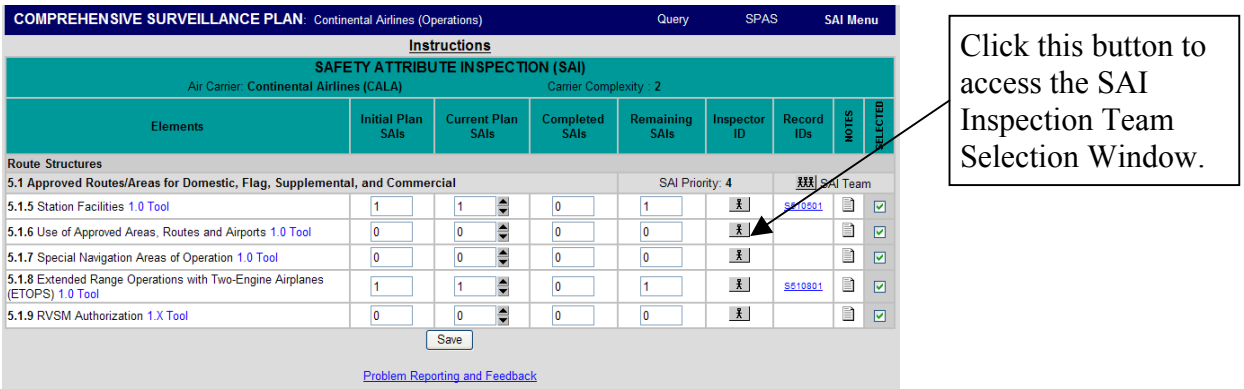


Figure 6-37: SAI Element Evaluation Screen - Inspection Team Selection

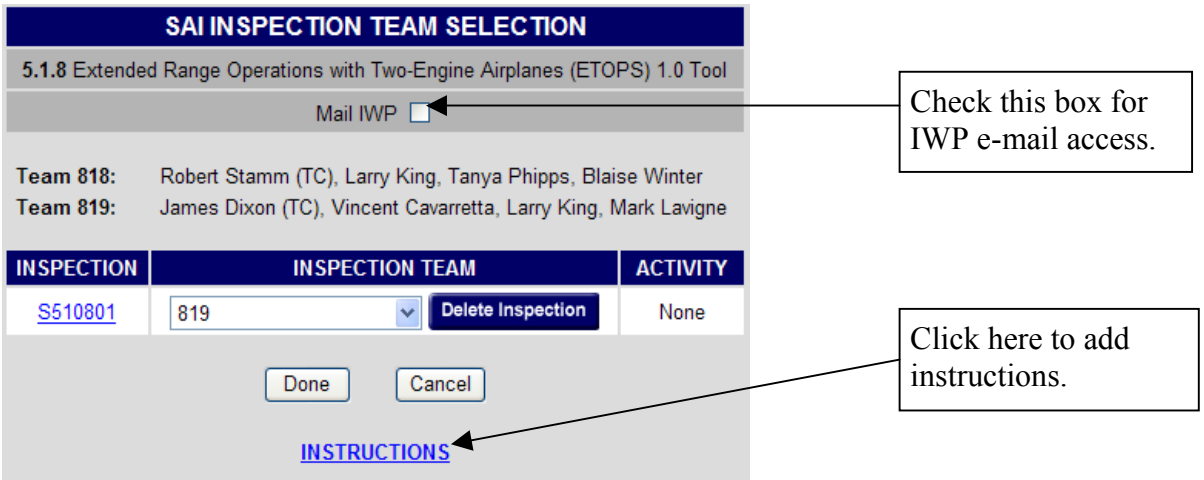


Figure 6-38: SAI Team Selection Window

ATOS Automation includes a facility that automatically composes and distributes, via email, the documents required in the IWP approval concurrence process. This facility is accessed using the check box located at the top of the Inspection Team Selection window (Figure 6-38). See *Automated IWP Email Instructions* (Chapter 7, Sections 7.2 and 7.3) for a detailed description of how to use this facility.

When you click on the **Instructions** button, a window opens (Figure 6-39) for your text. This is the same window that you can access from the top of the SAI screen. See the next section for details on adding or changing instructions.

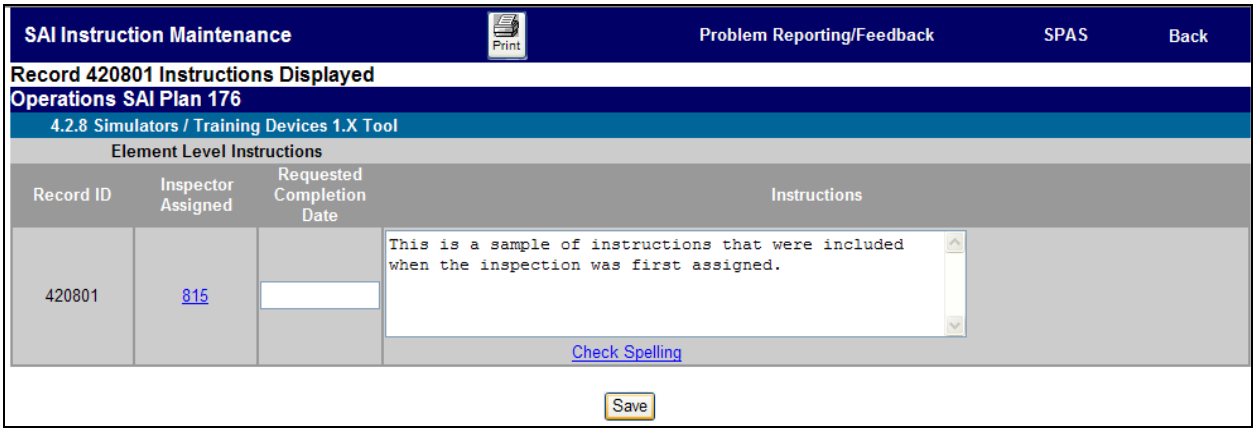


Figure 6-39: SAI Instruction Maintenance Window

6.3.2.4 Adding and Changing Instructions

There are three ways to add or change instructions specific to one element,

- click on the **INSTRUCTIONS** link at the bottom of the SAI Inspection Team Selection window, as shown on Figure 6-38, or
- click on the Notes icon near the right edge of each element line on the Element Evaluation screen, as shown on Figure 6-34, or
- click on the **Instructions** link at the top of the CSP SAI Element Evaluation screen (Figure 6-35). This method allows entry of record-specific instructions, as well as the creation of instructions that will apply to all records.

Clicking on the **Instructions** link at the top of the CSP SAI Element Evaluation screen brings you to the SAI Instruction Maintenance page, illustrated in Figure 6-40.

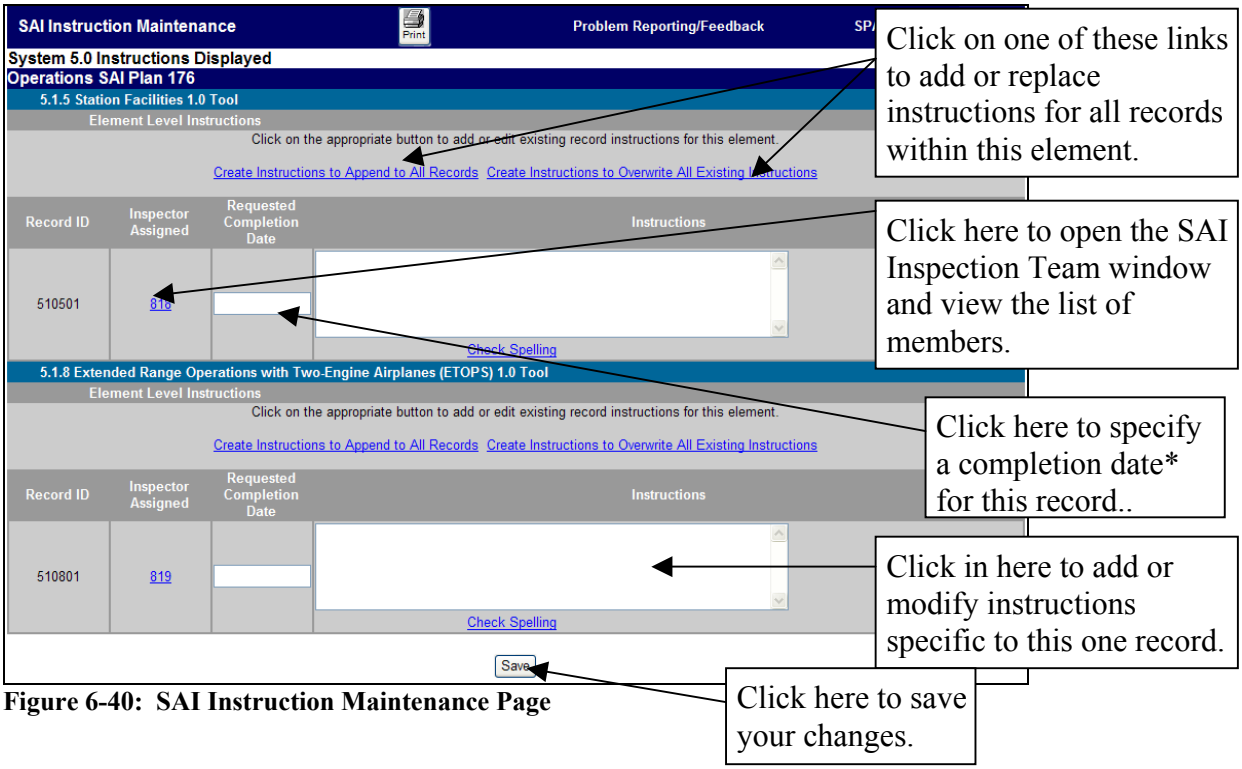


Figure 6-40: SAI Instruction Maintenance Page

> *** Note:** The **Requested Completion Date** is the date by which the Inspector is requested to save the record to the master record and thus send it to the DEPM for evaluation and make it available to the Principal Inspector.

From the SAI Instruction Maintenance screen, you can click on the Inspector Assigned link to view the members of that team, as illustrated in Figure 6-41. Clicking on one member's name brings you roster information about that member.

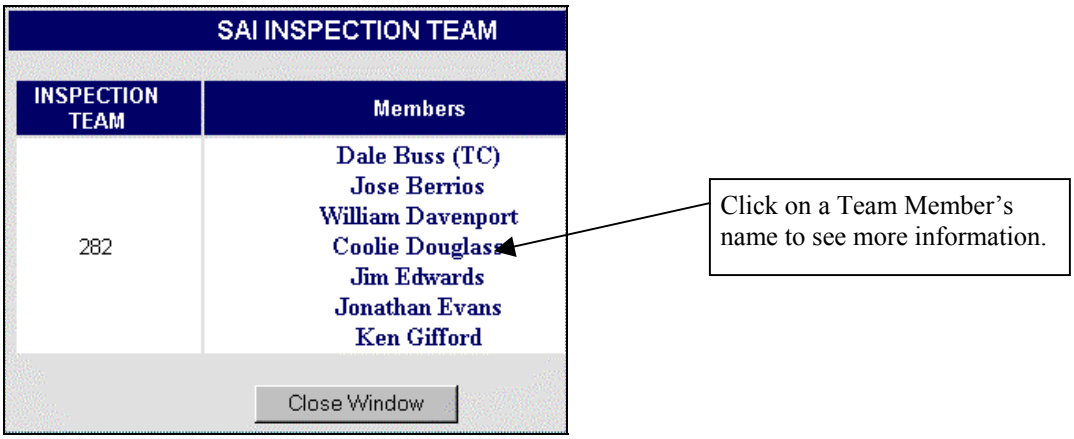


Figure 6-41: SAI Inspection Team

Instructions may be entered separately for each record or for all records under one element at once by using one of the two links at the top of the SAI Instruction Maintenance page (Figure 6-40). A separate field is provided for the **Requested Completion Date**, so it is not necessary to include this within the text of your instructions.

To specify a completion date, click on the date box and the calendar for the current month will pop up. If the requested completion date is not in the current year, change that first. Click on the current year and use the backspace or delete keys to correct the year. The calendar days change to match the month in the year that you have specified.

Next, use the drop down box to the right of the month field to list the other months of the year and click on the one you are requesting. The calendar display will change to that month.

Lastly, click on the exact date in that month and the full date will appear on the SAI Instruction Maintenance page. If you indicate a date that is prior to the current date, you will get an error message and the field will default to the current date.

Click on **Create Instructions to Append to All Records** (Figure 6-37) if you want to add the same text to each of the records under the same element. Figure 6-40 is an example of the window that will then appear to accept the text of your instructions.

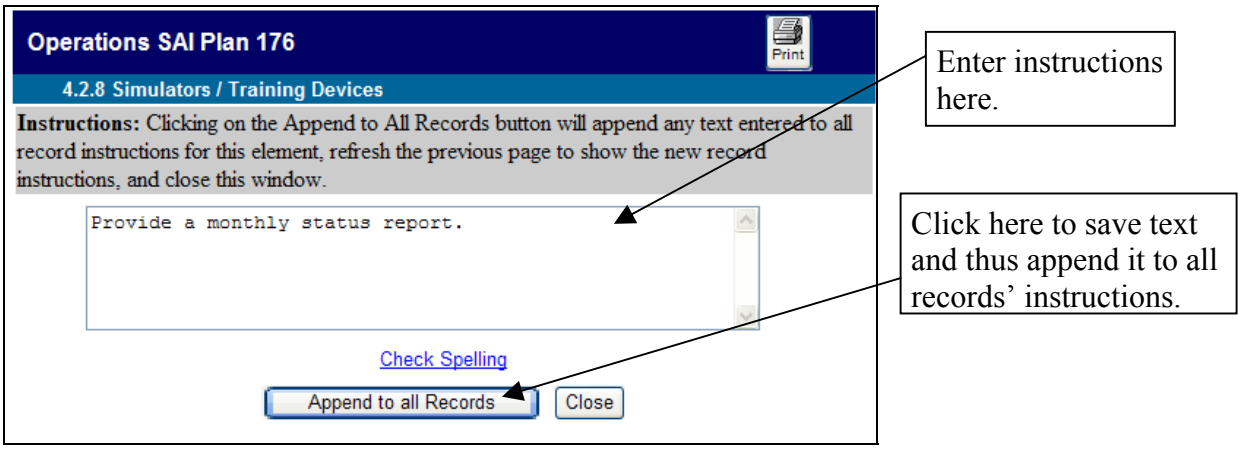


Figure 6-42: Create Instructions to Append to All Records

When you are satisfied with your entry in the text box, click on the **Append to all Records** button (Figure 6-42). This will bring you back to the SAI Instruction Maintenance page where you will see the results of your action (Figure 6-43).

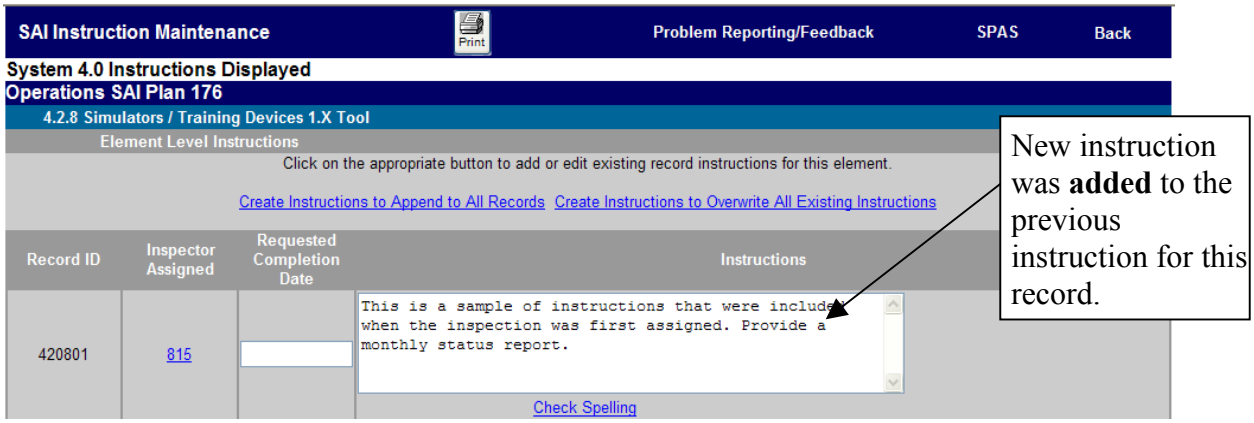


Figure 6-43: SAI Instruction Maintenance Showing Appended Instructions

Click on **Create Instructions to Overwrite All Existing Instructions** (Figure 6-40) if you want to revise each record under the same element to read the same. Figure 6-44 is an example of the window that will then appear to accept the text of the replacing instructions.

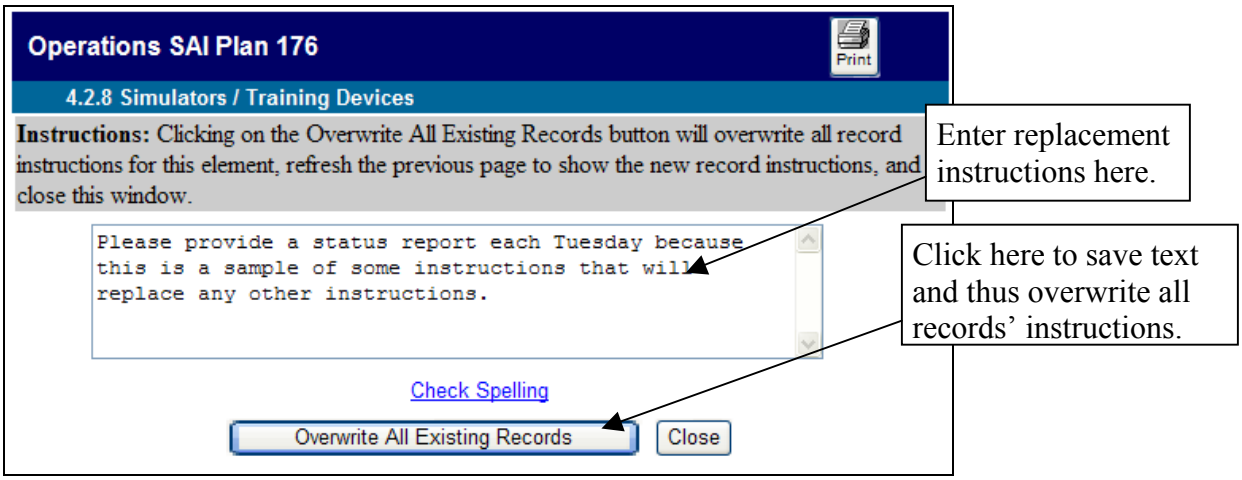


Figure 6-44: Create Instructions to Overwrite All Existing Instructions

When you are satisfied with your entry in the text box, click on the **Overwrite All Existing Records** button (Figure 6-44). This will bring you back to the SAI Instruction Maintenance page where you will see the results of your action (Figure 6-45).

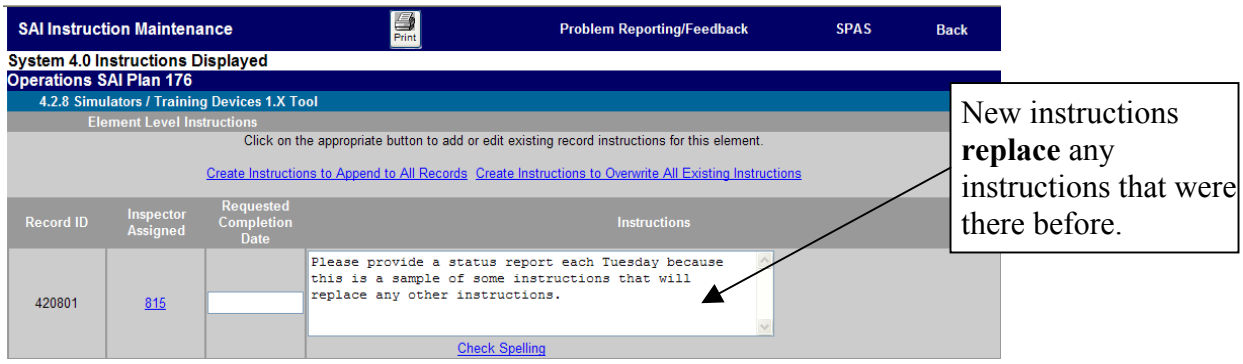


Figure 6-43: SAI Instruction Maintenance Showing Overwritten Instructions

Click on the **Save** button at the bottom of the SAI Instruction Maintenance page (Figure 6-40) to save all of your changes.

6.3.2.5 Saving the New Version CSP as a Draft

The new version of the SAI Plan cannot be saved as a Draft until a Row Complete check is entered for every SAI row. When the SAI is saved as a Draft it can be accessed, but cannot be changed, by CMT members. Access the Save as Draft Form (Figure 6-46) by clicking the Save button found at the bottom of every SAI Element Evaluation screen, then save the new version as a Draft by clicking the Save this SAI Plan as a Draft link on the Save as Draft Form.

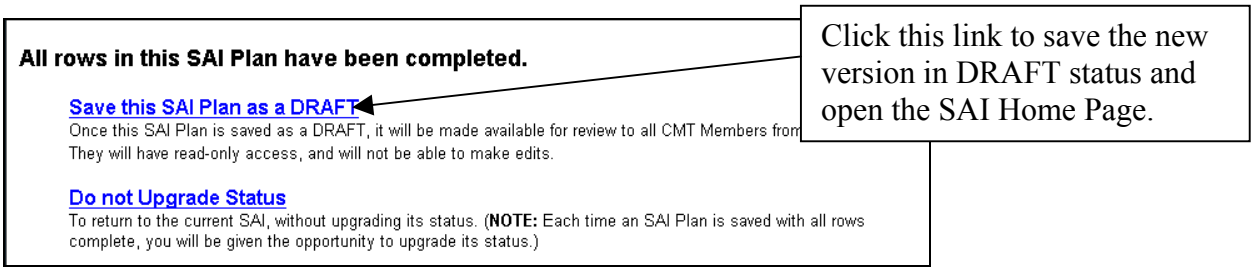


Figure 6-46: SAI Save as Draft Screen

6.3.2.6 Saving an Operations SAI Plan as Final

The POI saves the new version of the SAI Plan in Final status. When the SAI Plan is saved as Final it will no longer be editable, and all CMT members will have read- only access to it.

Access the Save as Final Form (Figure 6-47) by entering any SAI Element Evaluation screen (if desired, final changes to the new version SAI can be made at this time) then clicking the Save button found at the bottom of every Element Evaluation screen. On the Save as Final Form click the Save this SAI Plan as a FINAL link to save the new version of the SAI as Final and return to the SAI Home Page.

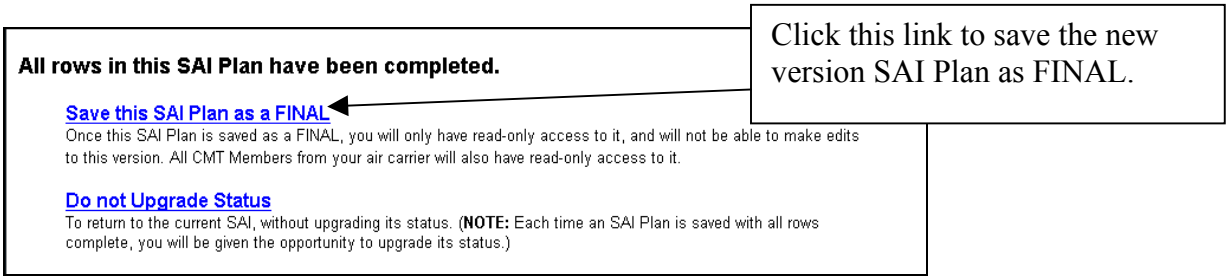


Figure 6-47: SAI Save as Final Screen

6.3.2.7 Saving an Airworthiness SAI Plan as Final

Saving an Airworthiness SAI Plan in Final status requires approval from both the PAI and PMI, but procedures for saving an Airworthiness SAI are very similar to procedures for saving an Operations SAI. The first approval can be from either a PAI or a PMI, regardless of which one initiated it, and the second approval will be provided by the other PI. Note that two approvals are always required to finalize a new version of an Airworthiness SAI Plan. One A/W PI first saves the new version of the Airworthiness SAI in Draft status, following the same procedures as

the POI uses for saving an Operations SAI, and is then automatically returned to the SAI Home Page, just the same as when saving an Operations SAI as a Draft. The A/W PI accesses any SAI Element Evaluation screen from the SAI Home Page (if desired, final changes to the new SAI can be made at this time), then clicks the Save button found at the bottom of every SAI Element Evaluation screen to access the SAI Approval Form (Figure 6-48). The SAI Approval Form automatically enters the PI's ATOS User ID in the appropriate cell. The A/W PI approves the new version of the SAI by clicking the Submit button.

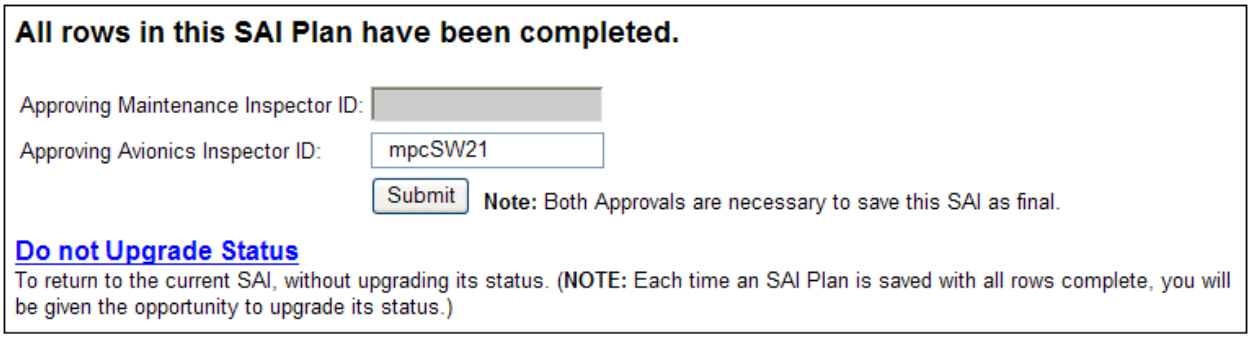


Figure 6-48: Airworthiness SAI Approval Form

The second approval PI accesses the Approval Form by using his or her ATOS User ID to view the new version of the SAI. When the second approval PI clicks the Save button on one of the SAI Element Evaluation screens, the SAI Approval Form is displayed. On the Approval Form the ATOS User IDs of both the PIs are automatically entered in the appropriate cells (Figure 6-49). The second approval PI approves as Final the new version of the SAI by clicking the Submit button and is returned to the SAI Home Page.

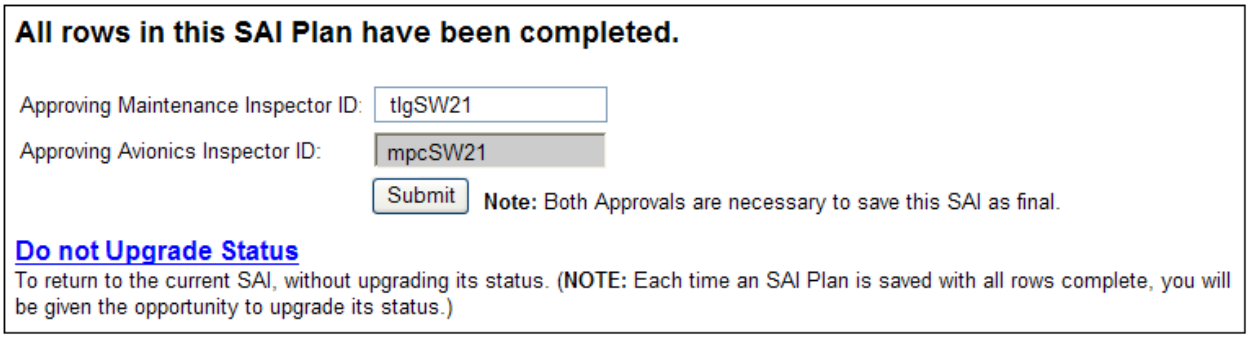


Figure 6-49: Airworthiness SAI Plan Approval Form, Second Approval

6.3.2.8 Releasing the Finalized SAI Plan

The CSP SAI Home Page (Figure 6-50) shows that the new version of the SAI is now saved in Final status. The process for releasing the finalized SAI Plan is the same for both Operations and Airworthiness.

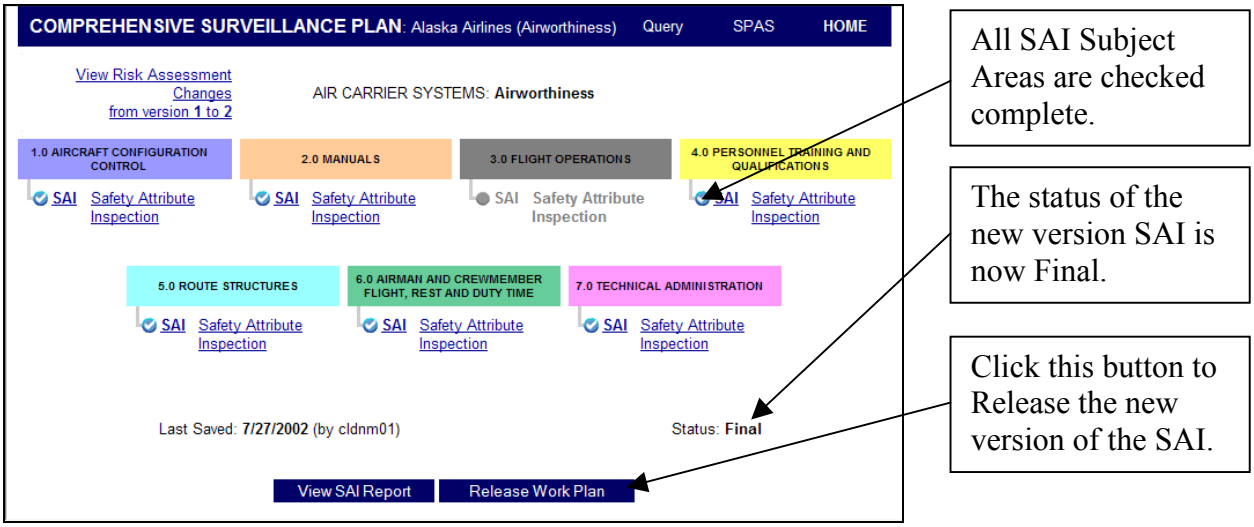


Figure 6-50: SAI Home Page, Final Status

Click the Release Work Plan button to change the status of the new version to Final Released, which allows Inspectors to access the SAI and record their surveillance results (Figure 6-51). Once surveillance is underway, reports detailing instances of DEPM Non-Concurrence, Requests for PI Responses, and PI Responses to NO's are accessible by the buttons shown along the lower edge. These reports are also available directly from the Reports menu on the PI's Home Page.

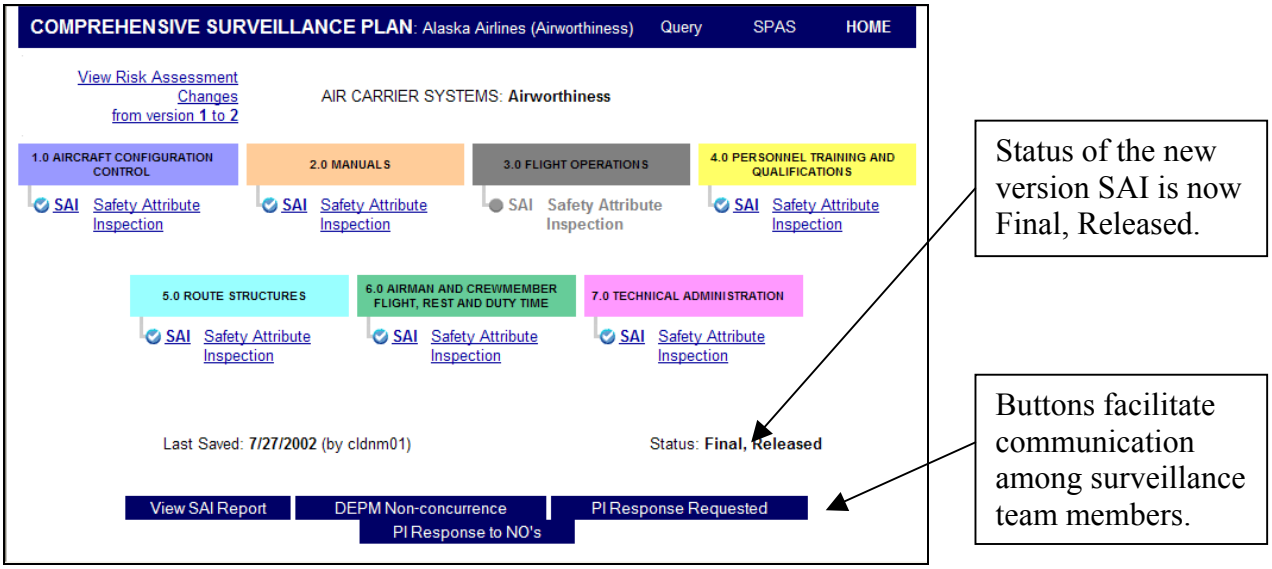


Figure 6-51: SAI Home Page, Final Released Status

6.3.2.9 Updating Instructions on Final Released SAIs and EPIs

PIs can change, delete, or add more instructions to any final, released SAI or EPI. The procedure for modifying instructions is the same for both SAIs and EPIs and is the same as that followed when the SAI or EPI is a Work-in-Progress, or in Draft status.

6.4 Retargeting The CSP EPI

Creating a new version of the ACAT results in a new version of the CSP EPI, in which the priority assigned to each element is autofilled with values generated by the new version of the ACAT. Finalization of the new version ACAT is required prior to the development of the new CSP EPI. Based on the retarget ACAT results, as well as the PI's own expertise and personal knowledge of the air carrier, the PI may enter a new number in the *Current Plan EPIs* column of the new CSP, to reflect the new number of EPI inspections to be completed for each element of the new CSP. The number of Current Plan EPIs must at least meet the EPI Minimum Frequency. This allows the PI the ability and authority to direct surveillance efforts towards problem areas. Automation updates the *Remaining EPIs* column based on the new *Current Plan EPIs* column. If any EPI inspections are added as a result of retargeting, the PI adjusts CMT assignments as necessary. When the ACAT is finalized, CMT access to SAIs and EPIs is suspended, pending creation of the new version CSP, and remains in suspension until the new Inspector Work Programs are finalized.

Procedures governing Final approval of Operations EPIs and Airworthiness EPIs are different. Operations EPIs are saved Final by the POI, while Airworthiness EPIs require formal approval by both Airworthiness PIs to be saved Final. Because the ATOS Data Repository screens reflect this policy difference, Operations PIs and Airworthiness PIs view different screens and follow different procedures.

6.4.1 CSP EPI Retargeting Policies and Procedures

CSP EPI procedures applicable to both annual and retarget inspections are documented in detail in:

- Chapter 6, §2 ¶3B(2) of FAA 8400.10, AIR TRANSPORTATION OPERATIONS INSPECTOR'S HANDBOOK Appendix 6, Air Transportation Oversight System (ATOS), issued 8/26/98.

- Chapter 10, Figure 10-7 of FAA 8400.10, AIR TRANSPORTATION OPERATIONS INSPECTOR'S HANDBOOK Appendix 6, Air Transportation Oversight System (ATOS), issued 8/26/98.

6.4.2 CSP EPI Retargeting Using the ATOS Data Repository

CSP EPI Retargeting requires the following actions:

- Accessing the new version of the CSP EPI Plan. When the ACAT is finalized, CMT access to SAIs and EPIs is suspended pending creation of the new version CSP and remains in suspension until the new Inspector Work Programs are finalized, which can only be done by the POI on the Operations side or both the PAI and PMI on the Airworthiness side.

- Modifying the new version of the CSP EPI Plan. In the case of the Operations CSP EPI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the EPI. Either Airworthiness PI can modify the CSP EPI Plan after the ACAT has been saved Final. Modification requires review and revision of the new version, using the same general criteria and making the same evaluations and judgments as when creating the first version of the CSP EPI.

- Adjusting the CMT membership and assignments of the new version of the CSP EPI Plan. In the case of the Operations CSP EPI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the EPI. Either Airworthiness PI can modify the CSP EPI Plan after the ACAT has been saved Final.

- Saving the new version of the CSP EPI Plan as a Draft. In the case of the Operations CSP EPI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the EPI. Either Airworthiness PI can save the new version of the CSP EPI Plan to Draft once all checks are made in the **Selected** column. All checkmarks must be present in all 7 systems to upgrade the CSP EPI Plan to Draft.

- Saving the new version of the CSP EPI Plan as Final. In the case of the Operations CSP EPI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the EPI. Either Airworthiness PI can save the new version of the CSP EPI Plan to Final once all checks are made in the **Selected** column. All checkmarks must be present in all 7 systems to upgrade the CSP EPI Plan to Final.

- Saving the new version of the EPI Plan as Final Released. In the case of the Operations CSP EPI Plan, this can only be done by the Ops PI who created the new version of the ACAT which generated the EPI. Either Airworthiness PI can release the new CSP EPI Plan to Final Released after the ACAT has been saved Final and is ready to be released to the Inspectors.

6.4.2.1 Accessing the New Version of the CSP EPI

PIs can access the new version of the CSP EPI from their ATOS Home Page (Figure 6-52). Clicking on the header line of **COMPREHENSIVE SURVEILLANCE PLAN** brings the subheaders shown in Figure 6-52. Click on the **View EPI Plan** link to open the CSP EPI Home Page (Figure 6-53).

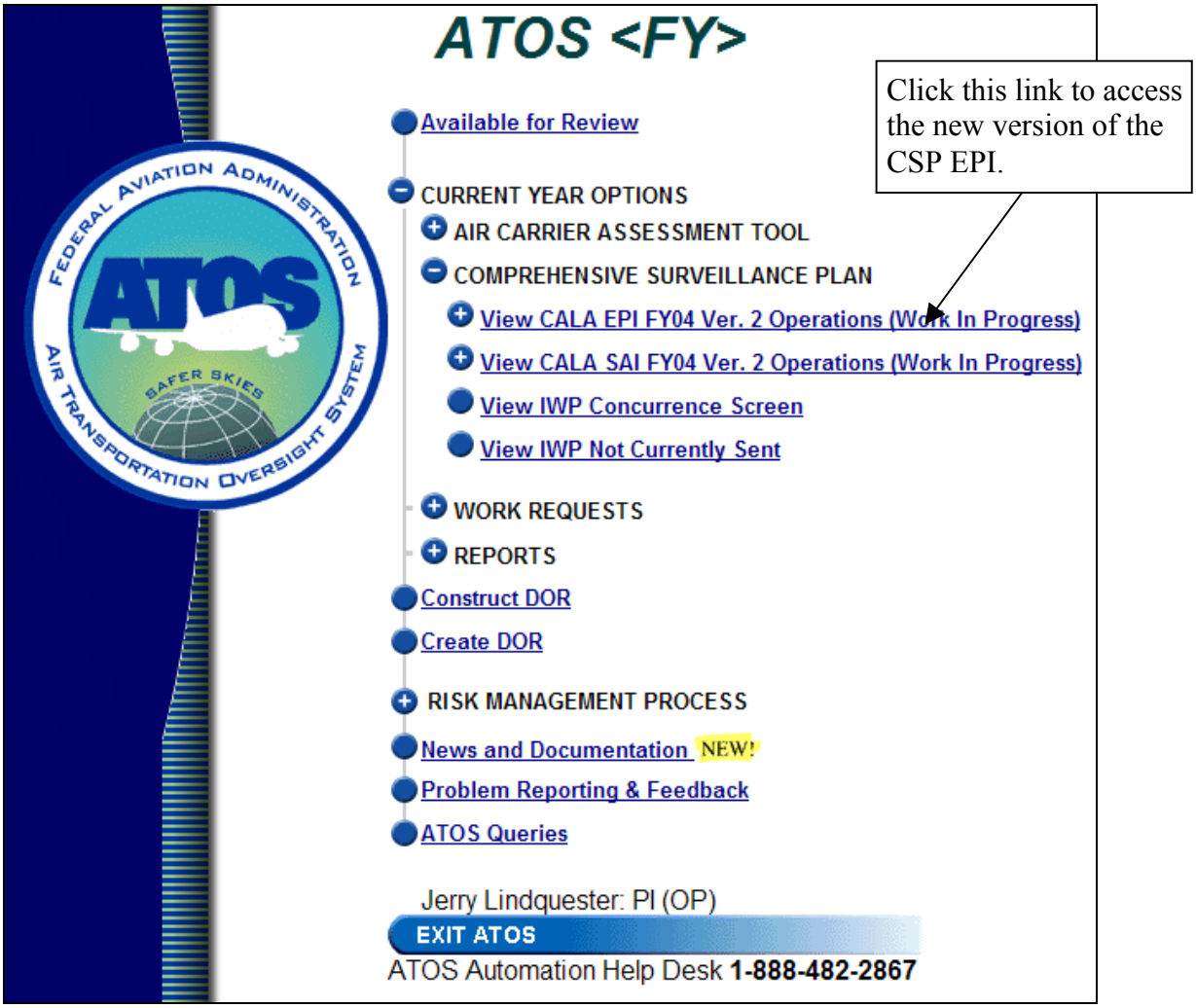


Figure 6-52: ATOS Home Page with Link to New Version of the EPI Plan

The CSP EPI is Work-in-Progress and appropriate data has been copied from the previous version CSP EPI or autofilled from the new version ACAT. A checkmark in the circle beneath the section header means that the section is not affected by the new ACAT. If there is no checkmark, then there is at least one element affected by the new ACAT.

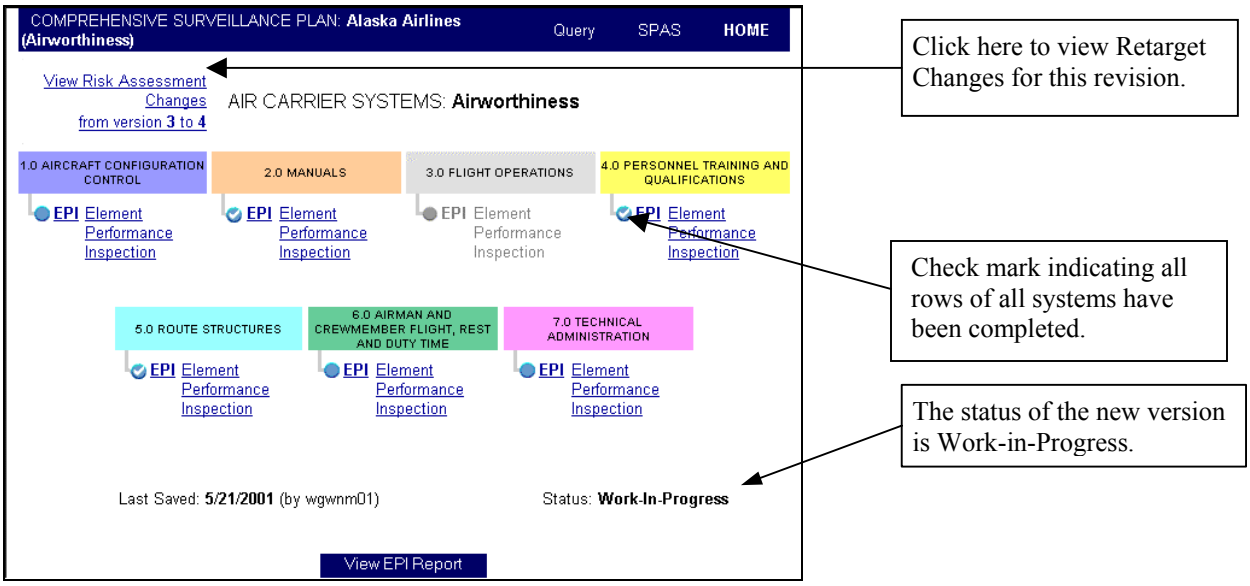


Figure 6-53: CSP EPI Home Page, New Version EPI is Work-in-Progress

In the upper left corner of the EPI Home Page is a link to **<u>View Risk Assessment Changes from Version X to Y</u>**, where X is the version that immediately preceded version Y. Figure 6-54 is an example of the Retarget Changes from Version 3 to 4. This page contains ***all*** of the elements, in ***each*** of the Sections, that are affected by the new ACAT. Links are available on this window to retarget the CSP EPI. A similar window is presented when you choose to view an earlier, final, version of an EPI plan, but in a read-only format. Use the **EPI Menu** button at the top of the window to return to the EPI Home Page.

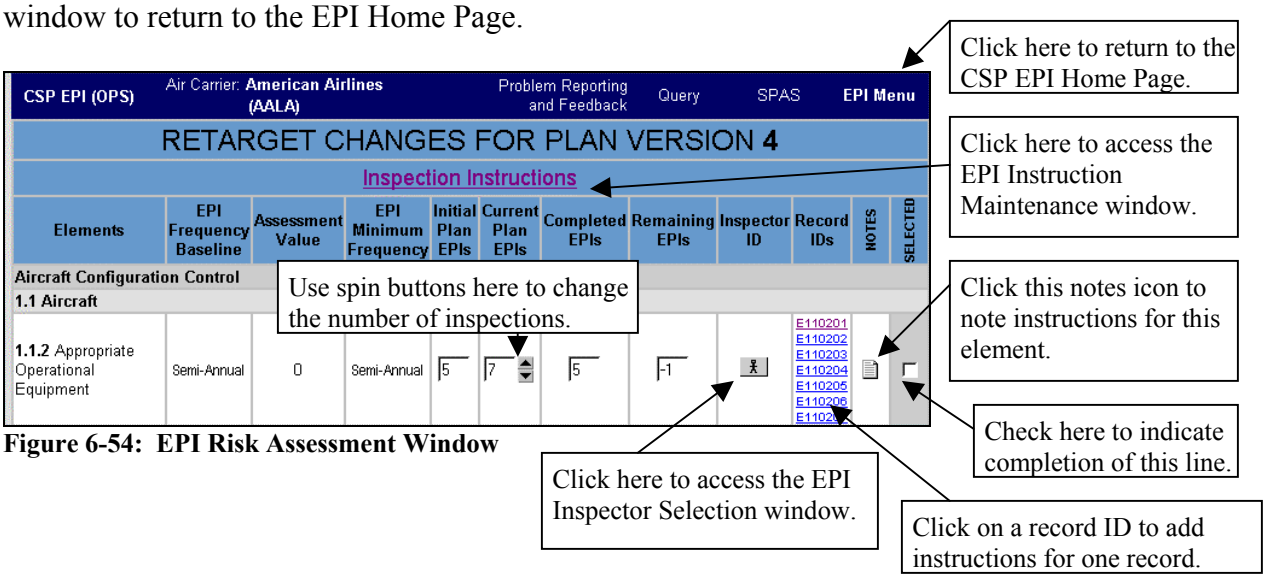


Figure 6-54: EPI Risk Assessment Window

Using the Risk Assessment link to see a summary of changes is an alternative to clicking on each individual section from the CSP EPI Home Page (Figure 6-53), since all of the elements that require review are presented on one page. When working from this one page, however, it is necessary to click the box at the end of the line to mark completion. (This action is done automatically when working with individual sections from the CSP EPI Home Page.)

When the ACAT is finalized CMT access to SAIs and EPIs is suspended, pending creation of the new version CSP, and remains in suspension until the PI and DEPM finalize the new Inspector Work Programs.

6.4.2.2 Modifying the New Version of the CSP EPI

Review and revise the new version of the CSP EPI using standard EPI criteria for evaluating and judging Surveillance Elements, and increasing or decreasing the number of required inspections for each element as appropriate. The status of the new version CSP EPI is Work-in-Progress. In the case of the Operations CSP EPI Plan, only the Ops PI can view or change it. Either Airworthiness PI can view and modify the CSP EPI Plan in WIP. Those who work on the CSP EPI can exit the new version without saving it in Draft status.

The Element Evaluation screens of the new version of the CSP EPI (Figure 6-55) resemble those of the initial version.

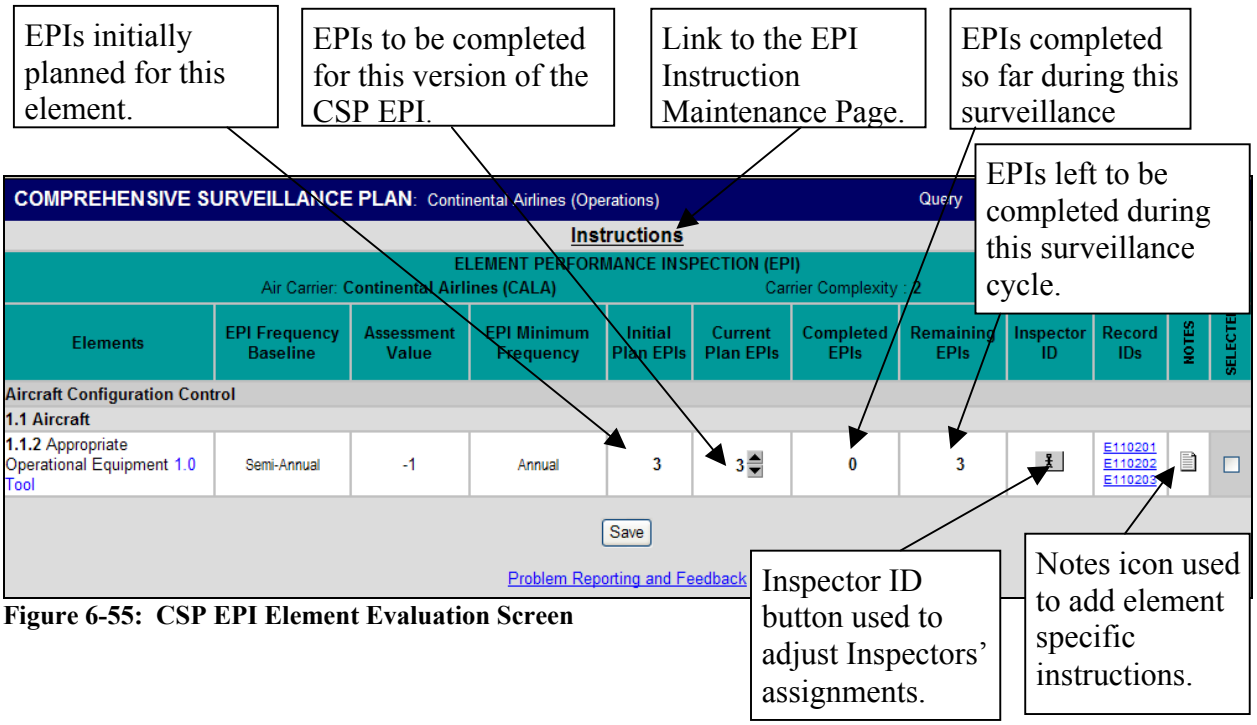


Figure 6-55: CSP EPI Element Evaluation Screen

Four EPI columns, a button, and a link are of particular relevance to retargeting activities:

The *Initial Plan EPIs* and *Completed EPIs* columns refer to numbers tracked during an entire year-long planning cycle, while the *Current Plan EPIs* and *Remaining EPIs* columns refer to numbers from the current version of the CSP. *Inspector IDs* are used to adjust Inspectors surveillance assignments.

Initial Plan EPIs: The number of EPI inspections planned for each element in the initial version of the CSP is autofilled in the Current Plan CSP. Once this number is set it does not change during the year.

Current Plan EPIs: The number of EPI inspections planned for each element in the current version of the CSP. During retargeting the PI can adjust the number of EPI inspections generated by the ACAT.

Completed EPIs: The number of EPI inspections that have been completed for each element up to this point in the plan year. This is a simple count of inspections completed so far during the current year, and no adjustments are made to account for retargeting-induced changes in the number of planned inspections. Consequently, the Completed EPIs value can be less than, equal to, or greater than the Current Plan EPIs value.

Remaining EPIs: This column identifies the number of EPI inspections left to be completed for each element for the plan year. It is the difference between the Current Plan EPI number and the Completed EPI number. Because the Current Plan EPI number can change in successive versions of the CSP the Remaining EPIs number can be negative, meaning more inspections have already been conducted this year than the Current Plan requires for the year.

EPI Inspector ID button: This button accesses a drop-down list of inspections and CMT inspectors by specialty, from which the PI chooses an inspector for each inspection. The PI may enter a location for the EPI and any other specific instructions necessary for the inspector to complete the EPI inspection.

Instructions link This link brings you to the EPI Instruction Maintenance Page. This instruction link is for <u>all</u> of the elements on the element evaluation screen.

Figure 6-56 shows the Current Plan EPIs for Operations element 4.2.3 increased from six in the previous version EPI Plan to seven in the new version EPI Plan. Use the spin button in the *Current Plan EPIs* column to increase the number of inspections. When you do so, new record IDs will be added in the *Record IDs* columns. Decreasing the number of inspections requires that you first delete an inspection.

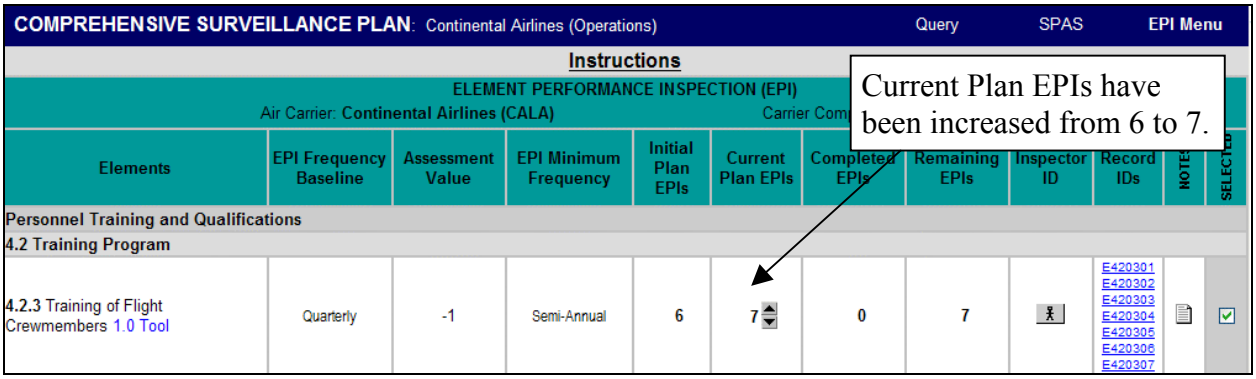


Figure 6-56: Modifying the Number of Required EPIs

6.4.2.3 Adjusting CMT Assignments: Adding Inspectors

Retargeting the CSP EPI may result in more or fewer inspections for some EPI elements, based on the weighting established in the new ACAT. The PI adjusts CMT assignments as necessary using the Inspector Selection window. Procedures for using this window to create a new version EPI are the same as when creating the initial version EPI. The window is used to assign an inspector to each inspection required for each element. The PI selects an Inspector for each EPI inspection planned, and enters specific instructions necessary for the Inspector to properly complete the EPI inspection. A button found on every EPI Element Evaluation screen (Figure 6-57) provides access to the Inspector Selection window. (This same button accesses the Inspector Removal window when the number of required inspections has been decreased.)

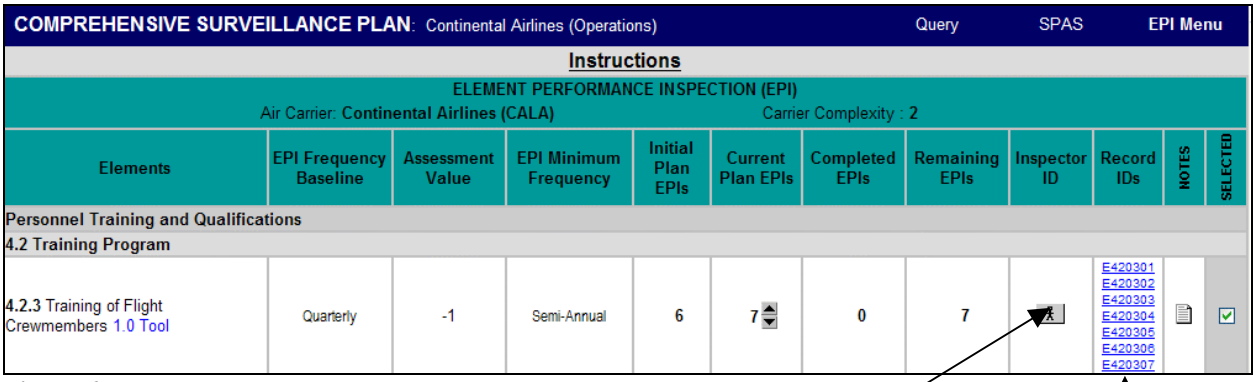


Figure 6-57: Inspector ID Button

Click this button to access the EPI Inspector Selection Window.

Seven Record IDs listed, the number of inspections required by the current version of the EPI.

The Inspector Selection window (Figure 6-58) is used to assign inspectors to an EPI. Click the button in the *Inspector ID* column to access the Inspector Selection window. The window lists all required inspections for the element, including active inspections and newly created inspections (which do not have an inspector assigned). A drop down list of inspectors is used to assign an inspector to each new inspection. Only active Inspectors are included on this list. New inspections should be assigned to an inspector who is not already assigned to another inspection in the same element. Existing assignments which do not show any activity can be reassigned.

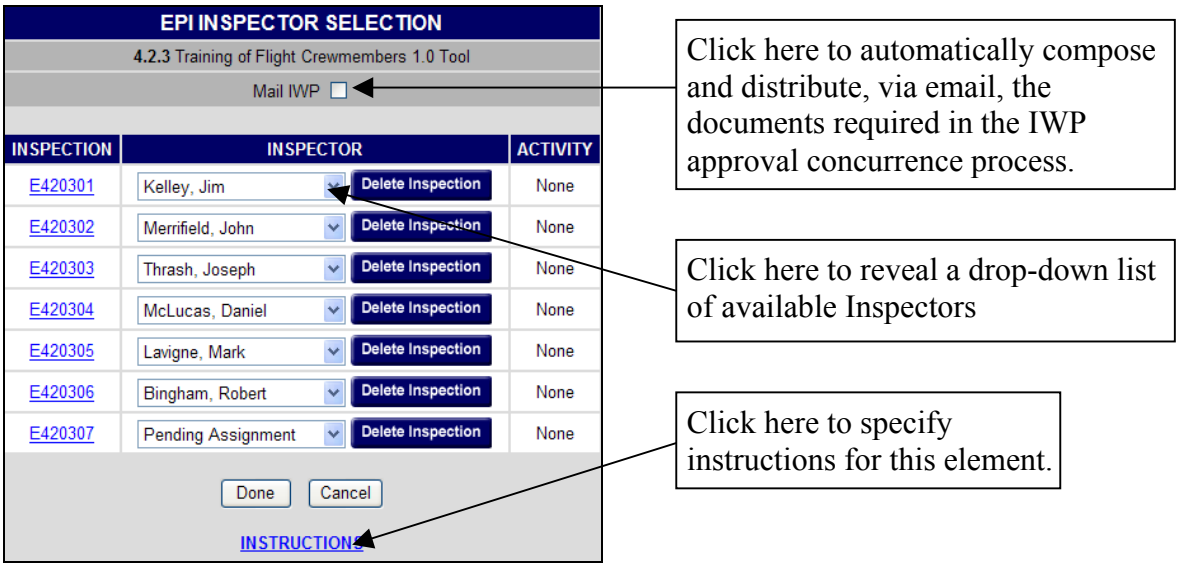


Figure 6-58: EPI Inspector Selection Window

ATOS Automation includes a facility which automatically composes and distributes, via email, the documents required in the IWP approval concurrence process. This facility is accessed using the check box located at the top of the Inspector Selection window. See *Automated IWP Email Instructions* (Chapter 7, Sections 7.2 and 7.3) for a detailed description of how to use this facility.

After the PI assigns inspectors to newly created inspections Automation assigns each new inspection a Record ID (Figure 6-59).

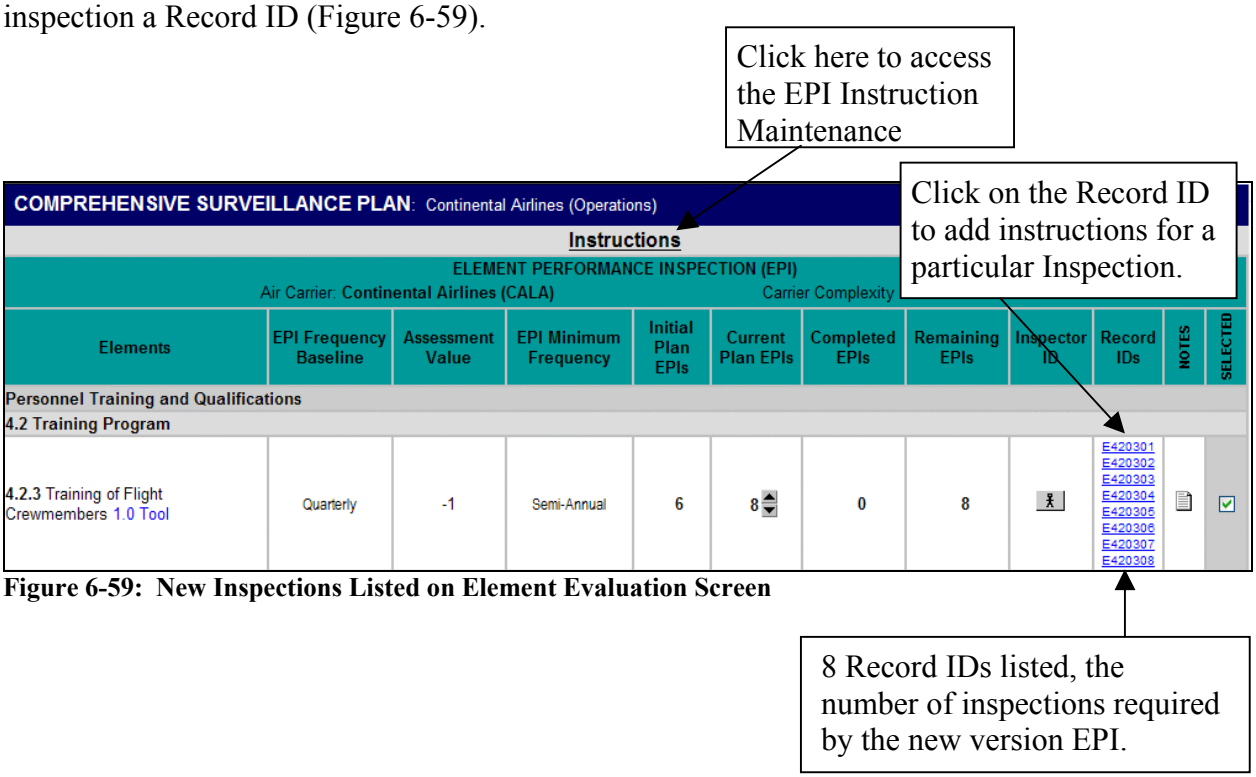


Figure 6-59: New Inspections Listed on Element Evaluation Screen

6.4.2.4 Adjusting CMT Assignments: Removing Inspection Assignments

Retargeting the CSP EPI typically results in reduced inspections for some EPI elements. Once the Current Plan EPIs number has been saved, and an additional Record ID is created, the number of EPIs cannot be lowered without first removing an inspection assignment. Clicking on the down arrow to the right of the number in the Current Plan EPIs column (Figure 6-56) alerts you to this with the error message shown as Figure 6-60.

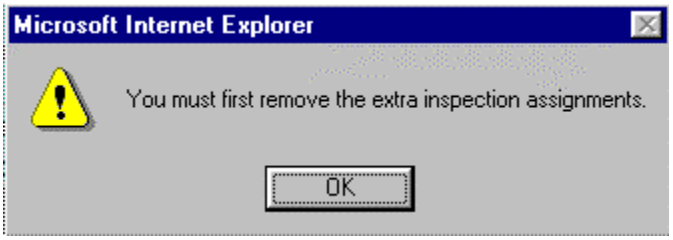


Figure 6-60: Alert to Remove Extra Inspection Assignments

To remove an Inspection Assignment, click on the Inspector icon on the EPI Element Evaluation Screen, Figure 6-61. This will open the EPI Inspector Selection window, Figure 6-62.

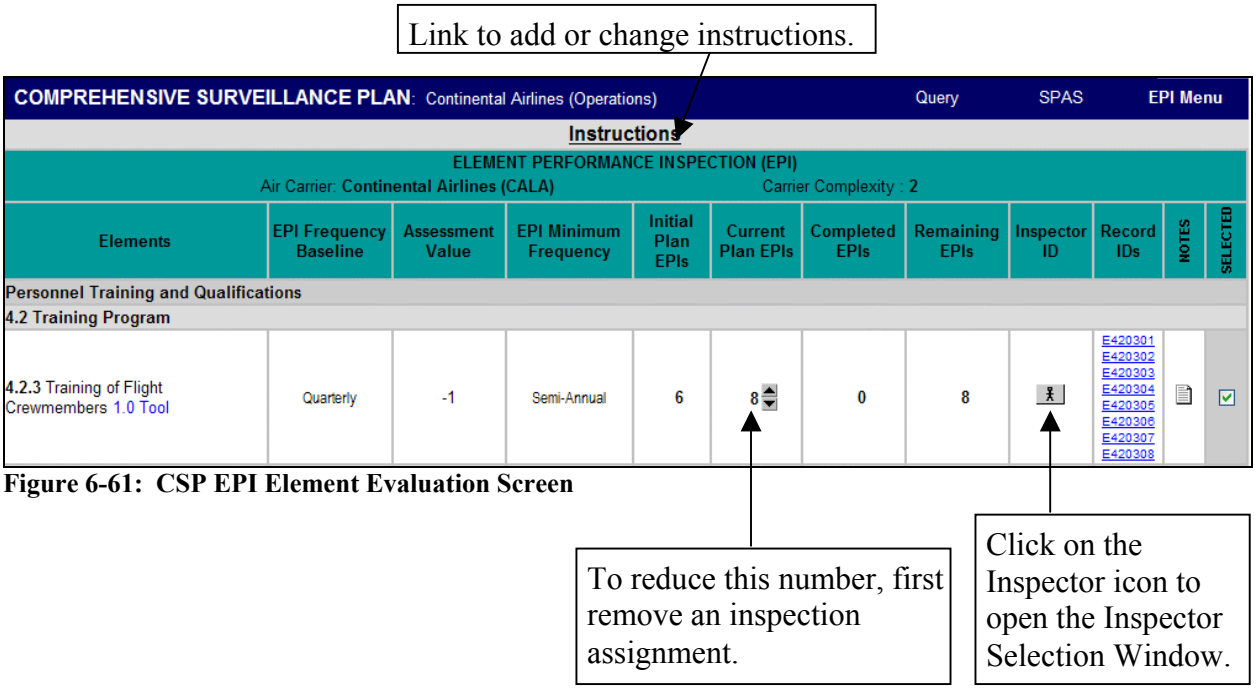


Figure 6-61: CSP EPI Element Evaluation Screen

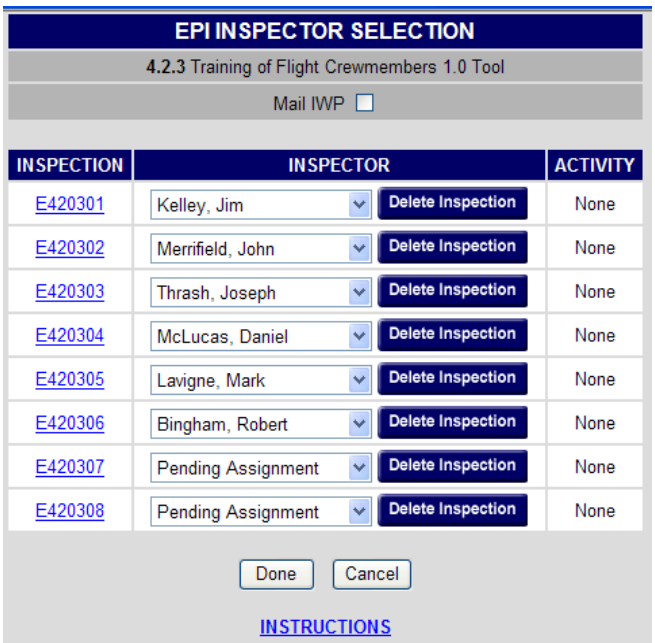


Figure 6-62: EPI Inspector Selection Window

An inspection assignment may only be deleted if the Activity status is "None", in other words, if no work has begun on the inspection.

When you click on a **Delete Inspection** button, that line of data immediately is cleared from the window.

Note: Clicking on the **Cancel** button will cancel any changes in assignment you have made to the inspector assigned and close the window, but will not bring back the inspection you deleted.

Click on the **Done** button to save any changes and return to the EPI Element Evaluation screen.

If you have deleted an inspection assignment in this manner, the EPI Element Evaluation screen will now show the reduced number of Current Plan EPIs, as illustrated in Figure 6-63. In other words, it is unnecessary to use the down arrow to change the number. Additionally, you will see a reduced number of Record IDs listed, so that the number of records listed will equal the number appearing in the Current Plan EPIs column.

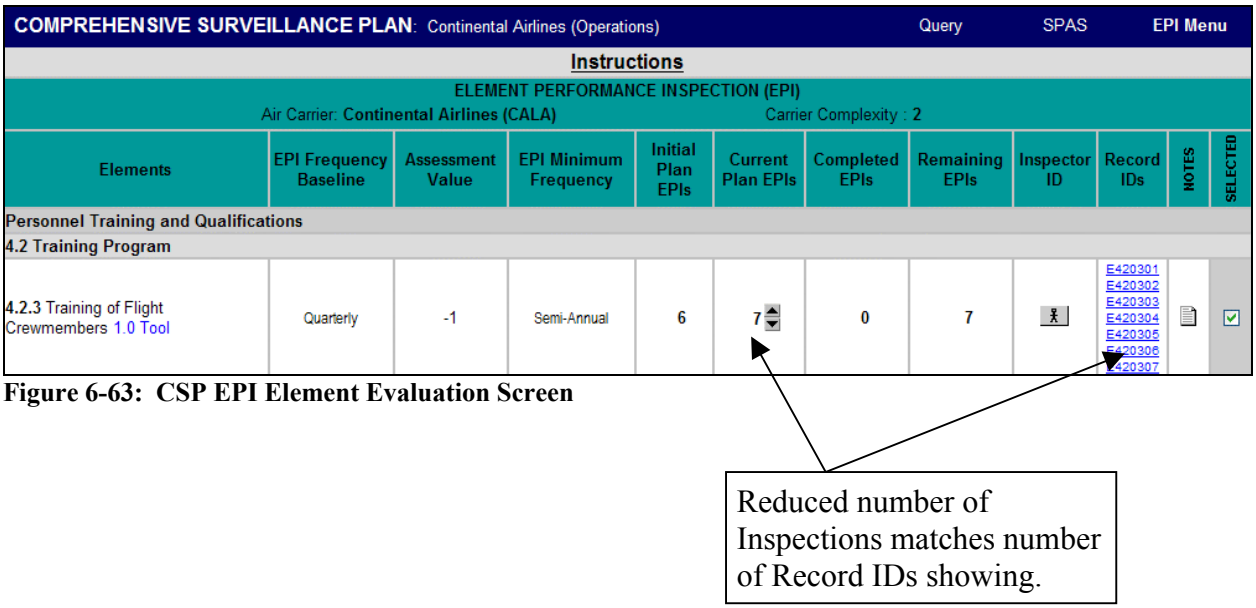


Figure 6-63: CSP EPI Element Evaluation Screen

Reduced number of Inspections matches number of Record IDs showing.

6.4.2.5 Adding and Changing Instructions

There are three ways to add or change instructions specific to one element,

- click on the **INSTRUCTIONS** link at the bottom of the EPI Inspector Selection window, as shown on Figure 6-58, or
- click on the Record ID on the Element Evaluation screen, as shown on Figure 6-59, or
- click on the **Instructions** link at the top of the CSP EPI Element Evaluation screen (Figure 6-61). This method allows entry of record-specific instructions, as well as the creation of instructions that will apply to all records.

Clicking on the **Instructions** link at the top of the CSP EPI Element Evaluation screen brings you to the EPI Instruction Maintenance page, illustrated in Figure 6-64. Retrieve roster information on an assigned inspector by clicking on his or her name.

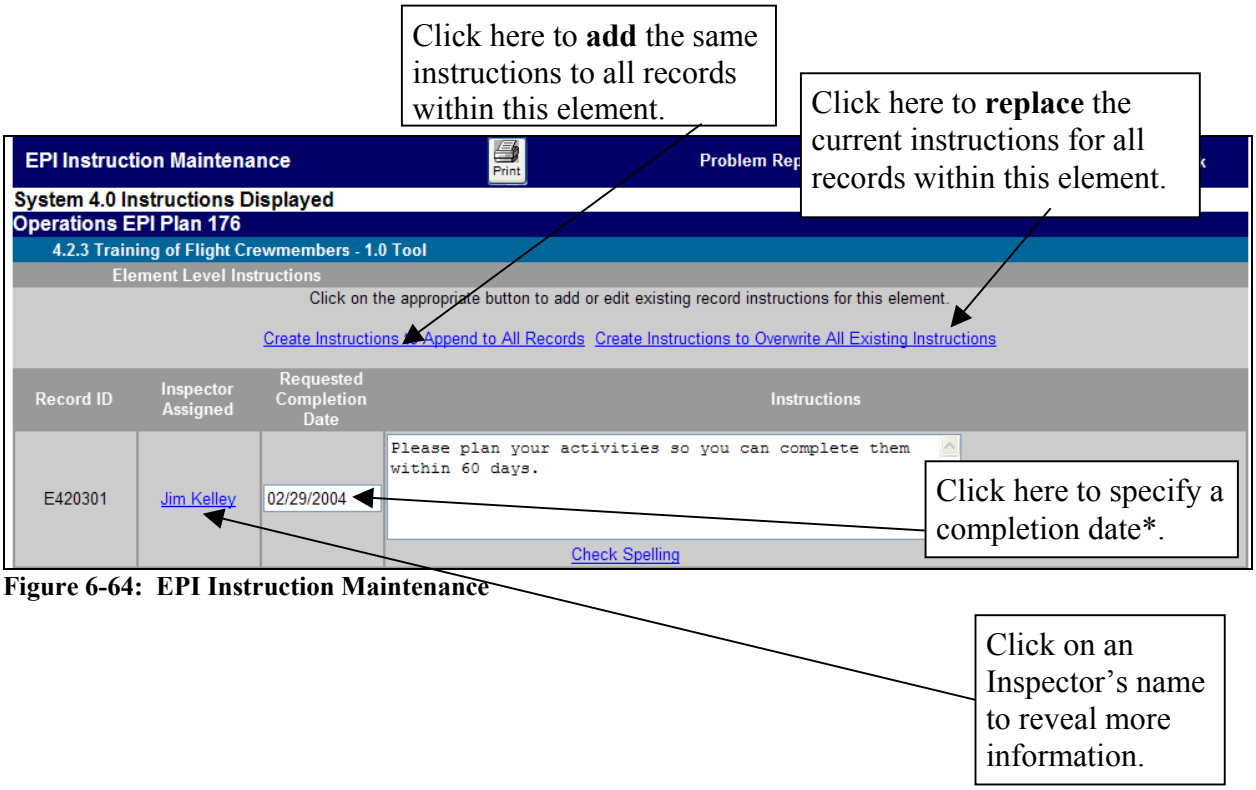


Figure 6-64: EPI Instruction Maintenance

Click on the **Close** in the upper right corner of the User Information window to return to the EPI Instruction Maintenance page.

Instructions may be entered separately for each record or for all records under one element at once by using one of the two links at the top of the EPI Instruction Maintenance page (Figure 6-64). A separate field is provided for the **Requested Completion Date** (Figure 6-64), so it is not necessary to include this within the text of your instructions.

> *** Note:** The **Requested Completion Date** is the date by which the Inspector is requested to save the record to the master record and thus send it to the DEPM for evaluation and make it available to the Principal Inspector.

To specify a completion date, click on the date box and the calendar for the current month will pop up. If the requested completion date is not in the current year, change that first. Click on the current year and use the backspace or delete keys to correct the year. Next, use the drop down box to the right of the month field to list the other months of the year and click on the one you are requesting. The calendar display will change to that month. Then, just click on the exact date in that month and the full date will appear on the EPI Instruction Maintenance page. If you indicate a date that is prior to the current date, you will get an error message and the field will default to the current date.

Click on **Create Instructions to Append to All Records** (Figure 6-64) if you want to add the same text to each of the records under the same element. Figure 6-65 is an example of the window that will then appear to accept the text of your instructions.

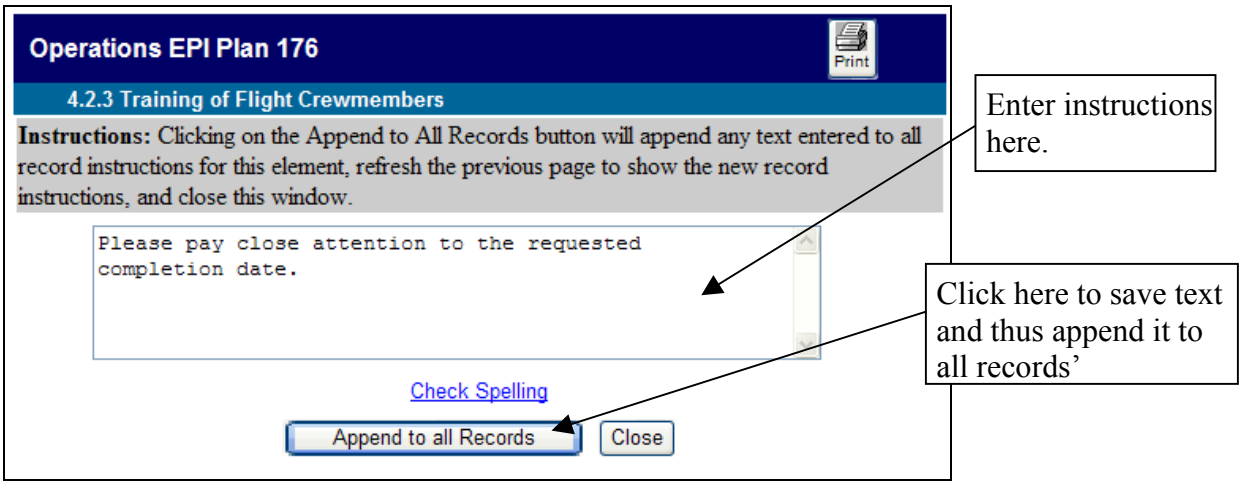


Figure 6-65: Create Instructions to Append to All Records

When you are satisfied with your entry in the text box, click on the **Append to all Records** button (Figure 6-65). This will bring you back to the EPI Instruction Maintenance page where you will see the results of your action (Figure 6-66).

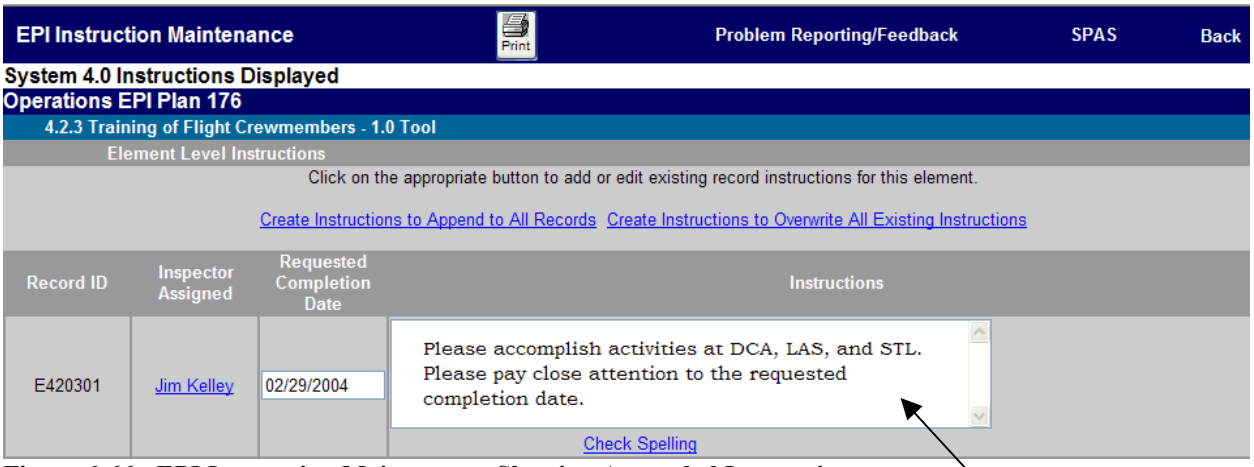


Figure 6-66: EPI Instruction Maintenance Showing Appended Instructions

New instruction was **added** to the previous instruction for this record.

Click on **Create Instructions to Overwrite All Existing Instructions** (Figure 6-64) if you want to revise each record under the same element to read the same. Figure 6-67 is an example of the window that will then appear to accept the text of the replacing instructions.

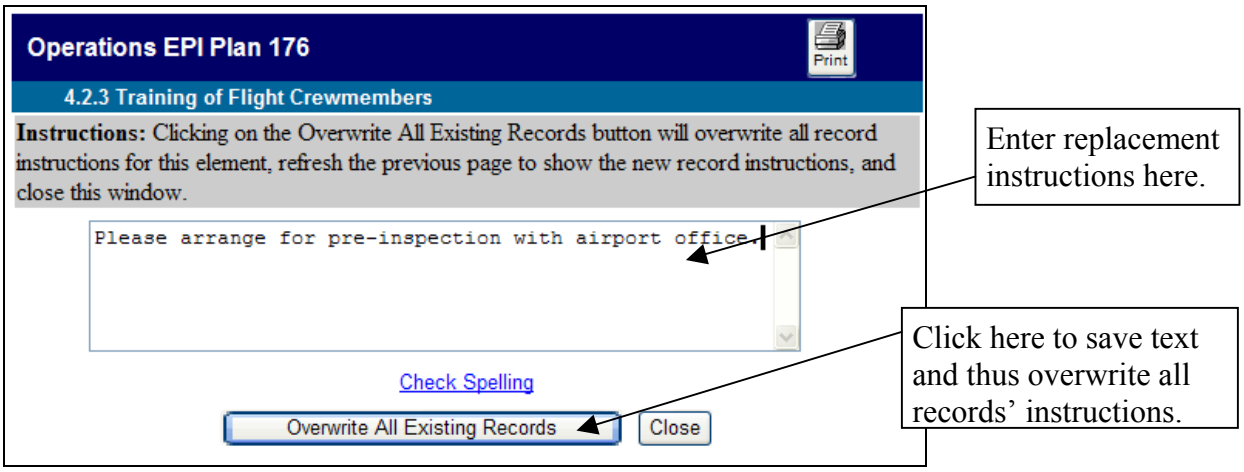


Figure 6-67: Overwrite All Existing Records

When you are satisfied with your entry in the text box, click on the **Overwrite All Existing Records** button (Figure 6-67). This will bring you back to the EPI Instruction Maintenance page where you will see the results of your action (Figure 6-68).

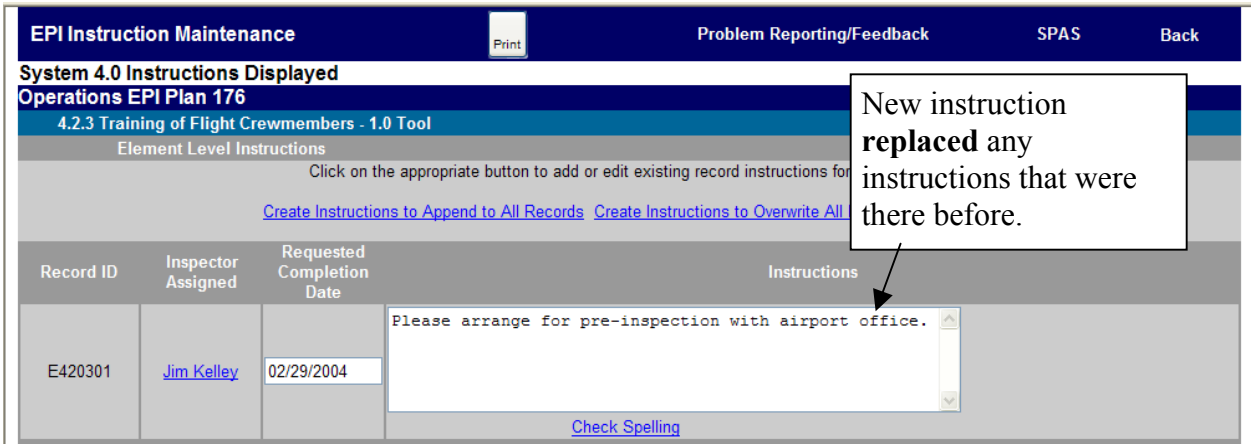


Figure 6-68: EPI Instruction Maintenance Showing Overwritten Instructions

6.4.2.6 Saving the New Version of the EPI Plan as a Draft

The new version of the EPI Plan cannot be saved as a Draft until a Row Complete check is entered for every EPI row (Figure 6-69).

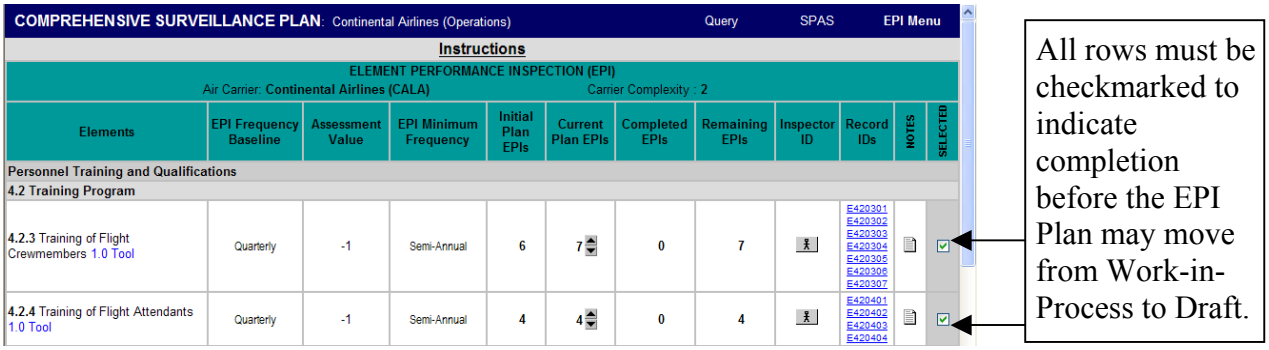


Figure 6-69: EPI Element Evaluation Screen - Except Showing Two Checkmarked Rows

When the EPI is saved Draft it can be accessed, but cannot be changed, by CMT members. Access the Save as Draft Form (Figure 6-70) by clicking the Save button found at the bottom of every EPI Element Evaluation screen (Figure 6-61), then save the new version as a Draft by clicking the Save this EPI Plan as a Draft link on the Save as Draft Form. The initiating PI first saves the new version of the Air- worthiness EPI in Draft status, following the same procedures as the POI uses for saving an Operations EPI, and is then automatically returned to the EPI Home Page, just the same as when saving an Operations EPI as a Draft. The EPI Home Page shows the status of the new version is Draft (Figure 6-71).

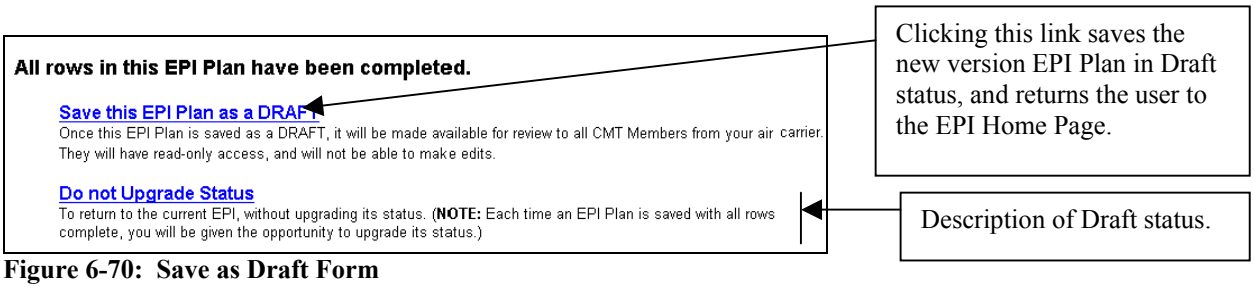


Figure 6-70: Save as Draft Form

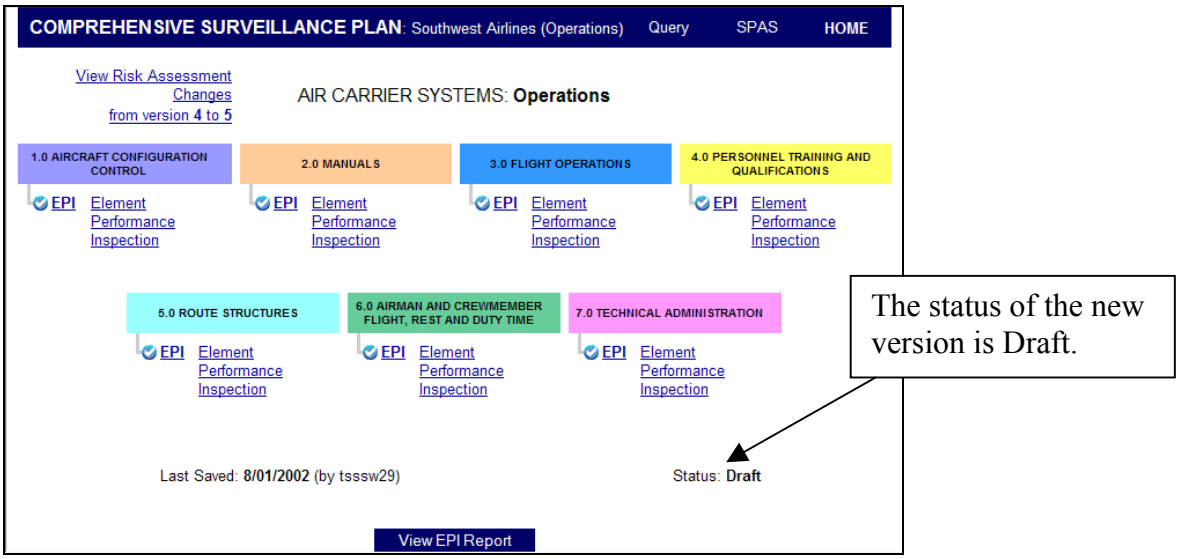


Figure 6-71: EPI Home Page, Status is Draft

6.4.2.7 Saving an Operations EPI Plan as Final

The POI saves the new version of the EPI Plan in Final status. When the EPI Plan is saved as Final it will no longer be editable, and all CMT members will have read-only access to it.

Access the Save as Final Form (Figure 6-72) by entering any EPI Element Evaluation screen (if desired, final changes to the new version EPI can be made at this time) then clicking the Save button found at the bottom of every Element Evaluation screen (Figure 6-61). On the Save as Final Form click the Save this EPI Plan as a FINAL link to save the new version of the EPI as Final and return to the EPI Home Page.

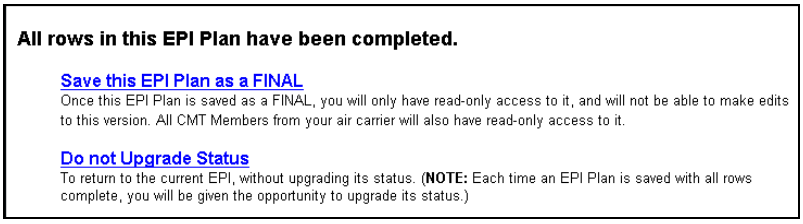


Figure 6-72: EPI Save as Final Form

6.4.2.8 Saving an Airworthiness EPI Plan as Final

Saving an Airworthiness EPI Plan in Final status requires approval from both the PAI and PMI, but procedures for saving an Airworthiness EPI are very similar to procedures for saving an Operations EPI. The first approving PI could be either a PAI or a PMI, and the Second Approval will be provided by the other PI. Note that two approvals are always required to finalize a new version of an Airworthiness EPI Plan. The first approving PI accesses any EPI Element Evaluation screen from the EPI Home Page (if desired, final changes to the new EPI can be made at this time), then clicks the Save button found at the bottom of every EPI Element Evaluation screen to access the EPI Approval Form (Figure 6-73). The EPI Approval Form automatically

enters the initiating PI's ATOS User ID in the appropriate cell. The initiating PI approves the new version of the EPI by clicking the Submit button.

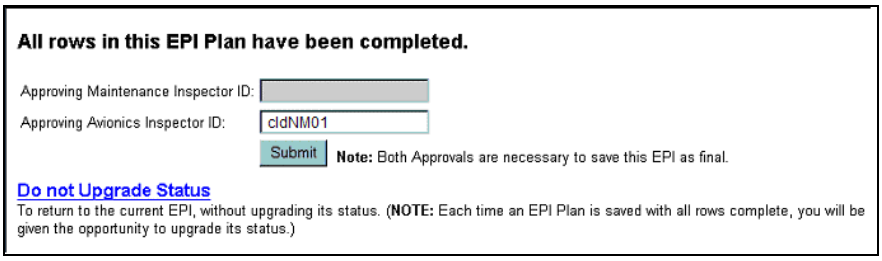


Figure 6-73: Airworthiness EPI Plan Approval Form, First Approval

The second approval PI accesses the Approval Form in the same manner as the first PI. When the second approval PI clicks the Save button on one of the EPI Element Evaluation screens, the EPI Approval Form is displayed. On the Approval Form the ATOS IDs of both the PIs are automatically entered in the appropriate cells (Figure 6-74). The second approval PI approves as Final the new version of the EPI by clicking the Submit button.

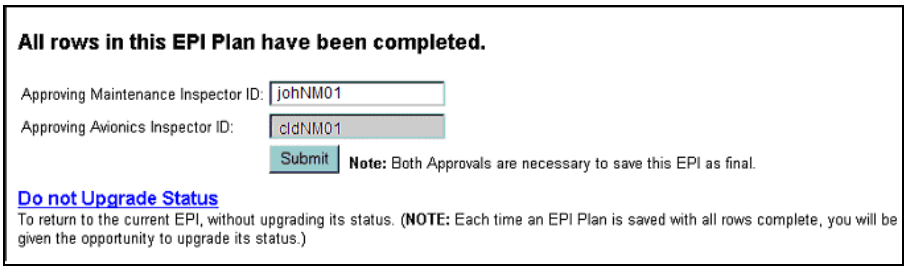


Figure 6-74: Airworthiness EPI Plan Approval Form, Second Approval

6.4.2.9 Releasing the Finalized EPI Plan

The process of releasing the finalized EPI Plan is the same for both Airworthiness and Operations. The CSP EPI Home Page (Figure 6-75) shows that the new version of the EPI is now in Final status.

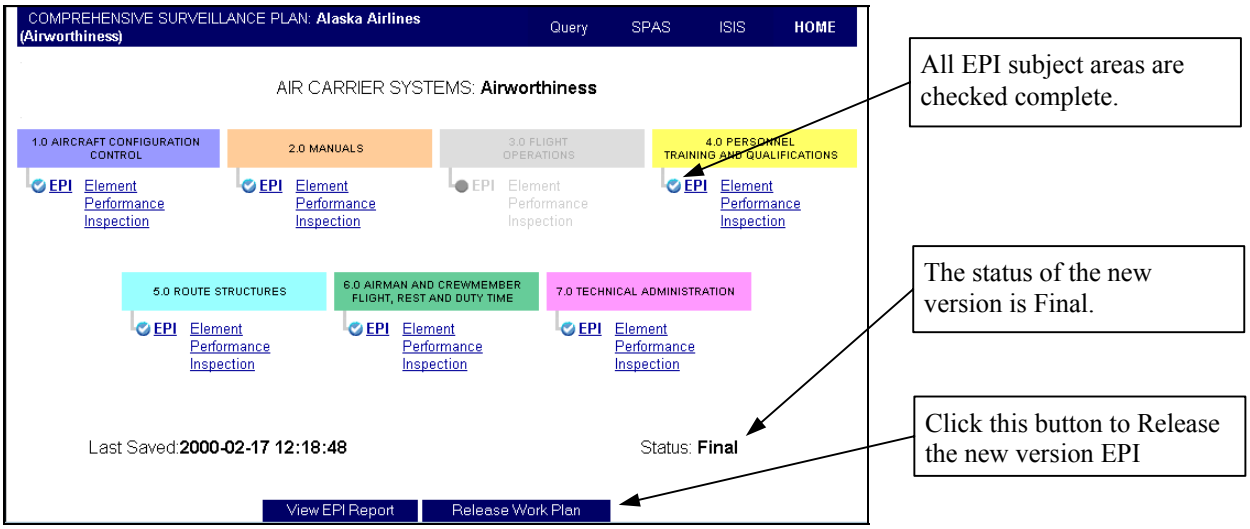


Figure 6-75: EPI Home Page, Status is Final

Click the Release Work Plan button to change the status of the new version to Final Released, which allows Inspectors to access the CSP EPI and record their surveillance results (Figure 6-76). Once surveillance is underway, reports detailing instances of DEPM Non-Concurrence, Requests for PI Responses, and PI Responses to NO's are accessible by the buttons shown along the lower edge. These reports are also available directly from the Reports menu on the PI's Home Page.

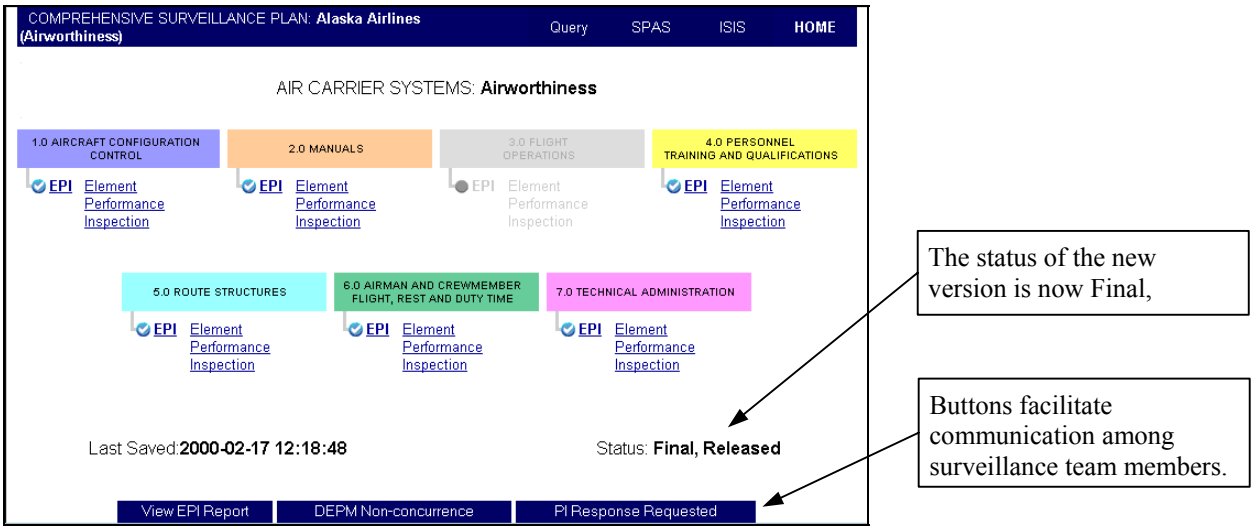


Figure 6-76: EPI Home Page, Status is Final Released

6.4.2.10 Updating Instructions on Final Released SAIs and EPIs

PIs can change, delete, or add more instructions to any final, released CSP SAI or EPI. The procedure for modifying instructions is the same for both SAIs and EPIs and is the same as that followed when the SAI or EPI is a Work-in-Progress, or in Draft status.

6.5 Completion of Retargeting

The new version of the ACAT and the SAI and EPI Plans are now finalized. The ATOS Home Page lists the current versions of the ACAT as Final, and the SAI and EPI Plans as Final Released. A Retarget CSP link to begin another cycle of CSP retargeting is listed on the Home Page.

7 Inspector Work Program (IWP) Instructions for Managers and Principal Inspectors

Creation of the Inspector Work Program (IWP) is a Principal Inspector (PI) responsibility. Additionally, concurrence or non-concurrence is required from the Managers (or, under certain conditions, from the Supervisor) of all the Inspectors drafted for the IWP. ATOS PI options include the automatic generation of an electronic memo to each Manager (or Supervisor) from whom a concurrence/non-concurrence decision is required. ATOS Manager options include facilities for recording concurrence/non-concurrence decisions and for automatically responding to the assigning PI. The Automated IWP process is described in this chapter.

7.1 Principal Inspector Use of the Automated IWP

PIs have two home page items to support automated IWP creation. Under the Comprehensive Surveillance Plan header the two IWP options are the View IWP Concurrence Screen and View IWP Not Currently Sent links (Figure 7-1).

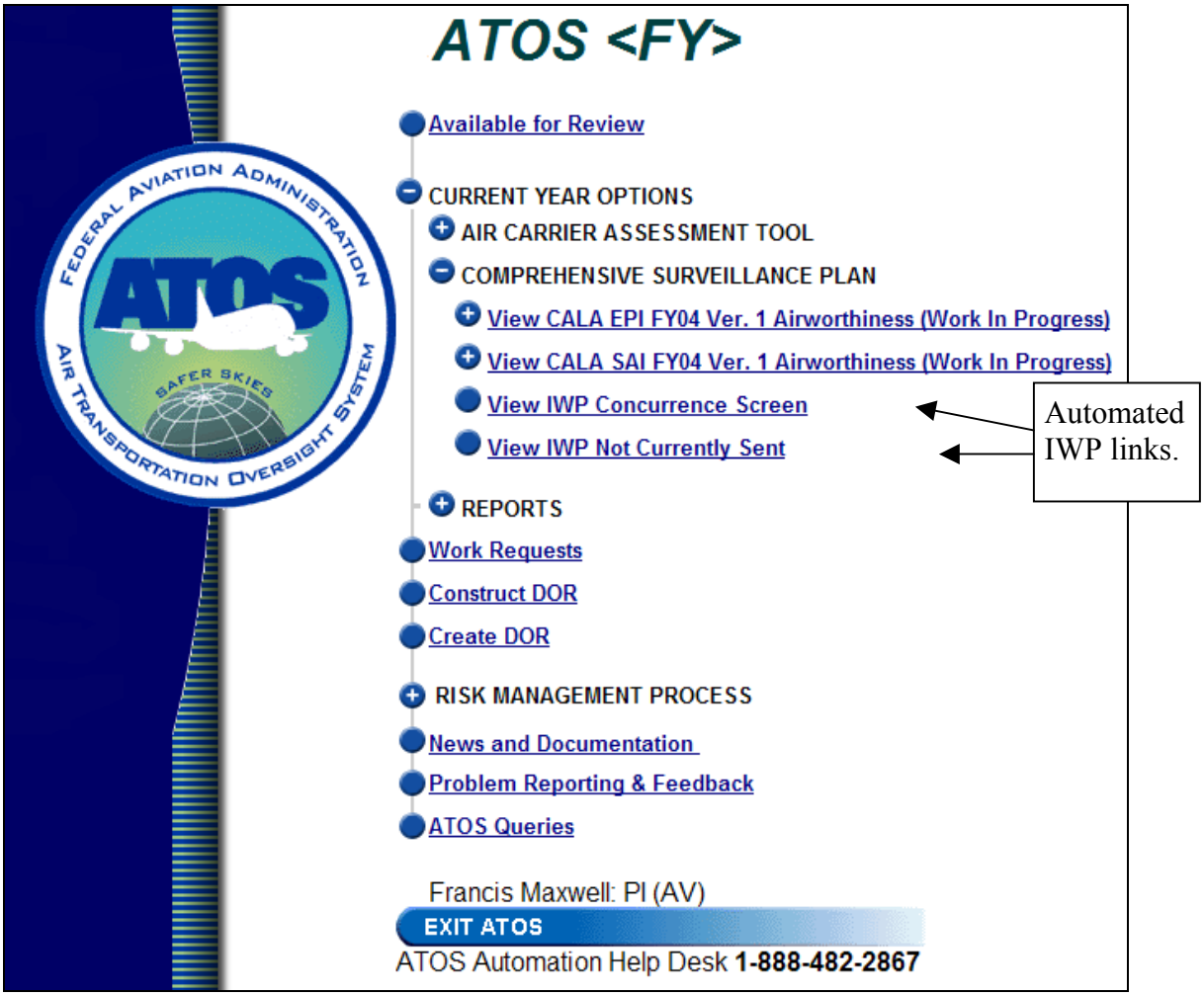


Figure 7-1: Principal Inspector ATOS Home Page

The View IWP Concurrence Screen (Figure 7-2) provides a quick report on which assignments have been concurred or not concurred with and which are still awaiting review by a Manager.

COMPREHENSIVE SURVEILLANCE PLAN Back

Below are the concurrences/non-concurrences with inspector assignments for your air carrier and technical discipline.

Inspector Name	Assigning PI	MGR/SPV Name	Date Response Received	Record ID	Element Assigned	Element Name	Concurrence
Lendelle Adams	Sam Varajon	Steve Goldthwait Harry DeBuono	11/23/03	E120135	EPI 1.2.1 1.X Tool	Airworthiness Release / Logbook Entry	Concurred
Lendelle Adams	Sam Varajon	Steve Goldthwait Harry DeBuono	11/23/03	E510126	EPI 5.1.1 1.0 Tool	Line Stations	Concurred
Juan Thompson	Sam Varajon	Steve Goldthwait David Gerken	11/01/02	E110177	EPI 1.1.1 1.0 Tool	Aircraft Airworthiness	Concurred
Abe Amrhein	Sam Varajon	Steve Goldthwait Harry DeBuono		E110183	EPI 1.1.1 1.0 Tool	Aircraft Airworthiness	Not Reviewed
Garrett Auth	Sam Varajon	Steve Goldthwait Harry DeBuono		E110184	EPI 1.1.1 1.0 Tool	Aircraft Airworthiness	Not Reviewed

Figure 7-2: View IWP Concurrence Screen

The View IWP Not Currently Sent screen (Figure 7-3) shows a listing of inspector assignments that have not had an automated IWP sent. The PI has the ability to send IWPs for the entire group of assignments listed by clicking the Submit button located at the bottom of the screen. This functionality allows the PI to make changes to assignments, as would be expected during the drafting of a new plan, and send a grouped IWP once the plan is complete. Note the Manager is identified by name, and a phone number is provided.

The View IWP Not Currently Sent screen also allows PIs to completely bypass e-mail submission of the IWP in favor of submission of a paper IWP by clicking the Paper IWP Sent, Please Clear List button found at the bottom of the screen.

COMPREHENSIVE SURVEILLANCE PLAN FEEDBACK | BACK

Below are the inspector assignments that have not been sent. To send, click the Submit button at the bottom of the page.

Inspector Name	MGR / SPV Name	Record ID	Element Assigned	Element Name
Garrett Auth	Steve Goldthwait Harry DeBuono	E130405	EPI 1.3.4 1.X Tool	Required Inspection Items (RII)

Submit | Paper IWP Sent, Please Clear List

Figure 7-3: View IWP Not Currently Sent Screen

7.2 Generation of an Automated IWP during Inspector Assignments

PIs have the option of sending an automated IWP to the appropriate Manager either immediately after each individual assignment is completed or in a group when a new plan is final.

To send an IWP immediately after an assignment is made, check the Mail IWP check box at the top of SAI and EPI Inspector Selection dialog boxes. Figure 7-4 illustrates the EPI Inspector Selection dialog box with the Mail IWP check box. Please note that the Mail IWP check box is unchecked by default. Checking the check box (Figure 7-5) generates an e-mail to the assigned Inspector's Manager, informing him or her of the new assignment and directing him or her to log onto the ATOS Data Repository to review the automated IWP. This e-mail is not sent until the inspector selection process is concluded by clicking the Done button on the SAI or EPI Inspector Selection dialog box.

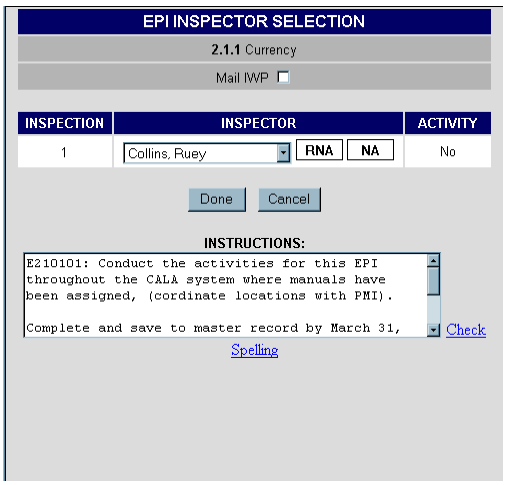


Figure 7-4: Initial Plan and Assignment

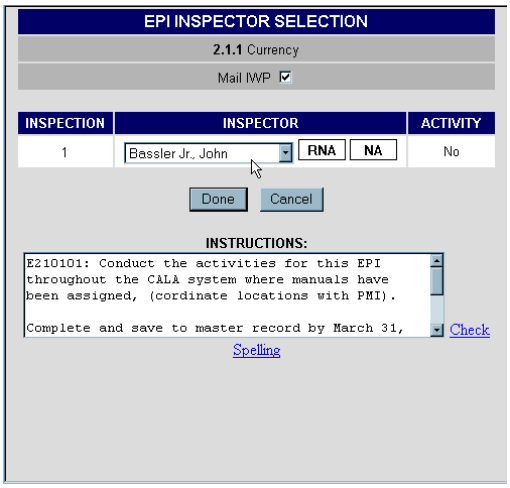


Figure 7-5: New Inspector Assigned

Checking the Mail IWP check box automatically opens an alert message box (Figure 7-6), which explains the events triggered by using the automated IWP.

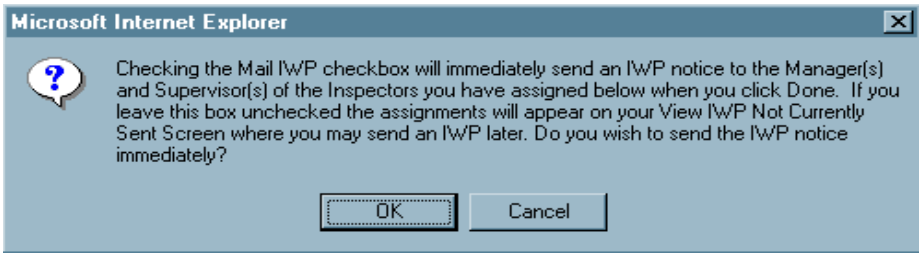


Figure 7-6: Mail IWP Check Box Alert

Notes:

- Just clicking the OK button in this box *does not* mail inspector selections; the Done button in the Inspector Selection dialog box must still be clicked to activate the Mail IWP feature.

- Clicking the Cancel button in this box *will* uncheck the Mail IWP check box in the Inspector Selection dialog box.

At any time the PI can view new selections and IWPs awaiting review by clicking the View IWP Concurrence Screen link on the ATOS home page (Figure 7-1).

7.3 Delayed Generation of an Automated IWP

The PI can make an inspector assignment and choose not to send an immediate automated IWP by *not* selecting the Mail IWP check box. Any number of work assignments for any number of inspectors can be made without using the Mail IWP function, allowing PIs to develop a complete new or retargeted CSP before mailing the IWP.

Clicking the View IWP Not Currently Sent link allows the PI to view all work assignments where an individual IWP was not sent during the assigning of an inspector (see Figure 7-3, which illustrates one assignment not mailed). Any unmailed assignments can be changed before mailing, and the group of assignments may be mailed from the View IWP Not Currently Sent screen by clicking the Submit button located at the bottom of the screen at any time. Please note that clicking the Submit button sends an IWP for all the assignments listed on this page.

7.4 Manager Use of the Automated IWP

Managers receive an automatically generated e-mail from ATOS Automation (ATOS@ atos.faa.gov) informing them that they have employees who have received new work assignment requests (Figure 7-7). Supervisors also receive a copy of this e-mail. This e-mail is for informational purposes only. No response is required.

To: <Manager>
cc: <Supervisor>
From: ATOS@ATOS.FAA.GOV
Subject: ATOS Inspector Work Programs

Inspector <Inspector's Name> has been assigned to EPI Plan <EPIPlanID>, inspection element <Element Id, Record ID>.

Please go to http://atos.faa.gov to view this information and offer your concurrence or non-concurrence.

Please do not respond to this e-mail, it is automatically generated when an Inspector is assigned to an inspection, Thank You.

Figure 7-7: Manager's E-mail Generated by ATOS Automation

The Manager home page includes a View IWPs for Your Employees link (Figure 7-8).

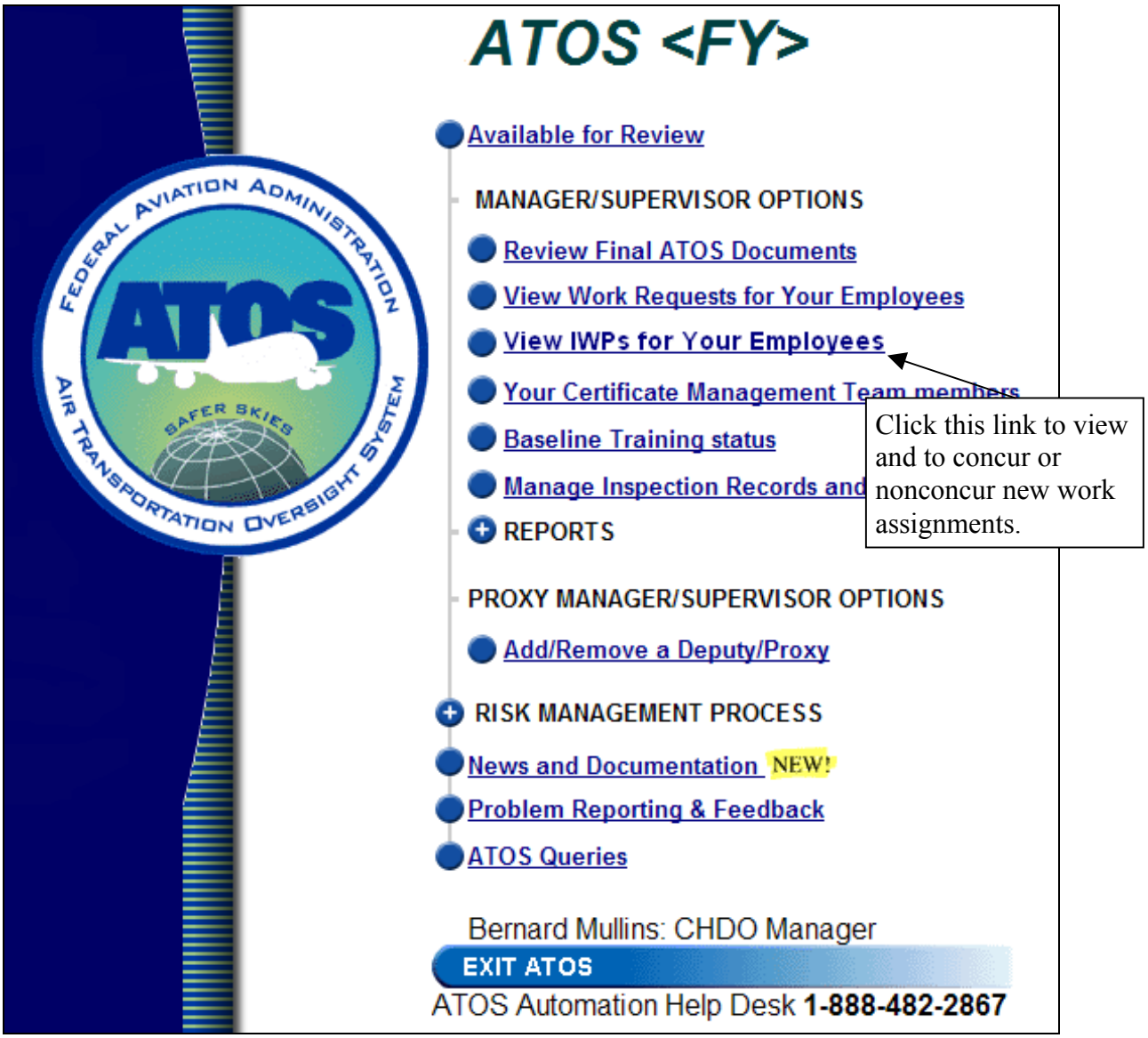


Figure 7-8: Manager ATOS Home Page

Clicking the View IWPs for Your Employees link opens the "Inspector Work Programs" window where you may choose an employee's name from the drop-down list. That employees EPI, SAI, ConDOR, RMP, and RMP Action Item assignments are displayed as illustrated in Figure 7-9.

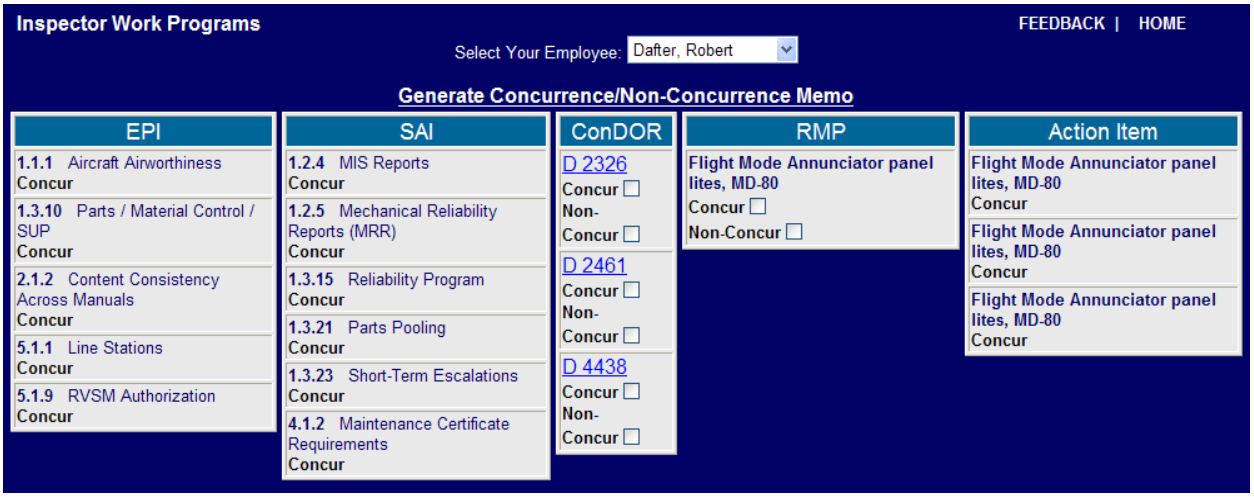


Figure 7-9: Inspector Work Programs

Programs awaiting your concurrence display a box to check for Concur or Non-Concur. As soon as you click on one of the two boxes, the other option and both boxes go away and the program is annotated with the option you have chosen.

When you have made your Concur/Non-Concur decisions, click on the Generate Concurrence/ Non-Concurrence Memo link to notify the PI of the assignments.

In addition, as stated in the P&P, the Manager must notify affected Inspectors that they have been impacted by the new Concurrences and Non-Concurrences and, in the case of Concurrences, that they have received new work assignments.

Note: Non-Concurrence or Concurrence responses may be changed at a later date if resources are adjusted.

Unexpected changes to the resource base, such as the unavailability of specific Inspectors, may require that an IWP concurrence be changed to a non-concurrence. Per ATOS Policy and Procedures, when a Manager does not concur with an Inspector Work Program due to concerns regarding the availability of resources to support the Plan, it is the Manager's responsibility to contact the appropriate parties to resolve the resource issue and, if necessary, forward the resource issue through the process identified in ATOS Policy and Procedure.

7.5 Non-Automated IWP Activities

The Automated IWP process encompasses only part of the complete process for assigning tasks to ASIs. Automated activities extend only through the automatic notification of PIs after a Manager has indicated a Concurrence or Non-Concurrence. CHDO Managers and FSDO Managers are required to perform various additional activities, none of them automated, after making a Concurrence/Non-Concurrence decision. In addition to notifying Inspectors that they have been affected by new Concurrences and Non-Concurrences and in the case of Concurrences that they have received new work assignments, CHDO Managers and FSDO Managers are responsible for initiating and pursuing activities intended to resolve Non-Concurrences. The IWP Process Diagrams found in Figures 7-10 and 7-11 illustrate a high-level overview of the complete IWP process and indicate the limits of Automated activities. Refer to the P&P for a detailed explanation of the complete process.

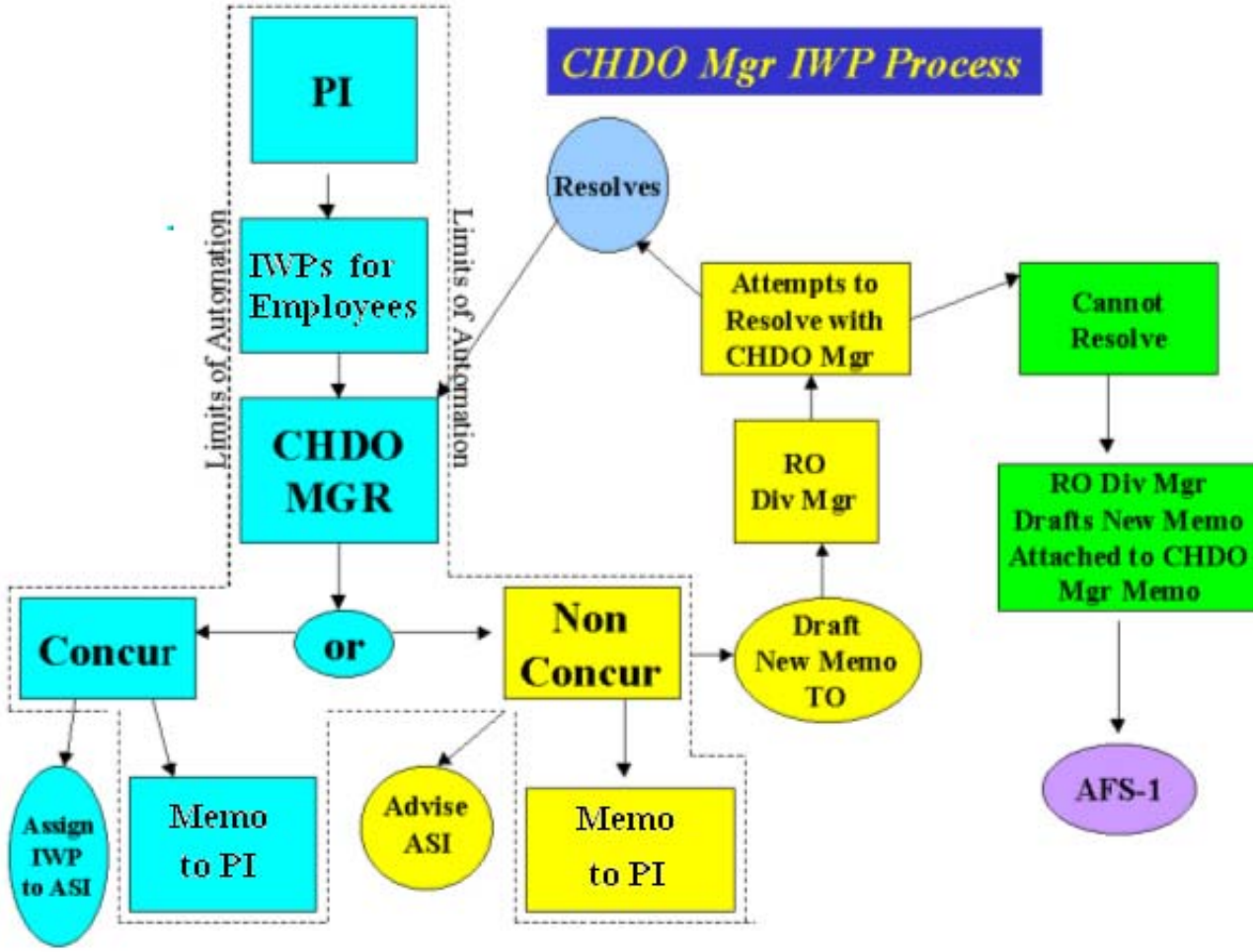


Figure 7-10: CHDO Manager IWP Process

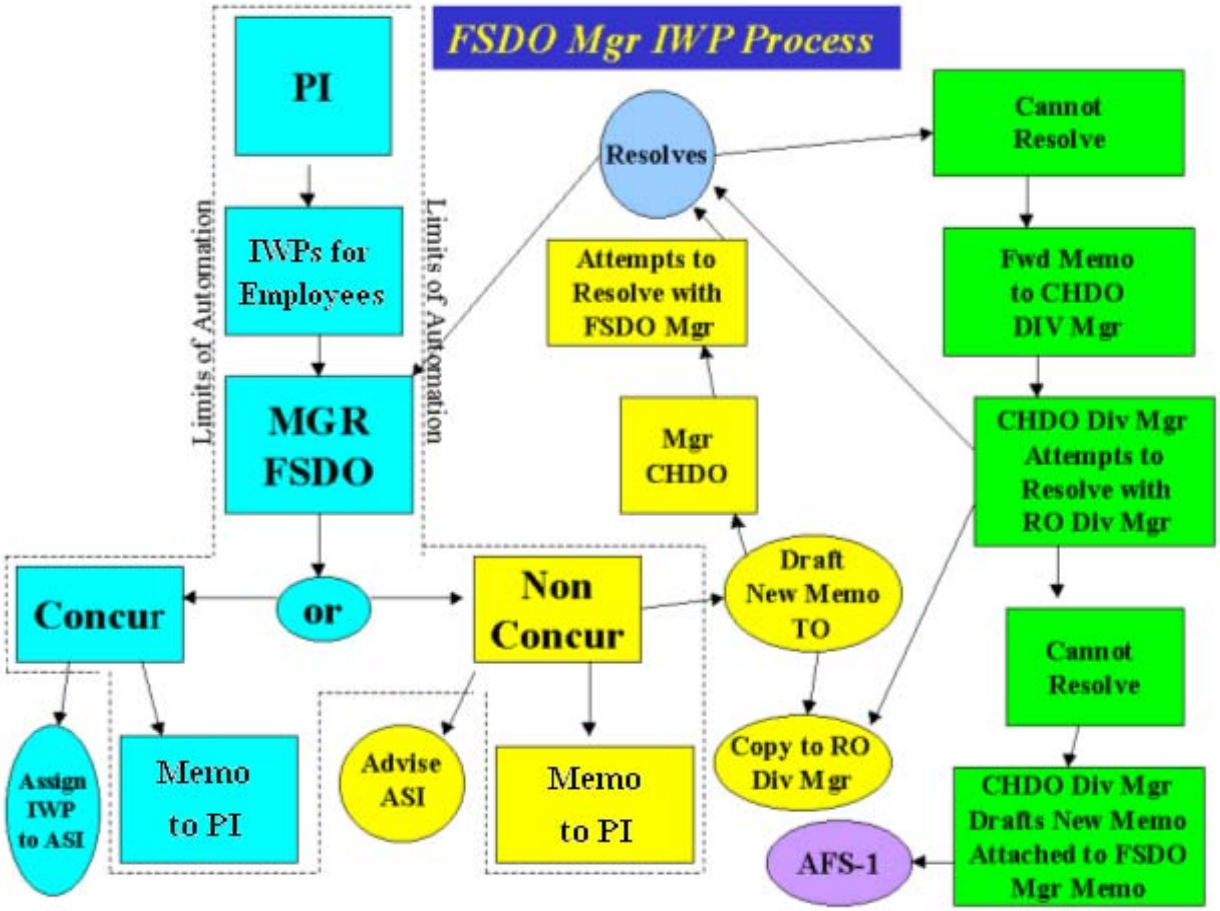


Figure 7-11: FSDO Manager IWP Process

8 ATOS DEPM Options

Data Evaluation Program Managers (DEPMs) have access to the ATOS Administrative Functions, which are used to manage ATOS users and air carrier fleet information. Each DEPM is assigned a specific air carrier, and all ATOS Administrative Functions are performed on an air carrier-specific basis. The various drop-down lists provide only the data associated with your assigned air carrier, and any changes you make to the data apply only to your assigned air carrier.

DEPMs are also responsible for initiating batch changes, made on those occasions when a large number of ATOS office assignments or ATOS manager/supervisor-employee relationships are to be changed. Batch changes are actually performed by the private sector contractor administering the ATOS system, using information provided by a DEPM. Accomplishment of batch changes requires intermediation, by the ATOS Certificate Management Office (CMO), between the DEPM and the ATOS contractor.

Finally, DEPMs are required to review and concur, non-concur, or return to the submitting inspector all SAI and EPI inspections submitted by the ASIs assigned to them. Additionally, DEPMs are required to review and concur, non-concur, or return to the submitting inspector all DORs pertaining to their air carrier. The Returned Inspection Notification system facilitates this requirement.

8.1 Accessing ATOS Administrative Functions

Click the ATOS Administrative Functions link on the DEPM ATOS home page (Figure 8-1) to access the ATOS User Administration screen (Figure 8-2).

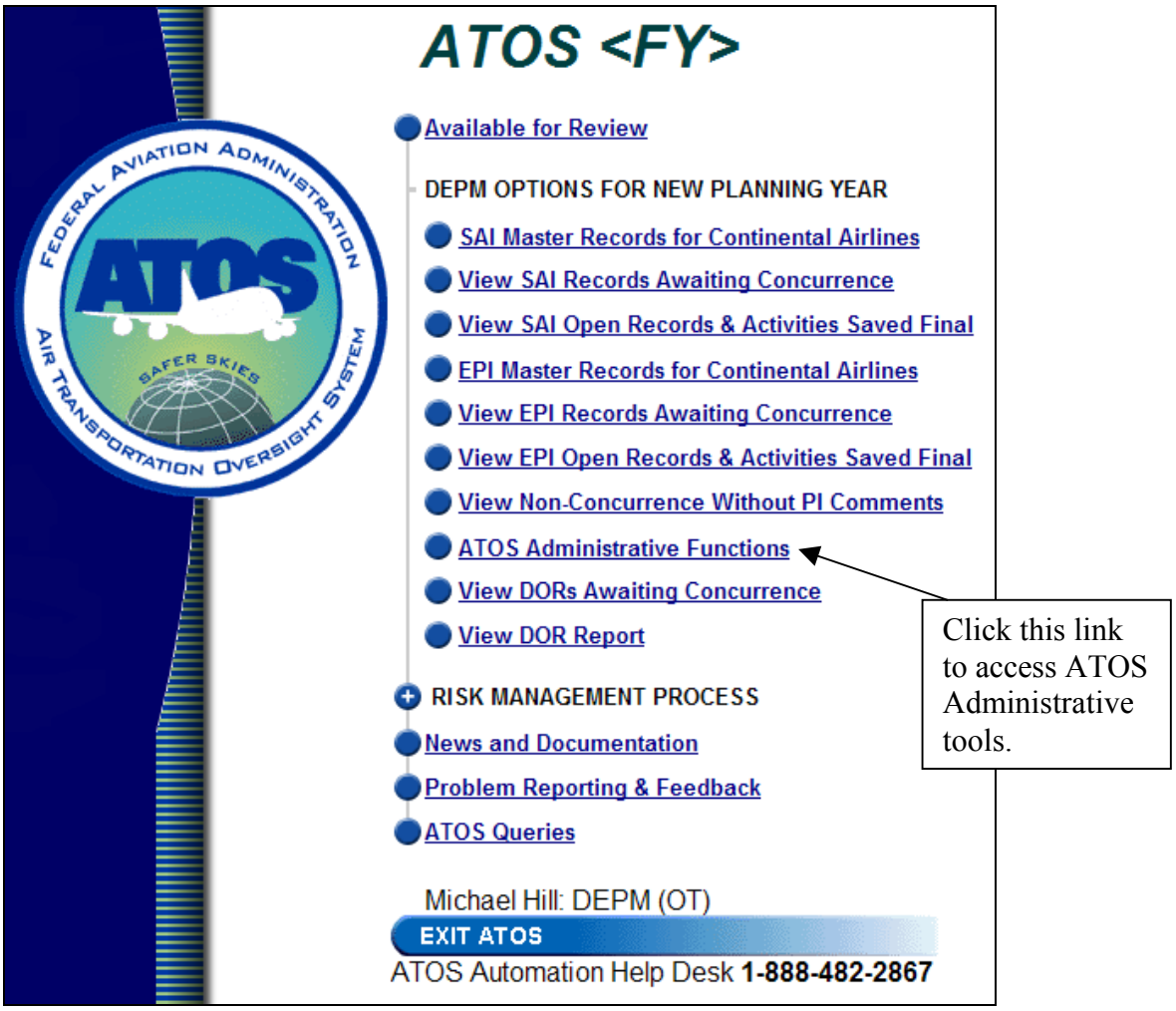


Figure 8-1: Accessing ATOS Administrative Functions

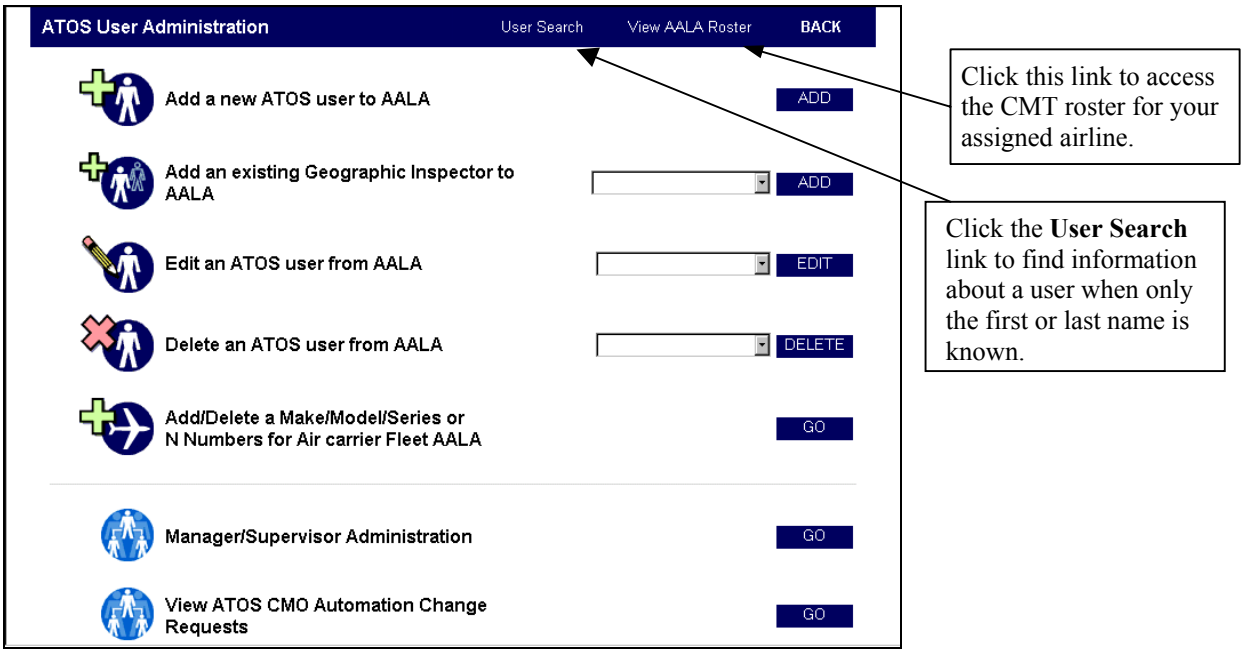


Figure 8-2: ATOS User Administration Screen

The **User Search** link at the top of the ATOS User Administration Screen, Figure 8-2, provides a tool to find a user when only a first name or a last name or the ATOS User ID is known. Clicking on the **User Search** link opens the "Search for a User" window, Figure 8-3.

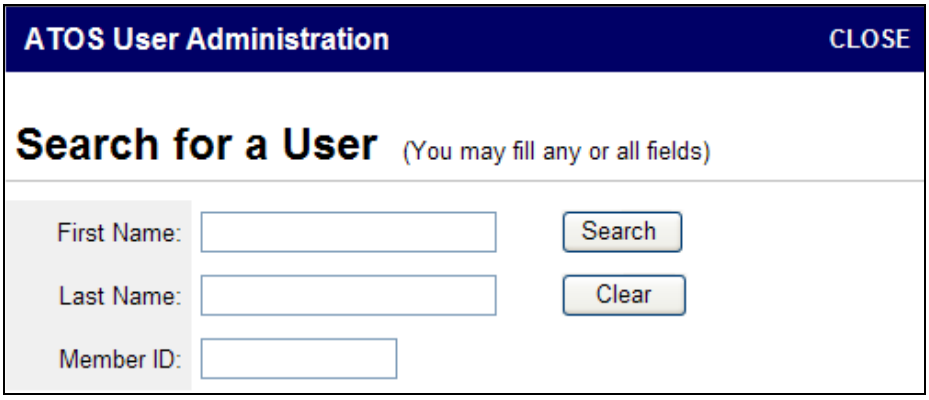


Figure 8-3: ATOS User Administration – Search for a User

Figure 8-4 is a portion of the set of results when a search was made on the first name of "Thomas". Note that the results include the User's full name, ATOS User ID, Air Carrier, and Status of Active, Inactive, or Deleted.

Figure 8-4: User Search Results – Search by First Name (Excerpt)

The **View [Airline] Roster** link located at the top of the ATOS User Administration screen is used to access a list of CMT members for your airline. By default the CMT roster lists only active CMT members, but a link located at the end of the list allows access to the complete list of active and inactive members (Figure 8-5). The complete list consists of two distinct listings, active members, followed by a second list of inactive members (Figure 8-6).

Continental Airlines Active Roster Print Close

Last Name	First	User ID	Job Class. Code	Tech Disc.	Office Code	Sup.	Mgr.	
Alison	Chip	craSW27	ASI	OP	SW27	Klos	Mullins	(28
Basse	Thomas	txbSW27	DEPM	OT	SW27	N/A	Mullins	(28
Bassler Jr.	John	jebSW09	ASI	AV	SW27	Zinn	Mullins	(28
York	Larry	lgySW09	ASI	AV	SW27	Zinn	Mullins	(28
Zinn	Tony	trzSW09	SPV/ PI-PAI	AV	SW27	N/A	Mullins	(28

Total Number of Rows: 53

To view the full roster, active and inactive members, click here

Clicking this link displays the entire roster, including inactive CMT members (displayed in a separate listing following the active member list).

Figure 8-5: Active CMT Roster (Excerpt)

Yhap	Richard	rnySW27	ASI	MA	SW27	DaSilva	Mullins	(281)461-2453
York	Larry	lgySW09	ASI	AV	SW27	Zinn	Mullins	(281)461-2454
Zinn	Tony	trzSW09	SPV/ PI-PAI	AV	SW27	N/A	Mullins	(281)461-2455

Total Number of Rows: 53

Active CMT members (last part of list)

Continental Airlines Inactive Roster Print Close

Last Name	First	User ID	Job Class. Code	Tech Disc.	Office Code	Sup.	Mgr.	Pho	
Alexander	Sid	spaSW09	ASI	OP	SW27	Klos	N/A	(281)46	
Beheba	Steve	sjbSW09	ASI	MA	SO05	N/A	Homer	(336)66	
Biazzo	Philip	pxbEA25	ASI-G	OP	EA25	Acosta	Stein	(201)556-6600	x246

Inactive CMT members (beginning of list)

Figure 8-6: Complete (Active and Inactive) CMT Roster (Excerpt)

8.2 ATOS User Administration

DEPMs are responsible for maintaining ATOS user data for their assigned air carrier. User data can be added, edited, and deleted using the first four buttons of the ATOS User Administration screen. Each DEPM is assigned a specific air carrier, and all ATOS User Administration is performed on an air carrier-specific basis. The various drop-down lists display users associated with or to be associated with your assigned air carrier, and any changes you make to the user data applies only to your assigned air carrier.

8.2.1 Adding and Editing ATOS Users

Adding a new ATOS user, adding an existing Geographic Inspector to your air carrier, and editing an existing ATOS user's information are the first three User Administration functions (Figure 8-2, above). Clicking on "Add a new ATOS user" or "Edit an ATOS user" (after first entering or selecting a Name or User ID, if required) accesses the User Information screen (Figure 8-7).

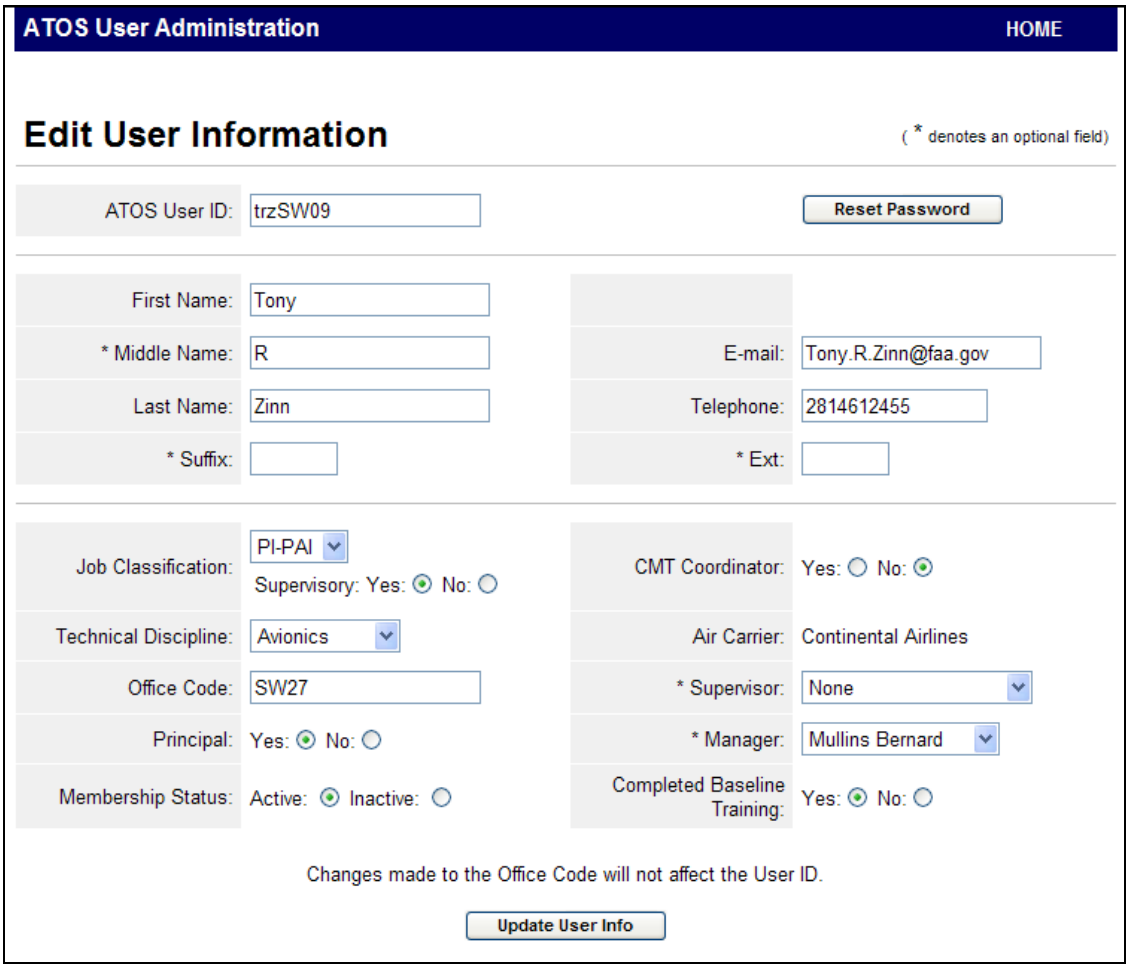


Figure 8-7: User Information Screen – Existing User

When adding a new user, a blank User Information screen is displayed. Enter the requested data in the appropriate boxes. Boxes marked with an asterisk are not required data. When editing information on an existing user, the existing User Information for the selected user is displayed, and can be edited as desired. Note that a user's email address must be in FAA Internet mail format (e.g., John.Smith@faa.gov), *not* in the CC:Mail format, which ATOS will not recognize.

If the Membership Status is edited to "Inactive" then, after clicking on the Update User Information button, information will be presented regarding the status of the user's assignments (Figure 8-8). This data is for informational purposes only and will not preclude the change in the user's status.

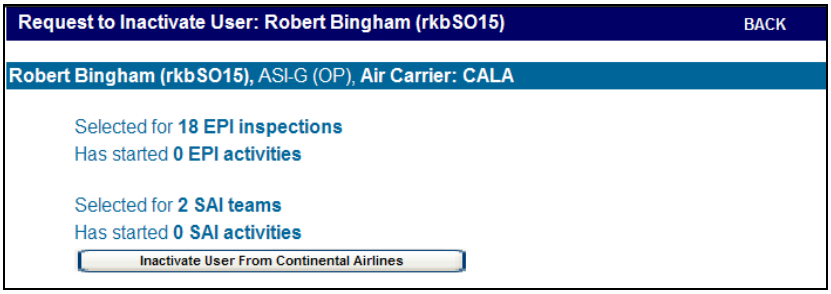


Figure 8-8: Request to Inactivate User

When adding a Geographic Inspector, a name is chosen from the drop down list on the "Add an existing Geographic Inspector" line of the ATOS User Administration screen, Figure 8-2. The User Information that appears in this case is preceded by the status of that Inspector's work requests, as illustrated by the excerpt in Figure 8-9.

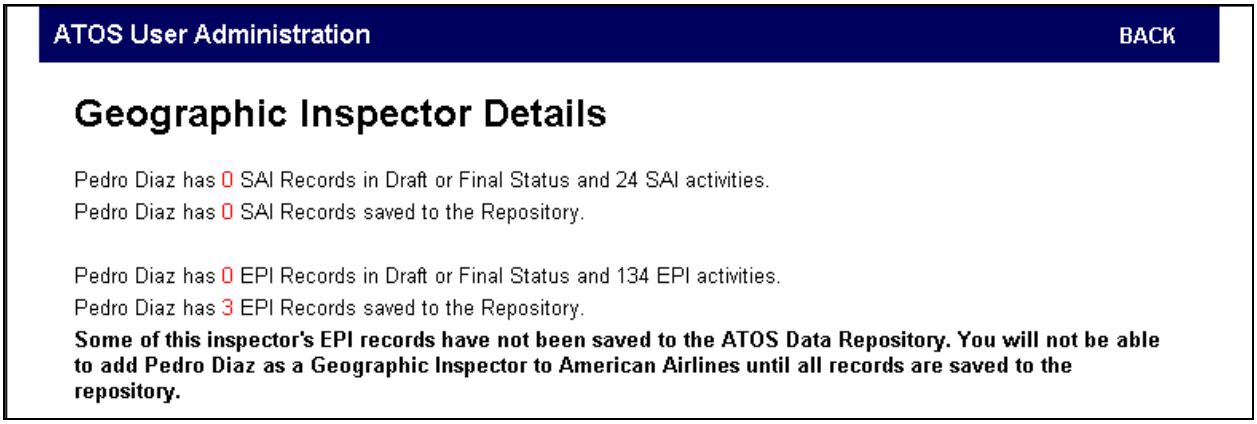


Figure 8-9: ATOS User Information on a Geographic Inspector - Excerpt

As long as there are records that have not been saved to the ATOS Data Repository, you will not be able to add the Geographic Inspector to your air carrier's team. Use the **BACK** button in the upper right corner to return to the ATOS User Administration menu to choose a different candidate. When a Geographic Inspector is a candidate for your carrier's team, there will be a button at the bottom of the User Information to **Add this inspector to [your air carrier]**.

8.2.2 ATOS Administration Job Aids

The labels next to each data entry box on the User Information screen and on all other ATOS Administration screens are links to job aids, which provide a brief description of the data required in that field or a list of valid data entries. Position the mouse cursor over the label and click to access the job aid (Figures 8-6 and 8-7).

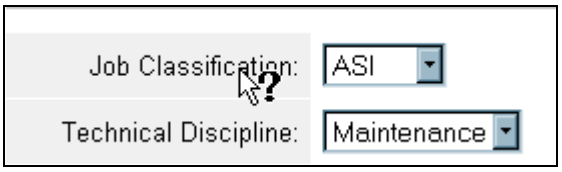


Figure 8-10: Accessing the User Information Job Aid

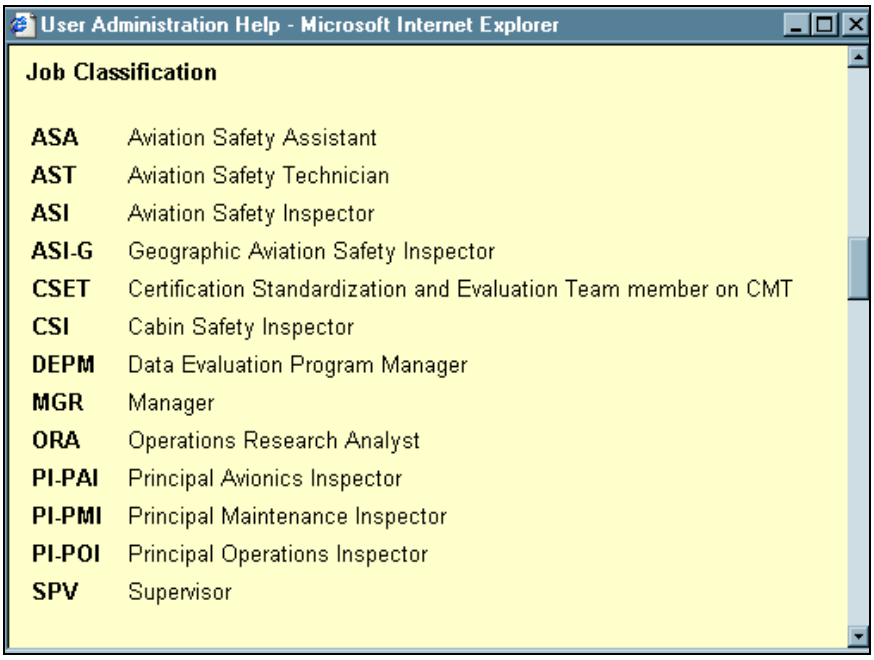


Figure 8-11: The User Information Job Aid for Job Classification

8.2.3 Deleting ATOS Users

To delete an ATOS user, select a user from the Delete an ATOS User from [Your Air Carrier] drop-down list and click Delete. Whether the selected user can be deleted or not depends on the status of activities assigned to the user. Figure 8-12 illustrates three different status situations and the ATOS generated response to each situation, which includes information about the actions required to delete the user, or an explanation of why the user cannot be deleted.

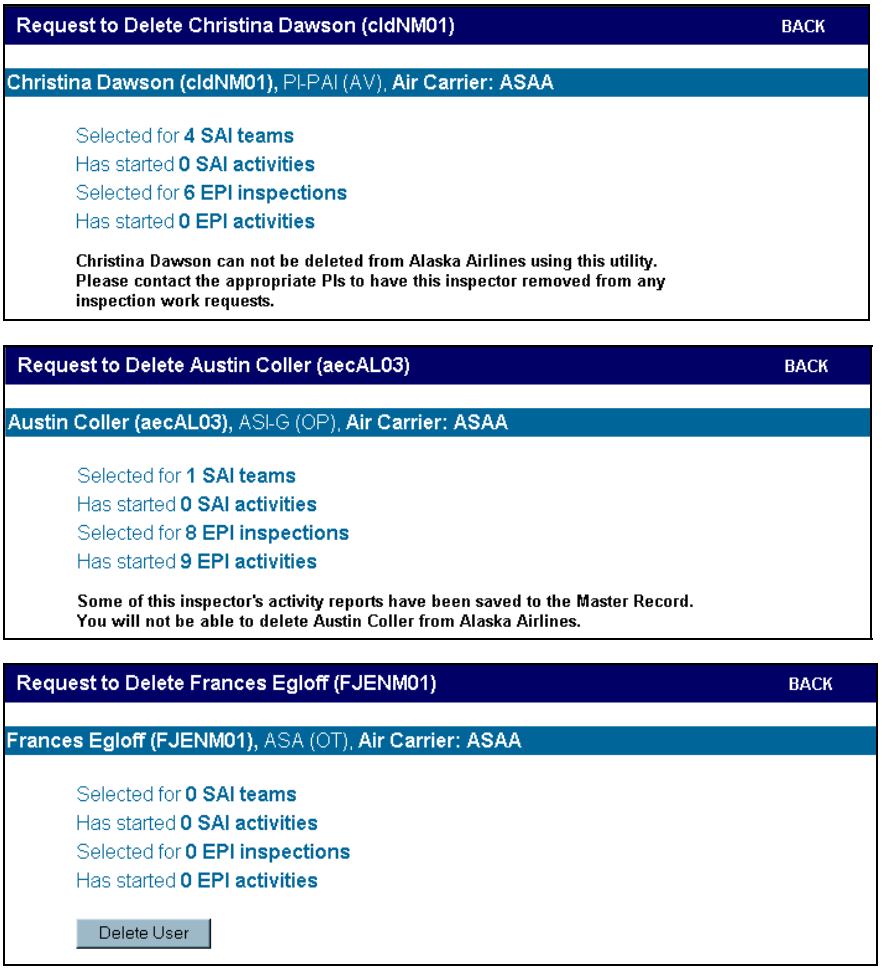


Figure 8-12A, B, and C: Response to Requests to Delete a User

Deletion of a user with no work activity does not affect reference information included in queries and reports.

8.3 M/M/S and N Number Administration

DEPMs are responsible for maintaining the Make/Model/Series data and N Number data for their assigned air carrier. M/M/S and N Number data can be added and deleted by clicking the GO button on the ATOS User Administration screen, to access the ATOS System Administration screen (Figure 8-13). This one screen is used to add and to delete both M/M/S data and N Number data.

Each DEPM is assigned a specific air carrier, and all ATOS System Administration reporting and all additions and deletions are performed on an air carrier specific basis. The System Administration drop-down lists list only the M/M/S and N Numbers associated with your assigned air carrier, and additions or deletions of M/M/S or N Number data apply only to your assigned air carrier.

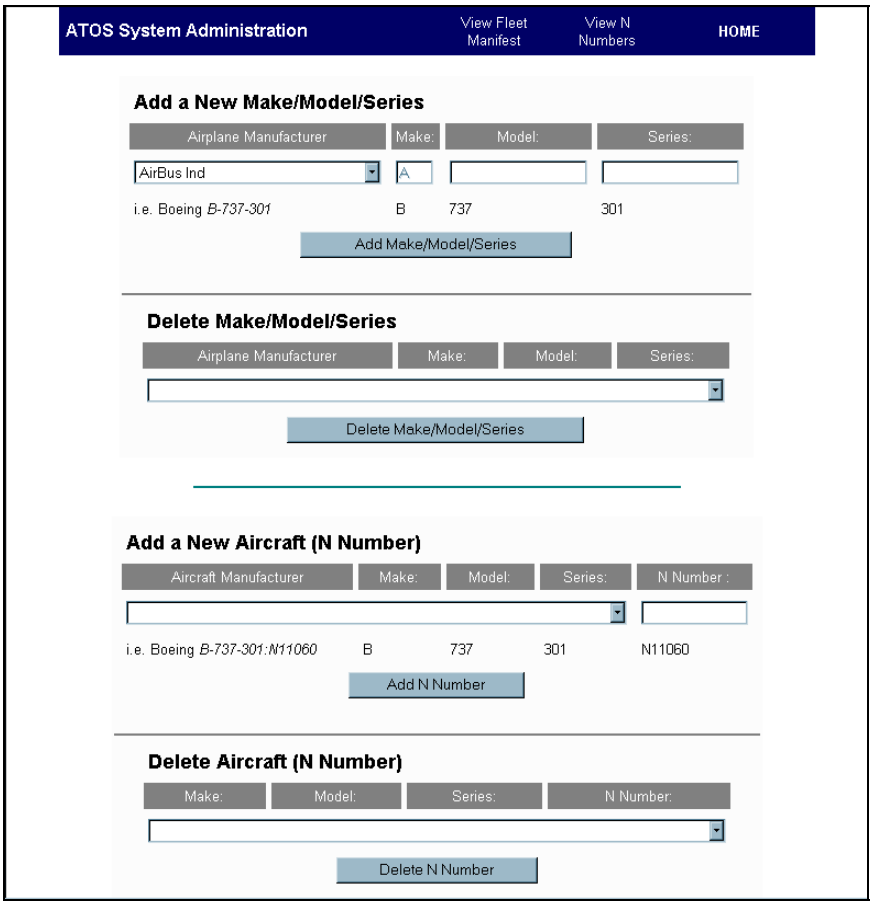


Figure 8-13: ATOS System Administration Screen

8.3.1 Add a New Make/Model/Series

To add a new Make/Model/Series to an air carrier's fleet manifest, open the Add a New Make/ Model/Series drop-down list of airplane manufacturers and select a manufacturer (Figure 8-14). Making this selection automatically enters the manufacturer's symbol in the Make box. Enter the desired Model and Series data in the appropriate boxes and click the Add Make/Model/Series button to complete the addition to the air carrier's fleet manifest.

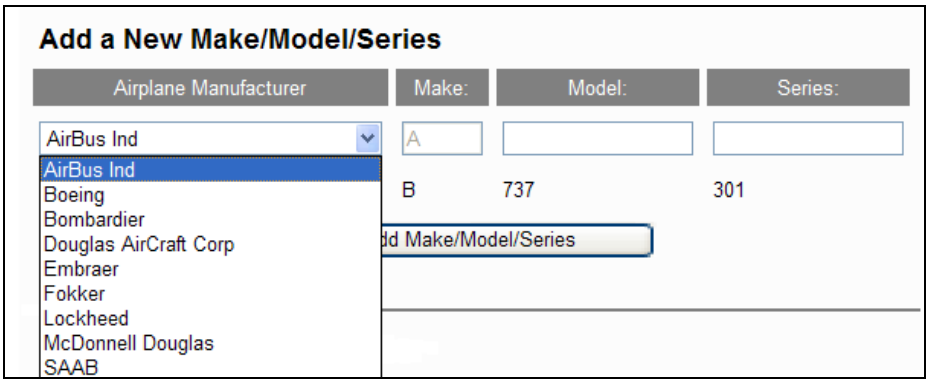


Figure 8-14: Airplane Manufacturer Drop-Down List

8.3.2 Delete Make/Model/Series

To delete an existing Make/Model/Series from an air carrier's fleet manifest, open the Delete Make/Model/Series drop-down list and select the M/M/S to be deleted (Figure 8-15), then click the Delete Make/Model/Series button (Figure 8-16), which opens the Delete Make/Model/Series dialog box (Figure 8-17). This dialog box lists all the N Numbers associated with the selected M/M/S. Clicking the Yes button in this dialog box deletes the selected M/M/S from the air carrier's fleet manifest and also deletes the associated N Numbers from the air carrier's listing of N Numbers.

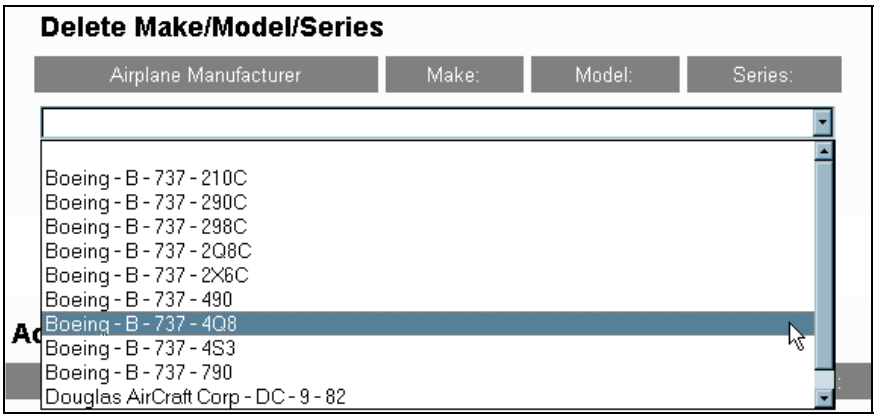


Figure 8-15: Make/Model/Series Drop Down List

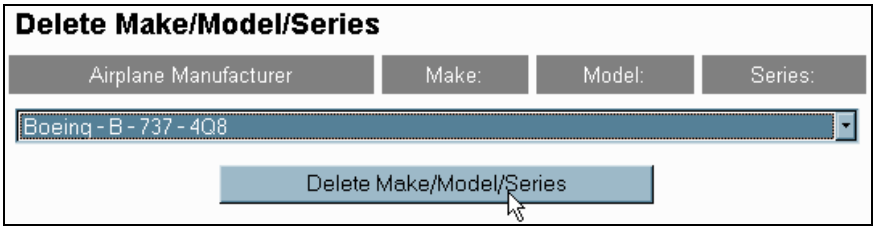


Figure 8-16: Delete Make/Model/Series

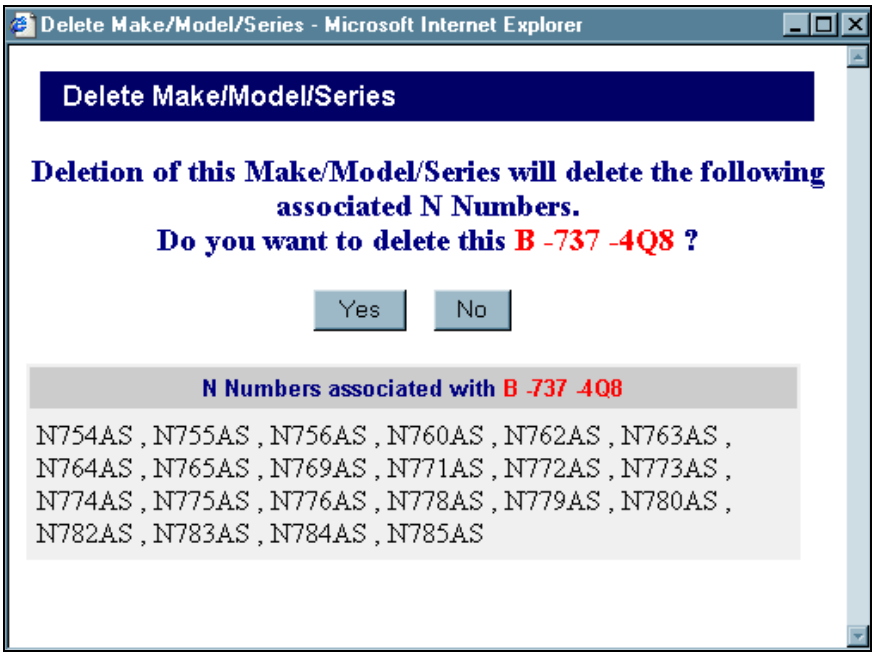


Figure 8-17: Delete Make/Model/Series Dialog Box

8.3.3 Add a New Aircraft (N Number)

To add a new N Number to an air carrier's fleet, open the Add a New Aircraft drop-down list and select a M/M/S (Figure 8-18). Enter the desired N Number data in the appropriate box and click the **Add N Number** button to complete the addition to the air carrier's fleet (Figure 8-19).

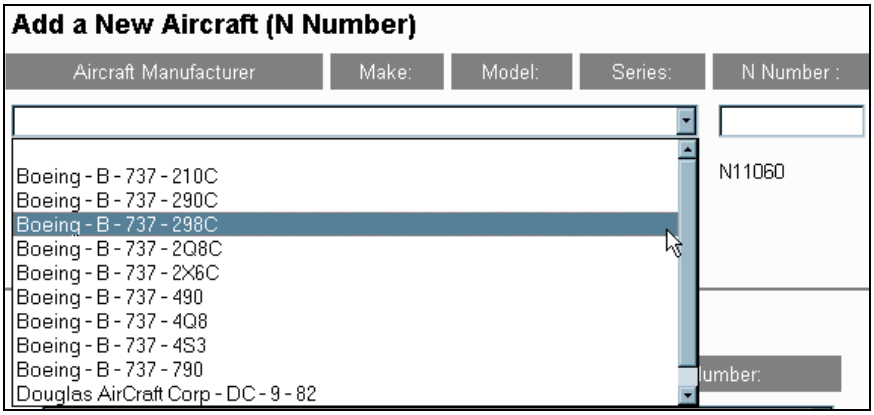


Figure 8-18: Add a New Aircraft Drop Down

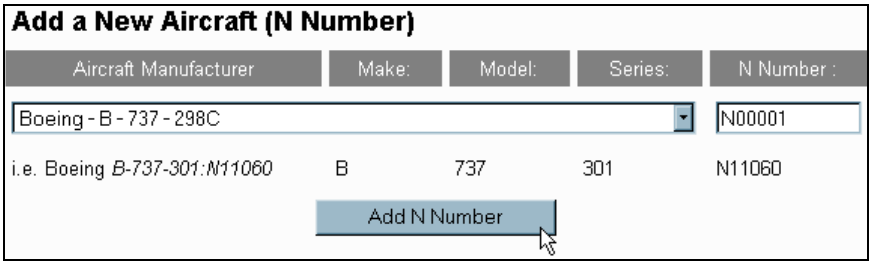


Figure 8-19: Add an N Number

8.3.4 Delete an N Number

To delete an existing N Number from an air carrier's fleet manifest, open the Delete Aircraft drop-down list and select the N Number to be deleted (Figure 8-20). Because the Delete Aircraft drop-down list is located at the bottom of the ATOS System Administration screen, the drop-down list actually opens up, not down, and covers the Delete Aircraft label, as can be seen in the figure. Click Delete N Number, which opens a dialog box requesting confirmation of the deletion (Figure 8-21). Clicking OK in this dialog box deletes the selected N Number.

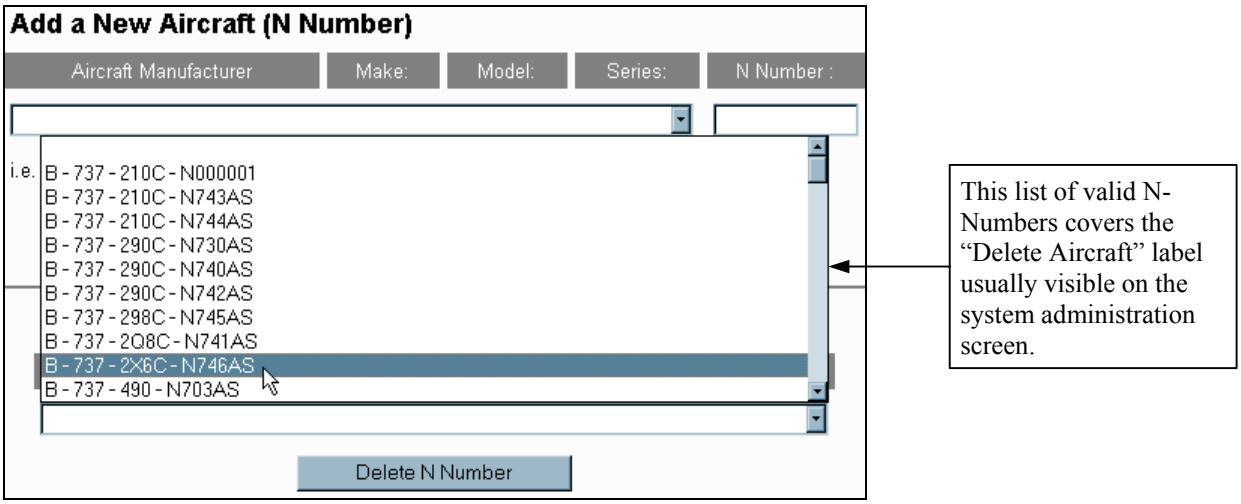


Figure 8-20: Delete an N Number

Figure 8-21: Confirmation Dialog Box

8.4 Manager/Supervisor Administration

DEPMs are responsible for maintaining the Manager/Supervisor data. Manager/Supervisor data can be added, edited, and deleted by clicking the GO button on the ATOS User Administration screen, to access the ATOS Manager/Supervisor User Administration screen (Figure 8-22).

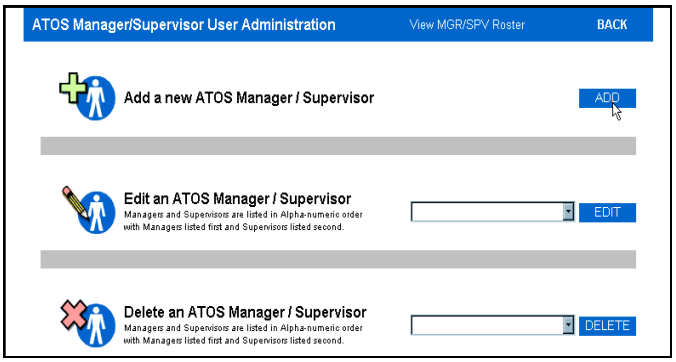


Figure 8-22: ATOS Manager/Supervisor User Administration Screen

8.4.1 Add and Edit Manager/Supervisor

To add a new ATOS Manager/Supervisor or edit an existing ATOS Manager/Supervisor's information, click the first or second Manager/Supervisor Administration screen buttons (Figure 8-22, above). Clicking one of these buttons (after first selecting a User ID, if required) accesses the Manager/Supervisor Information screen (Figure 8-23). When adding a new Manager/Supervisor a blank Manager/Supervisor Information screen is displayed. Enter the requested data in the appropriate boxes. Boxes marked with an asterisk are not required data. When editing an existing Manager/Supervisor, the existing User Information for the selected Manager/Supervisor is displayed, and can be edited as desired.

ATOS Manager/Supervisor Administration HOME

Edit Manager/Supervisor Information (* denotes an optional field)

ATOS User ID: saaNM01 Reset Password

First Name: Samuel
* Middle Name: A
Last Name: Aaron
* Suffix:
E-mail: sam.aaron@faa.gov
Telephone: 4252271081
* Ext:

Job Classification: MGR
Office Code: NM01
* Manager: None
Membership Status: Active: Inactive:
*CHDO MGR: Yes: No :

CMTs Belonging To:
NOTE: Once a Manager/Supervisor has been added to the system, they will be available to all Air Carriers, even if they are not associated with a CMT. DO NOT select carriers on the right unless you would like to associate this Manager/Supervisor with that CMT, giving them access to that carrier's SSAT, ACAT and CSP plans.
(you may hold down the CTRL key to select AND deselect multiple carriers)
Click here to restore selections.
Remove All Associated Air Carriers

Alaska Airlines
America West
American Airlines
American Eagle
Continental Airlines
Delta Air Lines
Northwest Airlines
Southwest Airlines
Trans World Airlines
U.S. Airways
United Airlines

Update User Info

Figure 8-23: Edit Manager/Supervisor Information Screen

8.4.2 Deleting a Manager/Supervisor

To delete an ATOS Manager/Supervisor, select a Manager/Supervisor from the Delete an ATOS Manager/Supervisor drop-down list and click the **Delete** button. Deleting a Manager/Supervisor also deletes connections of the Manager/Supervisor to employees. Affected employees are listed in the Response to Request to Delete a Manager/Supervisor (Figure 8-24).

Request to Delete (kmaSW01) BACK

Employees of (kmaSW01),

Reisen, William	berSW01	AWXA
Rountree, William	wrrSW01	AWXA

Delete this User

NOTE: Clicking the button above will remove this user completely from the ATOS User List. All connections to his/her employees will be deleted. If you you would instead like to remove this user's association with one or more Air Carrier CMTs, use the 'Edit an ATOS Manager / Supervisor' option on the previous page.

Figure 8-24: Response to Request to Delete a Manager/Supervisor

8.5 View Change Requests

The final ATOS Administrative Functions options are the View ATOS CMO Automated Change Request link. This accesses the current Request Change Control System (RCCS) report (Figure 8-25), which can be used to monitor the status of requested changes to the ATOS system or to ATOS Automation.

RCCS - Request Change Control System Back

Request ID	Change Description	Date Submitted	Work Start	Anticipated Completion	Actual Completion
16	Change the date entry on the SAI/EPI forms to a pop-up calendar that can be used to select the date.	06/25/1999	06/25/1999	07/30/1999	07/30/1999
17	Switch the order of Departure/Location and Arrival on EPI/SAI, (Departure/Location should be first in line).	06/25/1999	06/25/1999	06/16/1999	07/30/1999
18	Keep header information visible on screen when paging down on data entry.	06/25/1999	06/25/1999	07/30/1999	Open
19	On CMT roster show ASI's telephone number and status.	06/25/1999	06/25/1999	07/16/1999	Open
20	Pop up calendar for the user to select the date using point and click.	06/30/1999	06/30/1999	07/09/1999	07/30/1999
22	Drop down table containing only the aircraft N numbers for the specific CMT. Ideally table linked to the M/M/S table and M/M/S field will autofill when the N number is input. Table will be initially with data provided by DEPM and will subsequently	08/12/1999	08/13/1999	08/20/1999	Open

Figure 8-25: RCCS Report

8.6 Batch Change Procedures

DEPMs are responsible for initiating batch changes, made on those occasions when a large number of ATOS office assignments or of ATOS manager/supervisor-employee relationships are to be changed. Batch changes are actually performed by the private sector contractor administering the ATOS system, using information provided by a DEPM. Accomplishment of batch changes requires intermediation, by the ATOS Certificate Management Office (CMO), between the DEPM and the ATOS contractor. Batch change procedures are outlined below:

Procedure for batch office code changes, manager assignments, and supervisor assignments.

1. The DEPM sends an e-mail to the automation team leader. The e-mail must include the ATOS User IDs of users affected and one of the following:

   - Old office codes and new office codes
   - Old assigned manager ATOS User IDs and new manager ATOS User IDs
   - Old assigned supervisor ATOS User IDs and new supervisor ATOS User IDs

2. The automation contractor is contacted and a technical help desk ticket is opened.

3. The contractor modifies the user information on a non-production server.

4. The contractor notifies the ATOS Team Leader of the change in an e-mail and provides a method for the DEPM to verify the change for accuracy.

5. The DEPM verifies the changes on the server.

6. If approved, the DEPM sends the ATOS Team Leader an e-mail to confirm accuracy.

   The ATOS Team Leader will notify the contractor to implement the change. If further changes are needed, the DEPM identifies the change and provides the information to the Automation Team Leader by e-mail and the process goes back to Step 3.

7. When the changes are accepted by the DEPM they will be implemented during the next regularly scheduled maintenance.

8. The ATOS Help Desk notifies the DEPM of the implementation change and closes the ticket.

8.7 Review and Evaluation of SAI and EPI Inspections

The Data Evaluation Program Manager (DEPM) reviews all SAI and EPI inspection records to ensure compliance with the ATOS Data Quality Guidelines prior to its release to the ATOS Data Repository. The DEPM may concur, not concur, or return the activity report to the ASI. If the DEPM concurs, the record is saved to the ATOS Data Repository. If the DEPM selects Non-Concur, the master record is submitted to the ATOS Data Repository, requiring PI and DEPM comments. The DEPM may also return the questioned activity report to the ASI in Draft status.

8.7.1 DEPM Access to Inspection Records

DEPMs may evaluate Final Activities ahead of the record by clicking on the View [SAI or EPI] Open Records & Activities Saved Final link on the DEPM ATOS Home Page (Figure 8-26).

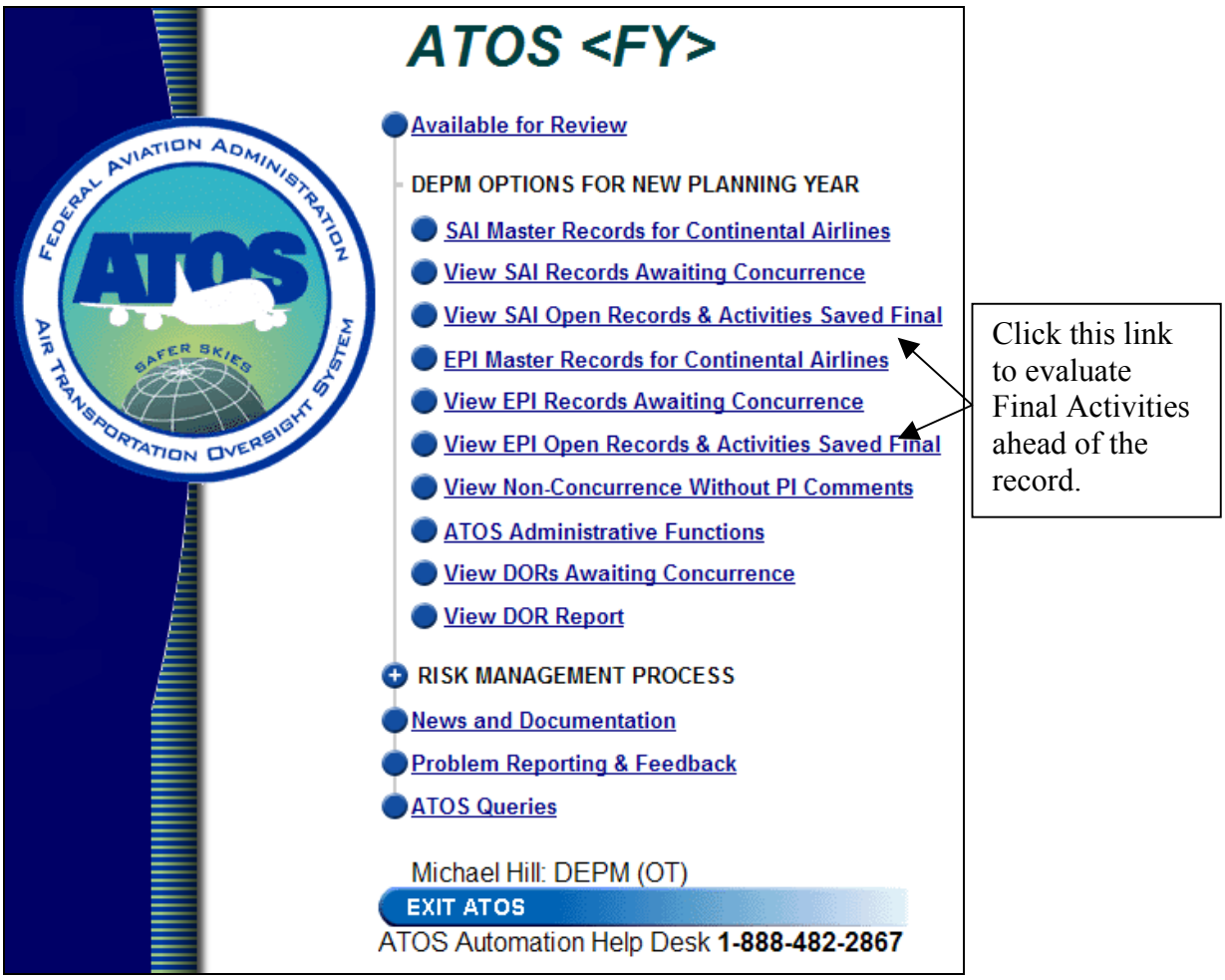


Figure 8-26: DEPM ATOS Home Page With Link to Final Activities

Figure 8-27 is an example of the report that appears when you click on the link to **View EPI Open Records & Activities Saved Final**. Links are available to the Record, the Inspector, and associated instructions.

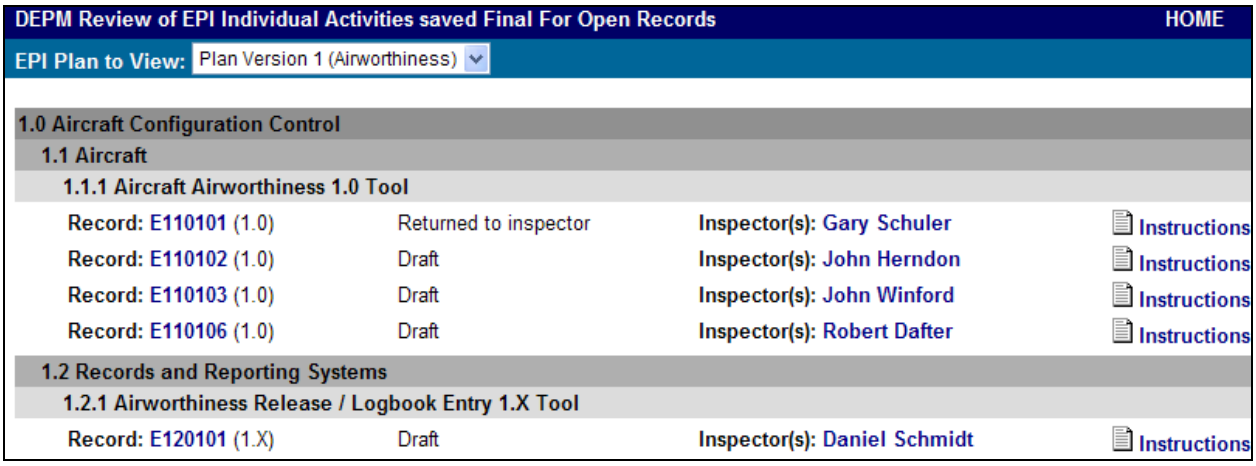


Figure 8-27: DEPM Review of EPI Individual Activities Saved Final for Open Records (Excerpt)

The complete listing of the current status of all records in active SAI or EPI Plans can be accessed through the DEPM ATOS home page (Figure 8-28). Click the View SAI Master Records link or the View EPI Master Records link to view the DEPM Review of [SAI or EPI] Master Record screen. These screens report all records in active plans and provide links to records requiring DEPM action (Figures 8-29 and 30).

SAI or EPI inspection records requiring review and evaluation are accessed by clicking the View SAI Records Requiring Concurrence or the View EPI Records Requiring Concurrence links on the DEPM home page. These screens also access the DEPM Review of [SAI or EPI] Work Plan screen, but access using these links reports *only* inspection records requiring DEPM action (Figures 8-31 and 32).

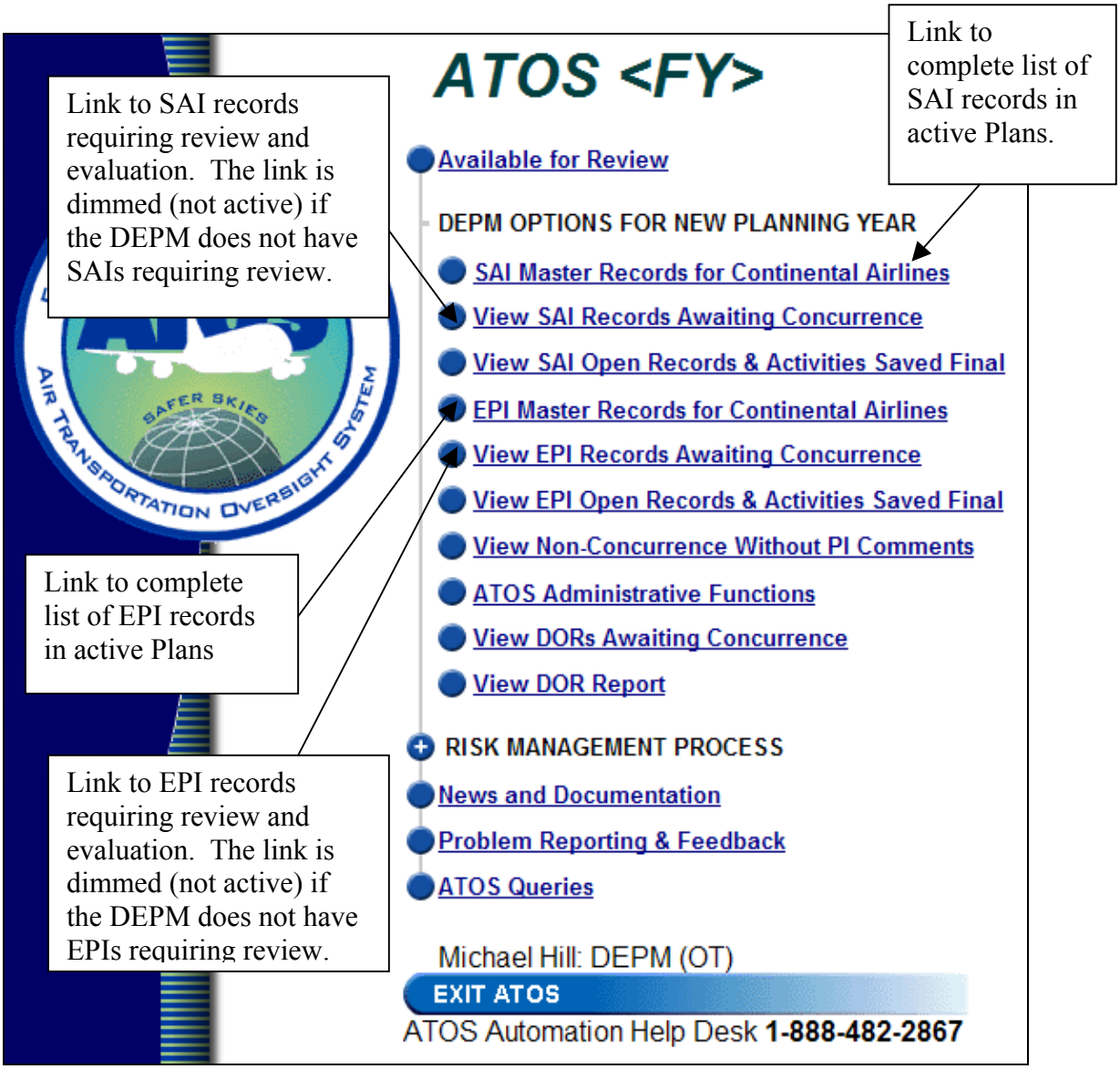


Figure 8-28: DEPM ATOS Home Page

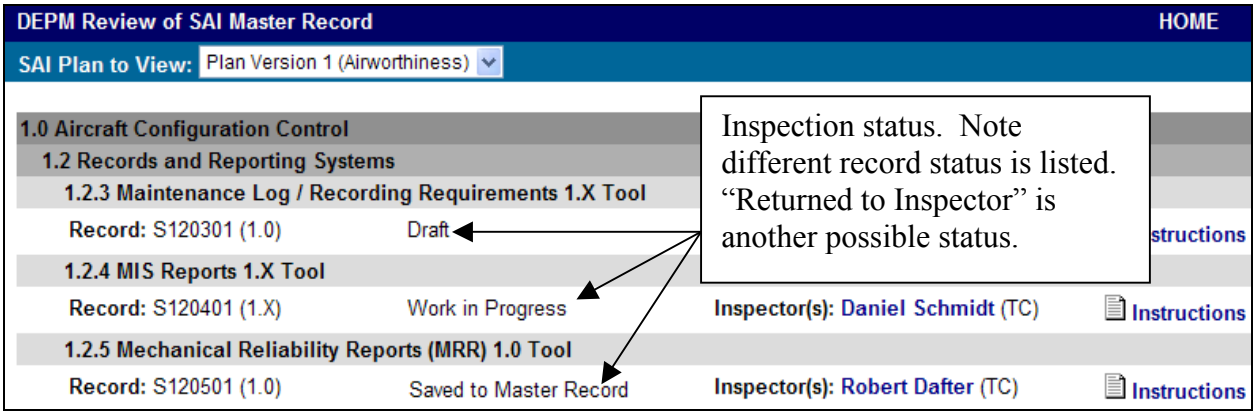


Figure 8-29: DEPM Review of SAI Master Records, All Inspections in Selected Plan (Excerpt)

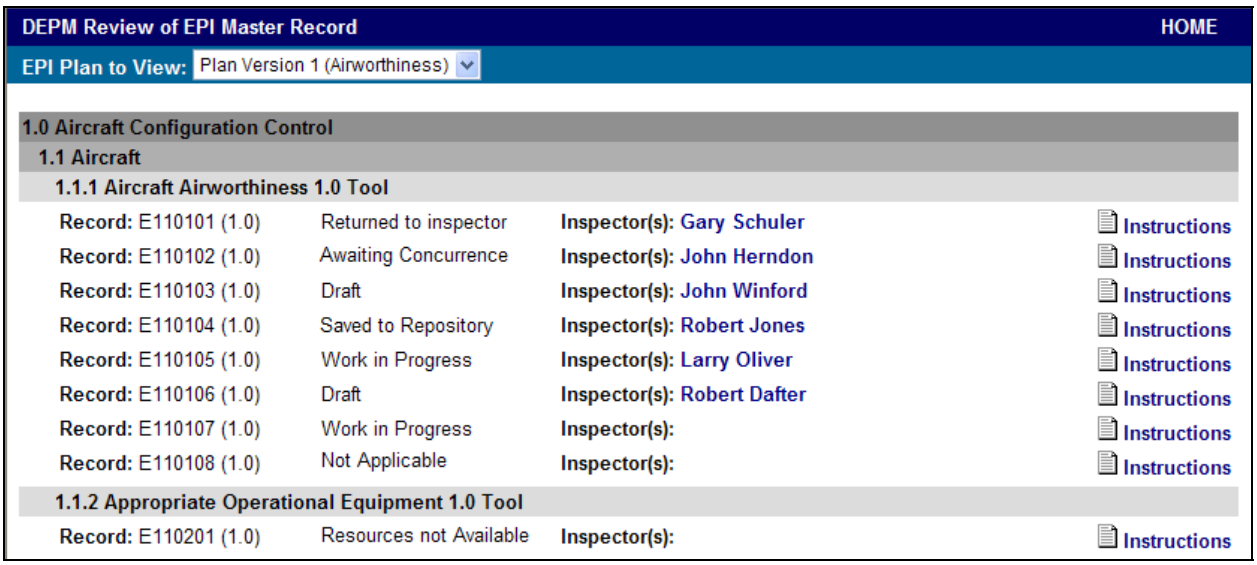


Figure 8-30: DEPM Review of EPI Master Records, All Inspections in Selected Plan (Excerpt)

Figure 8-31: DEPM Review of SAI Awaiting Concurrence (Excerpt)

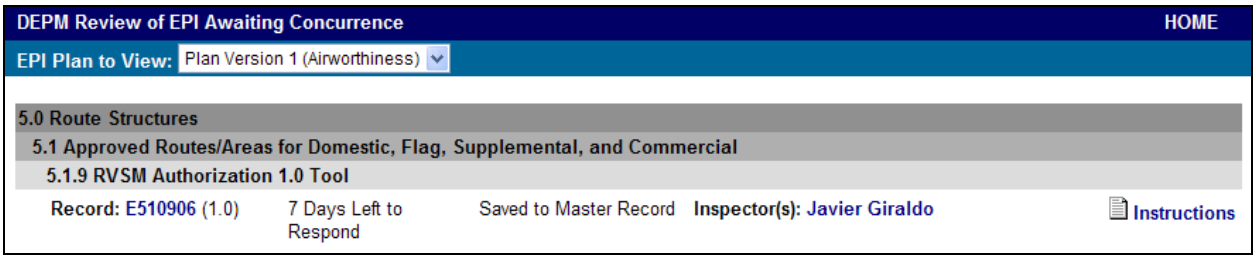


Figure 8-32: DEPM Review of EPI Awaiting Concurrence (Excerpt)

8.7.1.1 Links to Inspector's User Information

Inspector names displayed on any DEPM record review screen (the SAI and EPI Master Records screens, the SAI and EPI Records Awaiting Concurrence screens, and the Non-Concurrences without PI Comments screen) are always linked to user information for the Inspector. Click the Inspector's name to open a new browser window displaying the Inspector's roster information.

8.7.2 DEPM Inspection Record Evaluation

DEPMs have the option of reviewing and commenting upon Activities saved as Final, even before the completion of all Activities and submission of the entire record for evaluation. Clicking on the **View SAI/EPI Open Records and Activities Saved Final** link from the DEPM Home Page (Figure 8-26) opens the "DEPM Review of SAI/EPI Individual Activities saved Final for Open Records" screen. Figure 8-33 is the top portion of a sample listing.

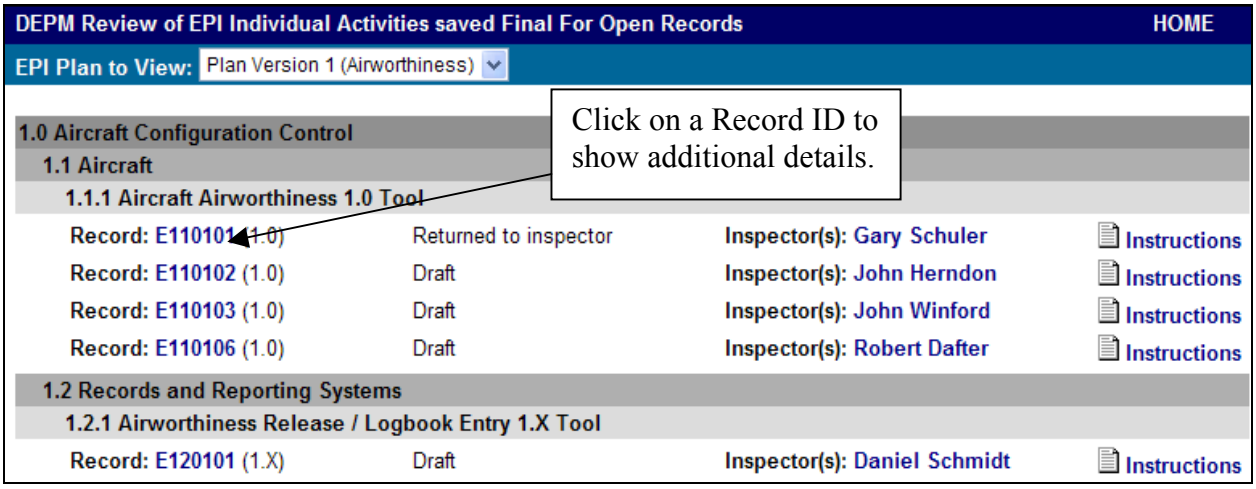


Figure 8-33: DEPM Review of SAI/EPI Individual Activities saved Final for Open Records (Excerpt)

Individual Activities may be returned to the Inspector at any time, if deemed necessary by the DEPM, who determines the depth and scope of the review. To review a Final Activity, click on the associated Record ID. This will open the "Master Activity Report" for that record, as illustrated by Figure 8-34.

ELEMENT PERFORMANCE INSPECTION (EPI) MASTER ACTIVITY REPORT | Query | SPAS | Reports Home

MASTER ACTIVITY REPORT FOR RECORD E110102 (1.0)
Inspectors: John Herndon
Element : 1.1.1 Aircraft Airworthiness 1.0 Tool
PI Instructions

ATOS Policies and Procedures
ATOS Data Quality Control Guidelines

EPI INDIVIDUAL ACTIVITIES SAVED FINAL

Activity	Description	Responses	Status
11010201	Start Date: **10/07/2003**, End Date: **10/07/2003**, Dep Point: **IAH** , Arrival Point: , Certified Repair Stations Number: , Aircraft Reg No: **N14341**, Make, Mod & Series: **B-737-3T0**, Flt No: , Sim Device: **/**, FAA 8430-13 Number:	5 Yes , 0 No 0 N/A 0 Unanswered	Final Return To Inspector
11010202	Start Date: **10/08/2003**, End Date: **10/08/2003**, Dep Point: **DFW** , Arrival Point: , Certified Repair Stations Number: , Aircraft Reg No: **N69603**, Make, Mod & Series: **B-737-524**, Flt No: , Sim Device: **/**, FAA 8430-13 Number:	3 Yes , 2 No 0 N/A 0 Unanswered	Final Return To Inspector
11010203	Start Date: **10/23/2003**, End Date: **10/23/2003**, Dep Point: **IAH** , Arrival Point: , Certified Repair Stations Number: , Aircraft Reg No: **N17316**, Make, Mod & Series: **B-737-3T0**, Flt No: , Sim Device: **/**, FAA 8430-13 Number:	5 Yes , 0 No 0 N/A 0 Unanswered	Final Return To Inspector
11010204	Start Date: **10/24/2003**, End Date: **10/24/2003**, Dep Point: **MIA** , Arrival Point: , Certified Repair Stations Number: , Aircraft Reg No: **N14347**, Make, Mod & Series: **B-737-3T0**, Flt No: , Sim Device: **/**, FAA 8430-13 Number:	5 Yes , 0 No 0 N/A 0 Unanswered	Final Return To Inspector

Figure 8-34: Master Activity Report for a Record Not Saved as Final

Clicking on an Activity's ID number brings you details of that Activity, as shown in the excerpt that is Figure 8-35. Using any of the three buttons at the bottom of the Activity detail results in a change in the appearance of the Master Activity Report, illustrated by Figure 8-38.

If the DEPM chooses to return the activity report, a click on the **Return To Inspector** will bring up the "DEPM Comments" window for completion. The Inspector will be able to access these comments upon receipt of the returned inspection.

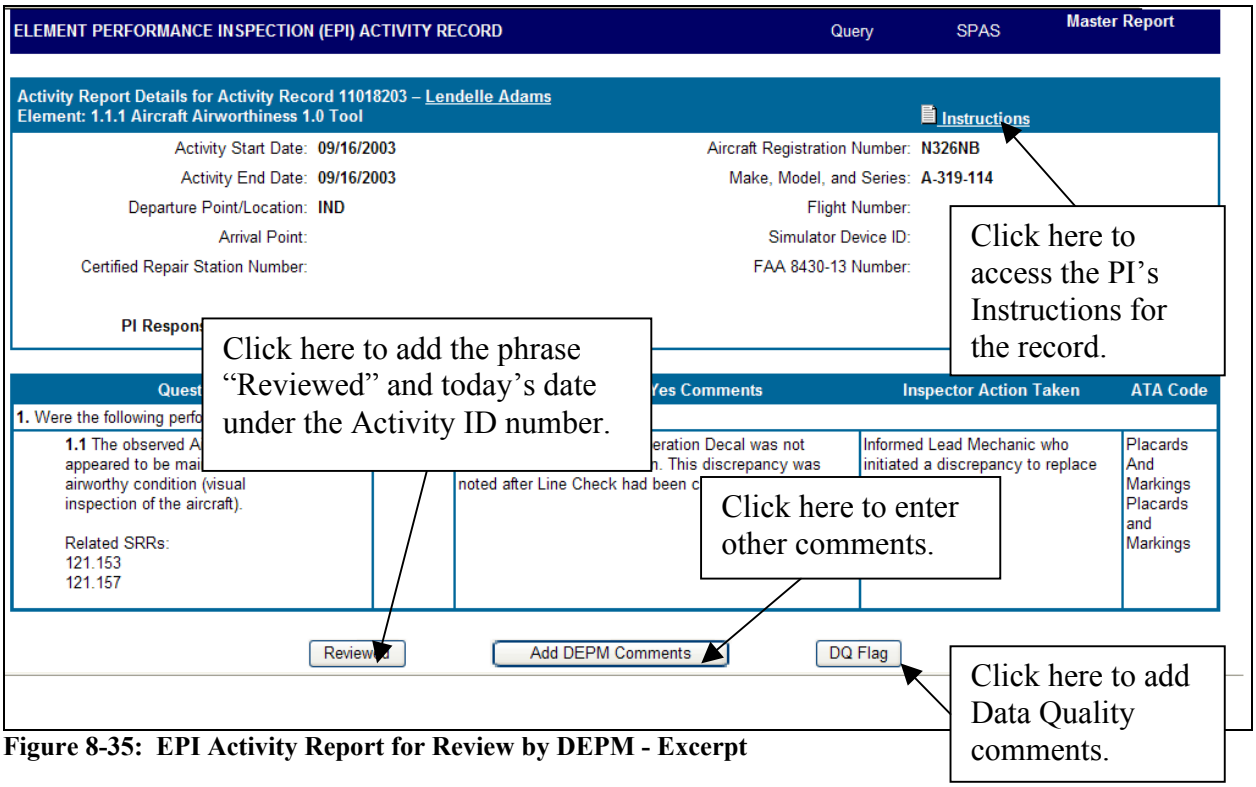


Figure 8-35: EPI Activity Report for Review by DEPM - Excerpt

- **Reviewed –** Click on this button alone and the Master Activity Report will merely note that the Activity has been reviewed, and the date of the review.

- **Add DEPM Comments –** Click this button to open the DEPM comments window, as shown in Figure 8-36. For this window, the **Clear** button erases any input. Clicking on either the **Save** or **Close** buttons will return you to the EPI Activity Report. From there, you may click on the **Reviewed** button to have that action noted on the Master Activity Report. If you anticipate further review, you may choose to use the **BACK** link in the upper right corner.

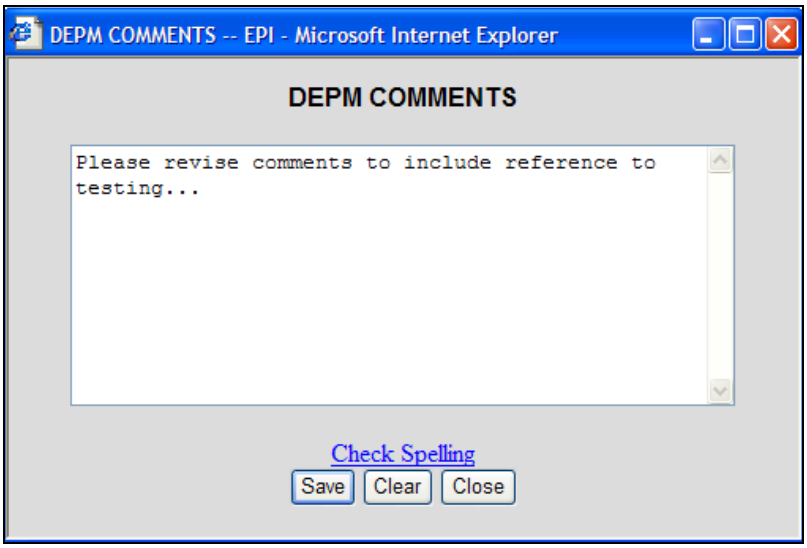


Figure 8-36: DEPM Comments Window with Sample Entry

- **DQ Flag –** Click on the **DQ Flag** to open the DEPM DQ Comments screen, Figure 8-37. For this window, the **Clear** button erases any input. Clicking on either the **Save** or **Close** buttons will return you to the EPI Activity Report. From there, you may click on the **Reviewed** button to have that action noted on the Master Activity Report. If you anticipate further review, you may choose to use the **BACK** link in the upper right corner. In either case, a "DQ Flag" will now be shown just right of the Activity ID.

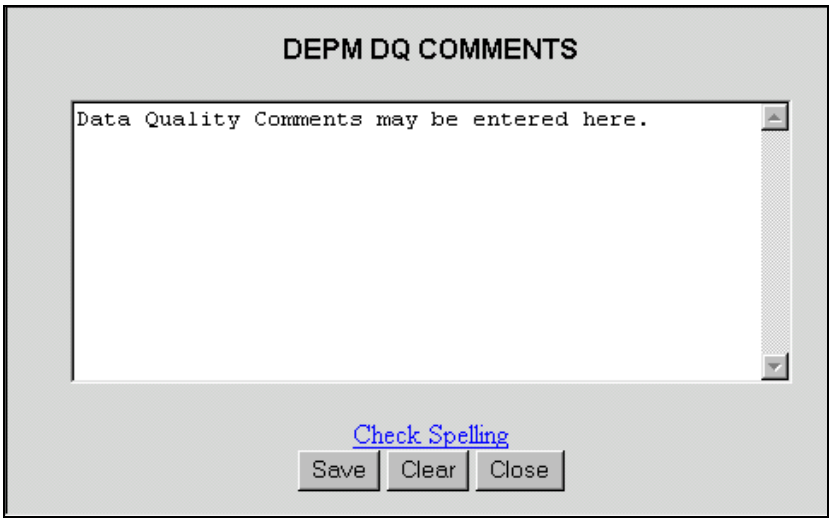


Figure 8-37: DEPM DQ Comments screen

Figure 8-38 illustrates the effects of using the buttons at the bottom of an individual activity report.

Figure 8-38: Master Activity Report Illustrating Various DEPM Actions

Clicking the Record ID of an inspection that requires review and evaluation from the DEPM Review of SAI or EPI Work Plans, Figures 8-28 and 8-29, accesses the SAI or EPI Master Activity Report screen (Figures 8-39 and 40). Buttons on this screen allow the DEPM to concur with an inspection, to non-concur, or to return the inspection to the ASI or Team Coordinator who submitted the inspection. There are also links to the PI instructions for ASIs, and a View Details link at the bottom of the screen to examine detailed record data. When acting upon the record (return, concurrence, non-concurrence) an alert box reminds the DEPM that Policy requires that the Record be evaluated in its entirety.

The DEPM has 7 calendar days from the date a record is submitted by an ASI to evaluate the record. The number of days remaining or overdue is displayed on the Master Activity Report screen, just beneath the Activity ID. The 7-day clock is suspended when a DEPM returns an inspection and is reset to 7 days when the ASI resubmits the inspection to the DEPM.

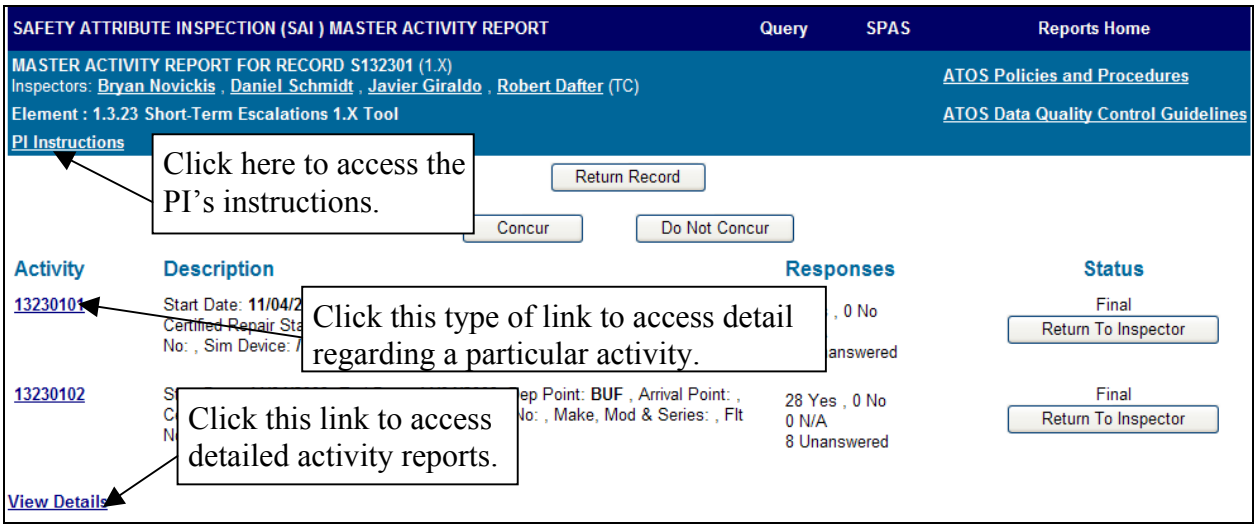


Figure 8-39: SAI Master Activity Report Screen

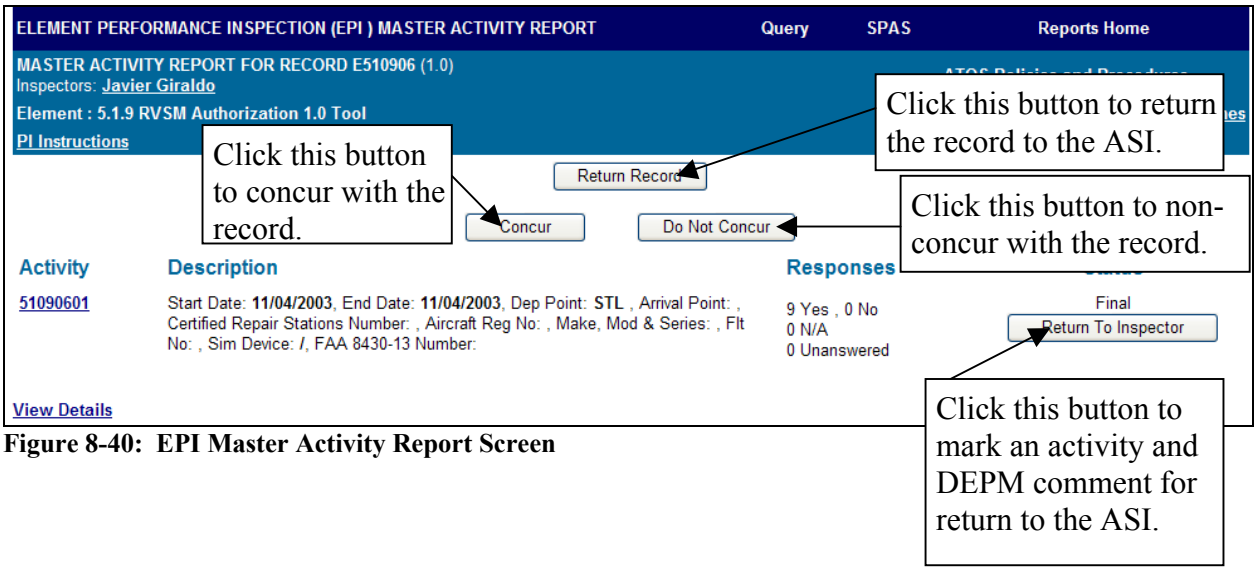


Figure 8-40: EPI Master Activity Report Screen

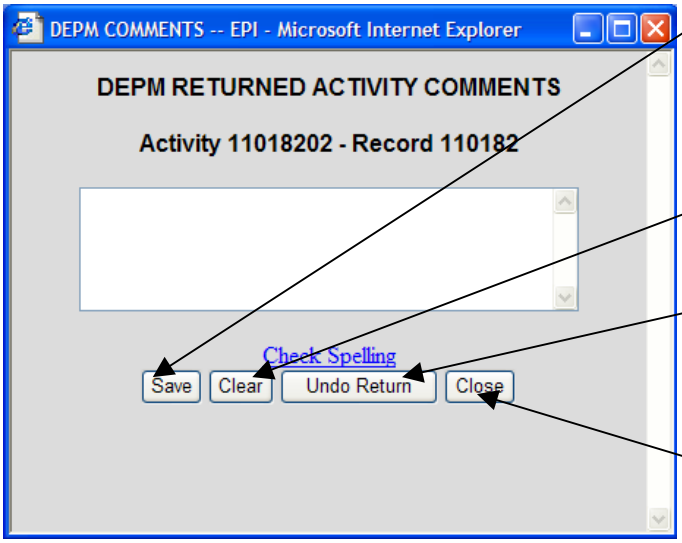
8.7.2.1 Return to Inspector, Concur, and Do Not Concur Buttons

A set of buttons located on both the SAI Master Report screen and on the EPI Master Report screen allow the DEPM to return an entire record to the ASI, to concur with the ASI's inspection, or to not concur with the inspection.

Clicking the Concur button submits the entire record to the ATOS Data Repository.

Clicking the Do Not Concur button also submits the entire record to the ATOS Data Repository, and opens the DEPM Comments window (Figure 8-41), which the DEPM uses to note his or her reasons for not concurring with the record. The non-concurred record and the DEPM Comments must be submitted at the same time.

Clicking the Return to Inspector button located next to each activity marks the activity for return to the ASI. Clicking this button opens the DEPM Returned Activity Comments window (Figure 8-41), which the DEPM uses to note his or her reasons for returning the activity.



When you have completed your comments, click on the **Save** button. This action will save your comments and close the window.

Use the **Clear** button to remove what appears and start over.

Click on **Undo Return** to return to the Master Activity Report screen without taking any action.

Clicking on the **Close** button will return you to the Master Activity Report screen and no changes will have been made.

Figure 8-41: DEPM Comments Window

Comments previously entered will remain the same. If no comments were entered before, then clicking on **Close** has the same effect as the **Undo Return**.

After the Return to Inspector button is clicked and DEPM comments are entered, clicking the Return Record button returns all the record's activities and DEPM comments to the submitting ASI. The returned record reverts to Draft status, allowing the ASI to resume inspection activities. After returning a record the SAI or EPI Master Activity Report screen will display messages reporting the date the activity was reviewed and that the activity has been returned (Figure 8-42). A link will also be available to edit the DEPM Comments for the returned Activity.

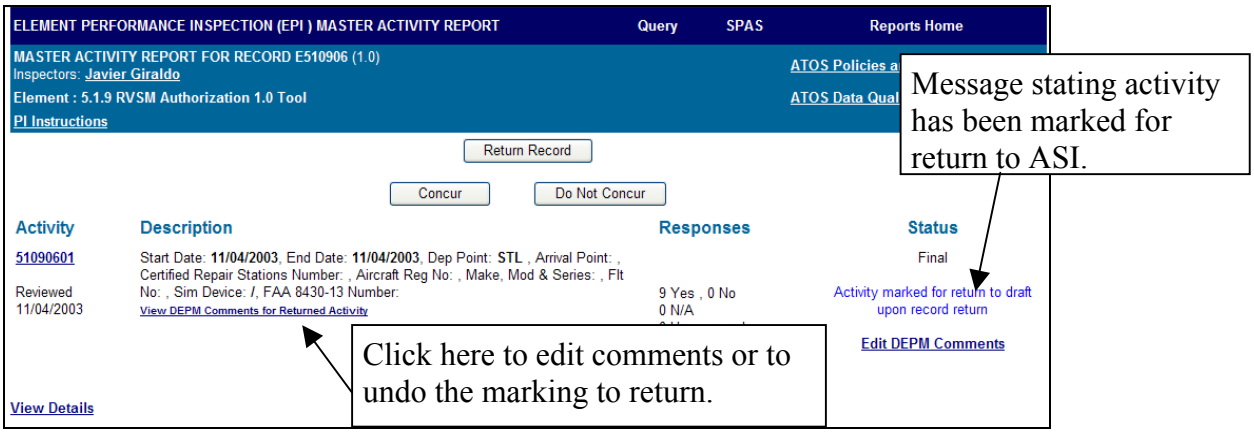


Figure 8-42: EPI Master Activity Report Screen with Record Marked for Return

If a DEPM attempts to concur or non-concur with a record in which activities have been marked for return to the ASI, a message window is automatically generated explaining that this is not a valid option (Figure 8-43).

Figure 8-43: Unable to Concur/Non-Concur Message Window

8.7.2.2 SAI/EPI Master Activity Report Links

Figure 8-44 illustrates the activity level data accessed by clicking one of the Activity ID links on the Master Activity Report screen.

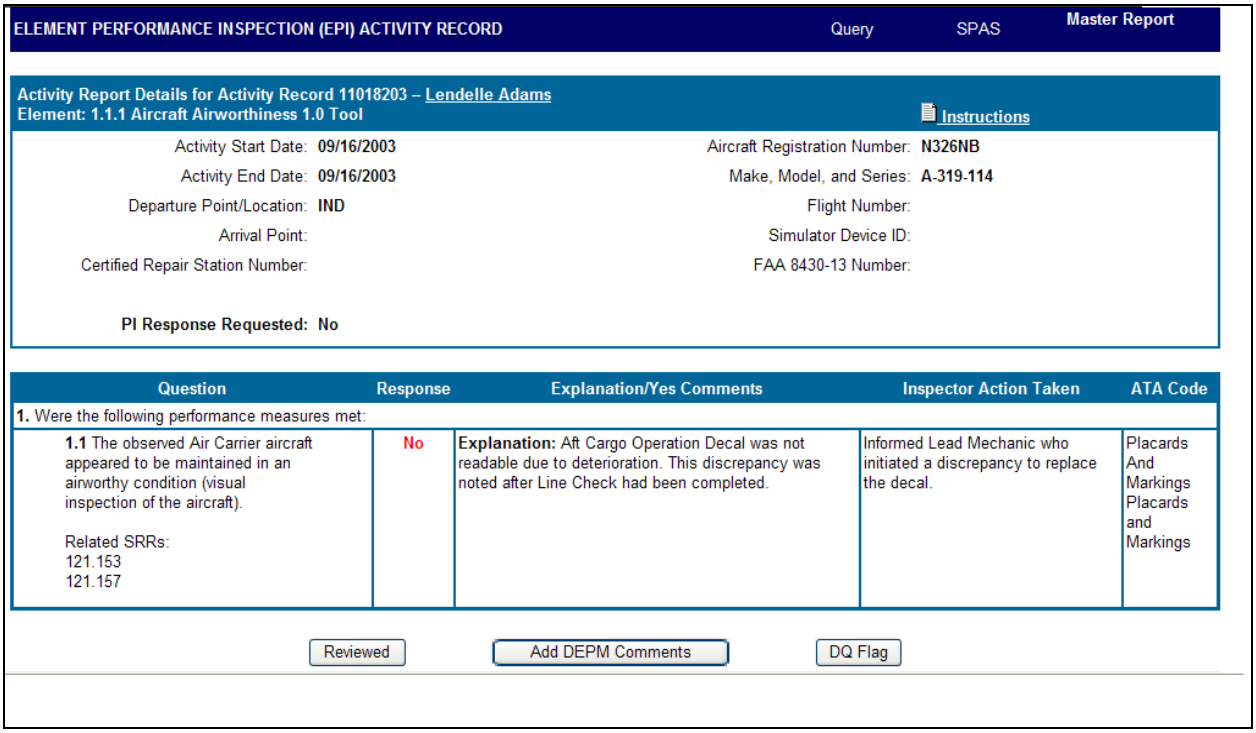


Figure 8-44: Activity Report Details Screen (Excerpt)

Figure 8-45 illustrates PI Instructions for the ASI, accessed by clicking the Instructions link on a Master Activity Report screen.

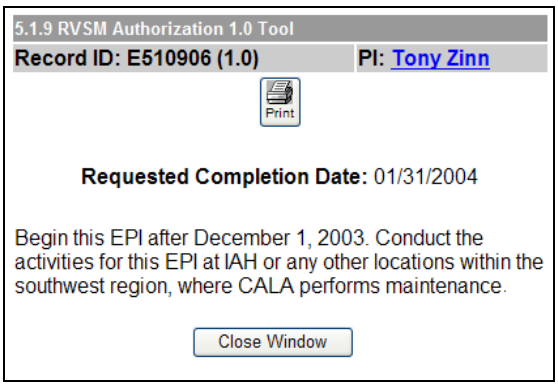


Figure 8-45: PI Instructions Screen

8.7.2.2 SAI/EPI Master Activity Report Links (continued)

Figure 8-46 illustrates the detailed record report data accessed by clicking the View Details link on the EPI Master Activity Report screen.

ELEMENT PERFORMANCE INSPECTION (EPI) ACTIVITY RECORD				Query	SPAS	Master Reports
Question	Activity ID	Response	Explanation/Yes Comments		Inspector Action Taken	ATA Code
1. Were the following performance measures met:						
1.1 The Air Carrier has complied with the RVSM provisions of the Operations Specifications D092.	51090601	Yes	**Yes Comments:**		--	
1.2 The Air Carrier's RVSM maintenance personnel are trained and qualified in accordance with its policies and procedures.	51090601	Yes	**Yes Comments:**		--	

Figure 8-46: Detailed Record Report (Excerpt)

8.7.3 Non-Concurrences without PI Comments

When a DEPM does not concur with an SAI, EPI or DOR record, the record is saved to the ATOS Data Repository with comments added by the DEPM and by the PI. Clicking the View Non-Concurrences without PI Comments link on the DEPM ATOS Home page (Figure 8-47) accesses a report of DEPM Non-Concurrences that defaults to those Records that have not yet been commented on by the PI.

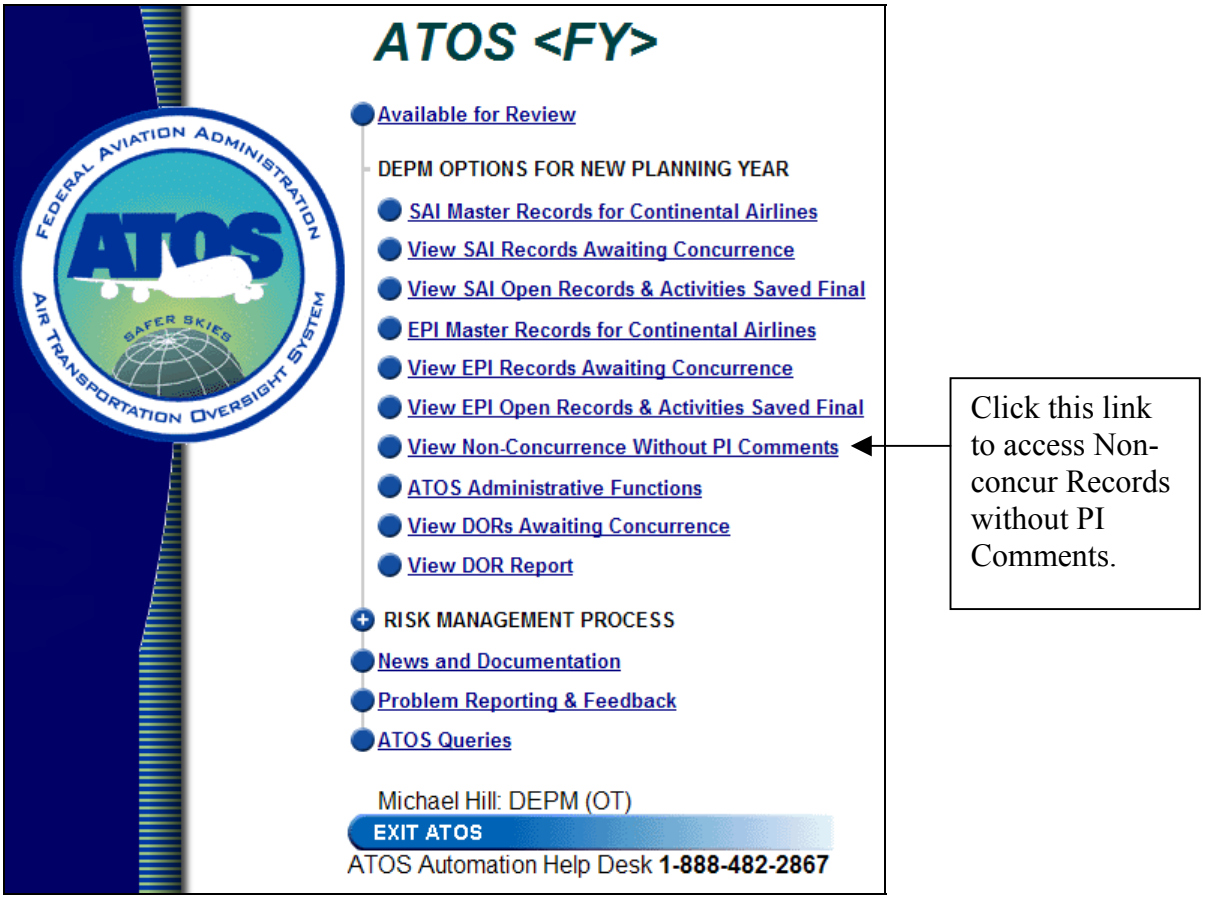


Figure 8-47: Accessing the View Non-Concurrences without PI Comments Report

The upper left corner of the DEPM Non-Concurrence Report (Figure 8-48) contains a drop-down list that allows you to see an alternate sort of the records – either those with PI comments or a list of all records with DEPM Non-Concurrence, with or without PI comments.

DEPM Non-concurrence Report Print HOME

Comments: All Records
Records Without PI Comments
Records With PI Comments
All Records

Use the drop-down list to specify which records you want to view – with and/or without PI comments.

SAI/EPI Airworthiness Plan : 148

	Element	Record ID	Inspector(s)	Date of Non-concurrence
	1.3.2 Inspection Program 1.0 Tool	E130202	Oliver Larry	04/09/2003
DEPM Comments	The activities were not performed at all the locations that the PI requested. Per discussion with the assistant PI, this is not satisfactory.			
PI Comments	Activities have been rescheduled on a different EPI at the previous requested locations.			
	1.3.18 De-Icing Program 1.0 Tool	E131806	Dafter Robert	04/29/2003
DEPM Comments	Did not comply with the PI Instructions. PI requested activities to be performed at EWR, CLE, MSP, PHL and PIT, but inspector only completed activities at EWR.			
PI Comments	This EPI will be rescheduled for winter operations. The locations will be addressed again. Management/Inspector will ensure the locations requested will be accomplished.			

DORs

	DOR ID	Inspector	DOR Type	Date of Non-concurrence
	10063	Jerry Lindquester	Constructed	09/25/2003
DEPM Comments	The "Local/Regional/National Use" block does not contain the required "COAFS" code.			
	5714	Robert Dafter	Element	12/02/2002
DEPM Comments	All "Yes" answers in a DOR does not add value to ATOS and is contrary to the concept and guidance for the DOR. This DOR was generated due to a misunderstanding of information from ATOS Recurrent training and has been corrected.			

Figure 8-48: DEPM Non-concurrences Report Screen (Excerpt)

8.8 Reviewing and Evaluating DORs and ConDORs

This section describes the role of the DEPM in the use of ATOS Automation to record unplanned observation surveillance information using the Dynamic Observation Report (DOR) and Constructed DOR (ConDOR) features.

The DOR feature allows Inspectors to enter relevant unplanned observations that fall outside of the CSP. These observations may be made either during a regular inspection or when a special need arises. The DOR is intended to capture unplanned observations observed by Inspectors as well as non-specific observations made during surveillance activities.

The ConDOR feature allows Principal Inspectors to request an unscheduled inspection that falls outside of the CSP.

DORs and ConDORs are immediate in nature and, once submitted, go immediately to the Principal Inspector, ORA, Managers, and Supervisors of the carrier involved. They are immediately available for your review and approval.

8.8.1 DEPM Access to DOR and ConDOR Records

DOR and ConDOR records requiring review and evaluation are accessed by clicking the View DORS awaiting concurrence link (Figure 8-49) on the DEPM home page.

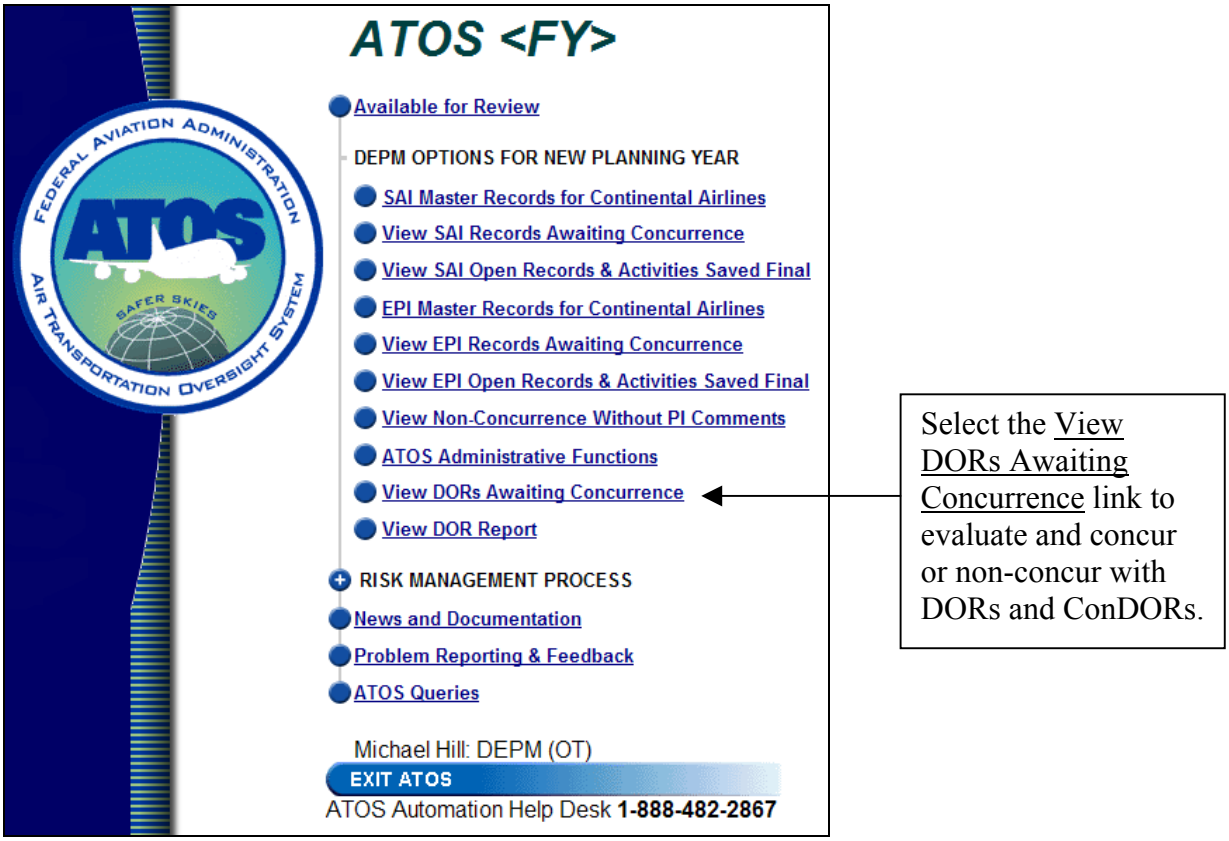


Figure 8-49: ATOS Home Page Showing View DORs Awaiting Concurrence Link

The DEPM Review of DORs screen (Figure 8-50) includes all new and returned records awaiting DEPM evaluation.

DEPM Review of DORs
Today is 11/9/2003

Print HOME

Click on the DOR ID to take Action

DOR ID:	Start Date:	Requested Completion Date:	Status:	DOR Type:	Inspector:
D 10335	10/30/2003	11/28/2003	Awaiting Review	Constructed	Allandra Davis
D 10317	10/27/2003	Not Applicable	Awaiting Review	Element	Leo Hollis
D 10152	10/21/2003	10/31/2003	Awaiting Review	Constructed	Russell Hayden

Figure 8-50: DEPM Review of DORs Screen

8.8.1.1 Links to Inspector's User Information

Inspector names displayed on any DEPM record review screen are always linked to user information for the Inspector. Click the Inspector's name to open a new browser window displaying the Inspector's last name, first name, user ID, job classification, technical discipline, office code, supervisor, manager, phone number, and extension (Figure 8-51). The Supervisor name and the Manager name are themselves links. Clicking the name opens a User Information screen providing the user information for the name clicked.

Matthew Schack - Roster - Microsoft Internet Explorer provided by SRA International

Matthew Schack User Information

Last Name	First	User ID	Job Class. Code	Tech Disc.	Office Code	Sup.	Mgr.	Phone	Ext.
Schack	Matthew	mjsEA19	PI-POI	OP	EA19	Repucci	Zito	(412) 262-9034	222

Figure 8-51: User Information Screen

8.8.1.2 DEPM Evaluation of DORs and ConDORs

Each DOR ID on the DEPM Review of DORs screen includes a hyperlink to the DOR Review Screen (Figure 8-52). The DOR includes common data fields and, if it is an Element DOR, answers to EPI questions. Buttons on this screen allow the DEPM to concur with a DOR or ConDOR, to non-concur, or to return the inspection to the ASI who submitted it. There are also links to Instructions and ATOS Data Quality Guidelines.

The DEPM is responsible for reviewing and evaluating new and returned DORs and ConDORs, which are saved to the ATOS Data Repository.

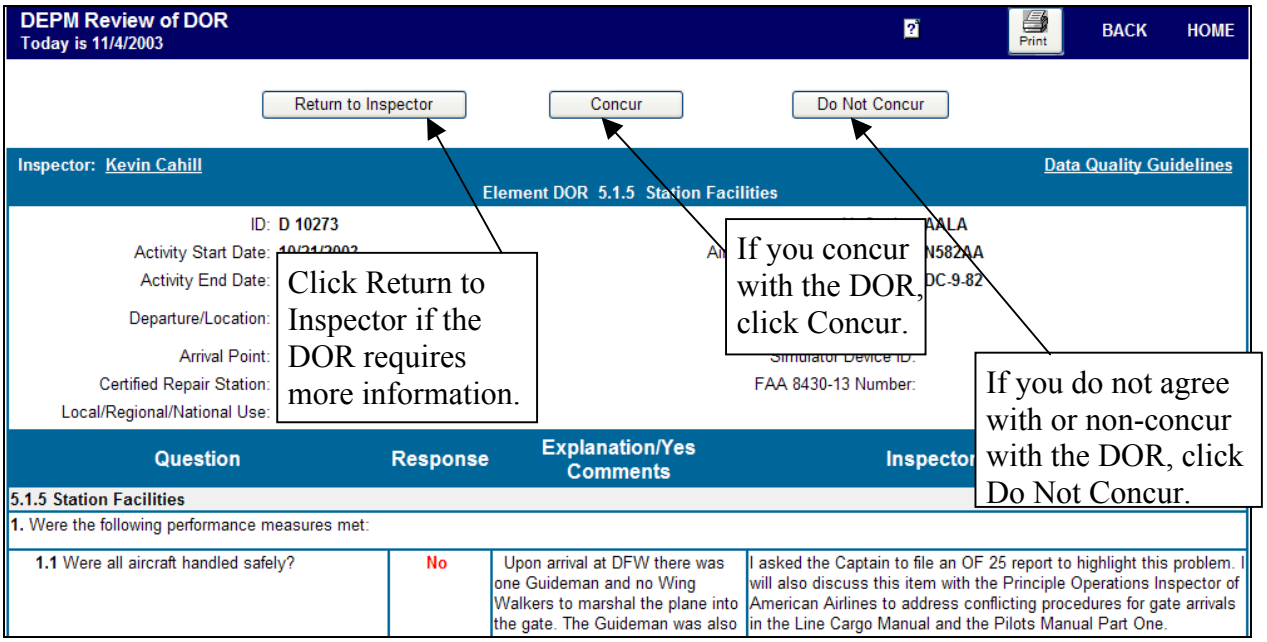


Figure 8-52: DOR Review Screen Showing Details of a DOR (Excerpt)

8.8.1.3 Return to Inspector, Concur, and Do Not Concur Buttons

A set of buttons located on the DOR Review Screen allows the DEPM to return a DOR to the ASI, to concur with the ASI's DOR, or to not concur with the DOR.

Clicking the Concur button submits the DOR to the ATOS Data Repository.

Clicking the Do Not Concur button also submits the entire record to the ATOS Data Repository and opens the DEPM Comments window (Figure 8-53), which the DEPM uses to note his or her reasons for not concurring with the record. The non-concurred record and the DEPM Comments must be submitted at the same time. Until the PI also comments, the DOR is included in the "DEPM Non-concurrence without PI Comments Report", as described in Section 8.7.3.

Clicking the Return to Inspector button opens the DEPM Comments window (Figure 8-53), which the DEPM uses to note his or her reasons for returning the activity. After the Return to Inspector button is clicked and DEPM comments are entered, the DOR and the comments are returned to the ASI. The DEPM Review of DORs screen will reappear (Figure 8-50), but the returned record will not be listed. Once the inspector clarifies the data and returns the DOR to the DEPM, the DOR will appear on the DEPM Review of DORs screen with a status of "Returned". At that point, the DEPM again evaluates the DOR.

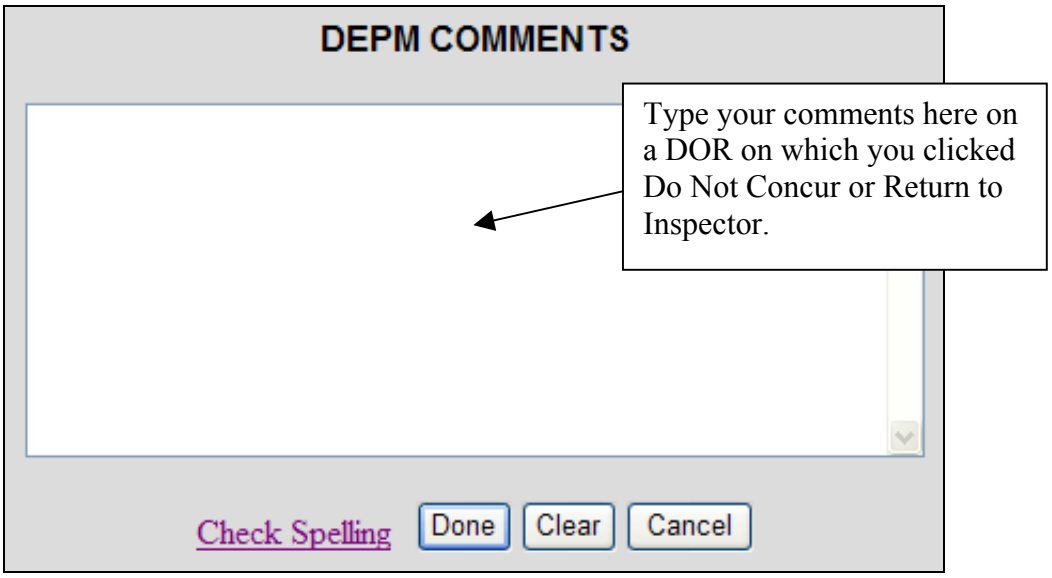


Figure 8-53: DEPM Comments Screen

9 ATOS Guidelines for Managers and Supervisors

The purpose of this document is to provide additional guidance to assist Managers and Supervisors of Aviation Safety Inspectors assigned to ATOS Certificate Management Teams (CMTs) in meeting their responsibilities. The sources for this document include the FAA Order 8400.10, Appendix 6, *Air Transportation Oversight System*, and other current ATOS guidance.

Additionally, a Flight Standards Information Bulletin for Airworthiness (FSAW), FSAW 00-03, was recently issued announcing that Appendix 6 to FAA Order 8400.10, *Air Transportation Operations Inspector's Handbook,* shall be used as interim guidance for Airworthiness Inspectors.

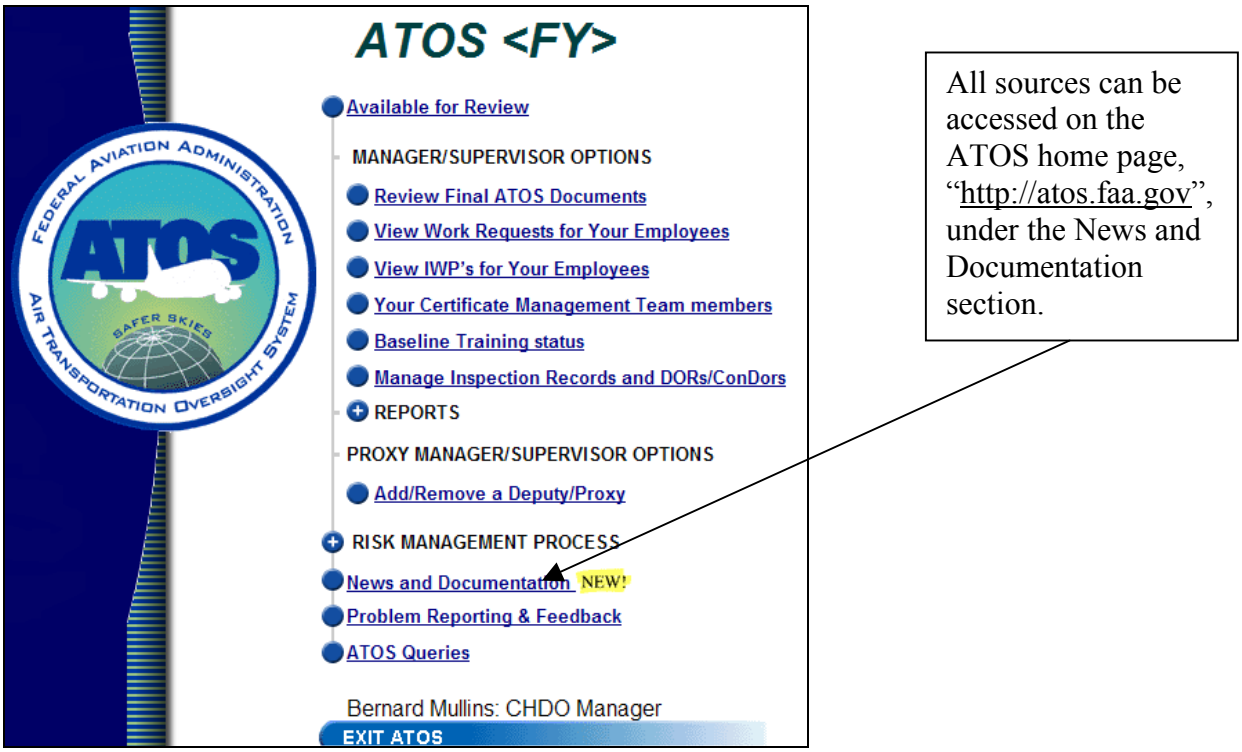


Figure 9-1: Manager/Supervisor ATOS Home Page

9.1 Background

Effective October 1, 1998, the Air Transportation Oversight System (ATOS) was implemented for the ten major air carriers. Since that date, surveillance for those air carriers has been conducted in accordance with the ATOS Policies and Procedures Appendix to Order 8400.10, Air Transportation Inspectors Handbook.

Managers and Supervisors should ensure that Inspectors, who are not assigned to ATOS CMTs, are no longer performing any surveillance activities on ATOS carriers. The ten air carriers are AALA, ASAA, AWXA, CALA, DALA, NWAA, SWAA, TWAA, UALA, and USAA. The one exception is non-CMT Inspectors who are conducting cockpit or cabin en routes on an ATOS air carrier shall report those activities in PTRS using the appropriate activity code for their specialty.

If an Inspector observes a condition or situation that requires immediate attention on an ATOS carrier to which they are not assigned, that Inspector is still authorized and obligated to take whatever action is deemed appropriate to ensure safety. All Inspectors should contact the appropriate CMO or CHDO as soon as possible whenever there is any situation requiring immediate action or where an unsafe condition exists.

9.2 Responsibilities of Managers and Supervisors

Order 8400.10, Appendix 6, *ATOS Policies and Procedures*, describes the responsibilities for Managers and Supervisors of Geographic Inspectors assigned to ATOS Certificate Management Teams.

Among these are (refer to Figures 9-1 and 9-2):

- Managers and Supervisors are responsible for ensuring that inspectors who are assigned to ATOS CMTs conduct surveillance activities in accordance with the ATOS Policies and Procedures.
- Managers and Supervisors have management responsibility for oversight of inspectors assigned to CMTs.
- FSDO Managers and Supervisors are responsible for working with the CHDO to support CMT activities.
- Managers and Supervisors review Inspector Work Programs and identify any resource concerns.
- Managers must request additional resources, as needed, to accomplish the CMTs comprehensive surveillance plan.
- Managers and Supervisors must ensure that inspectors have the required flexibility in their work schedules and geographic areas of operation to support the CMT.
- Managers and Supervisors are responsible for identifying and requesting baseline training and for requesting other programmed training as identified by the CMT for assigned Geographic Inspectors.

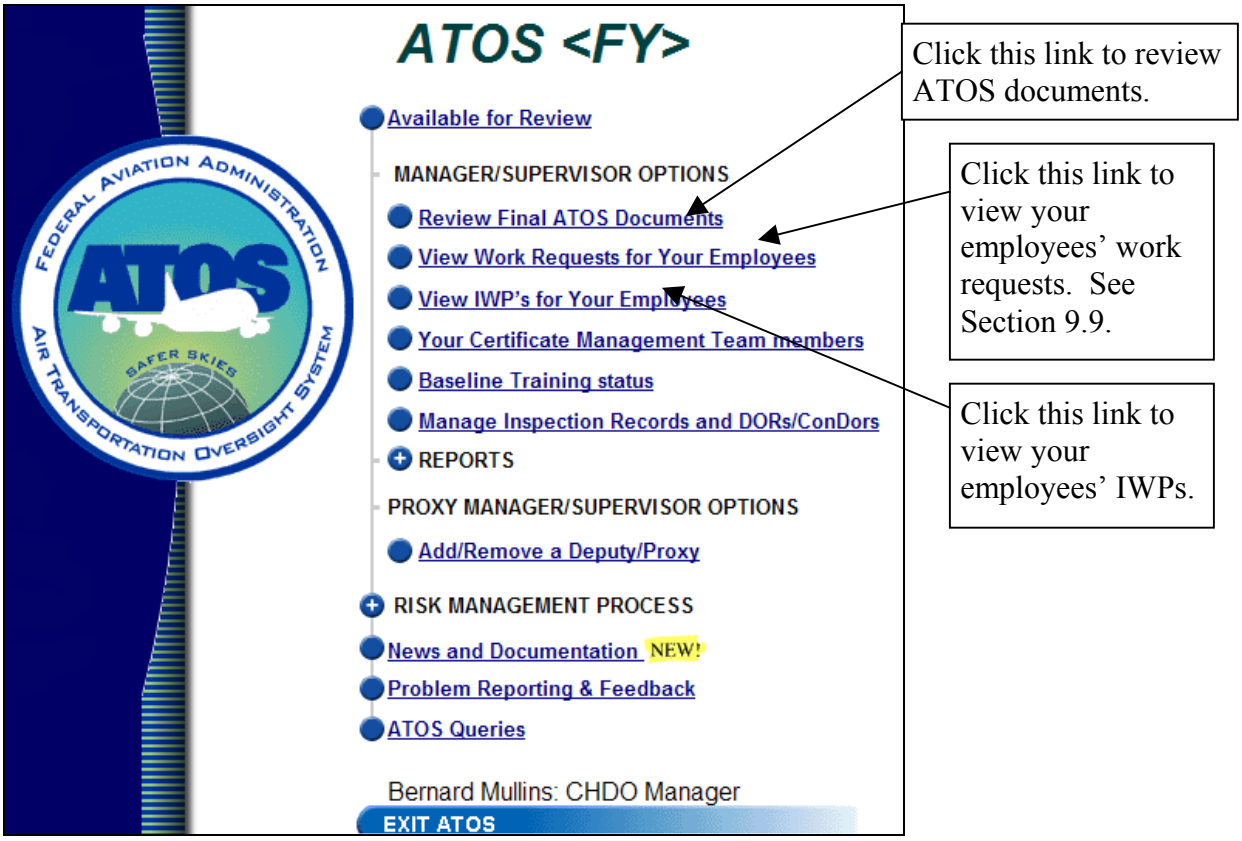


Figure 9-2: Manager/Supervisor ATOS Home Page

9.2.1 ATOS Certificate Management Teams (CMTs)

The ATOS Certificate Management Teams are comprised of all of the people assigned to the air carrier, both in the certificate management office or unit and in other Flight Standard Service field offices. This includes:

- Principal Inspectors for each specialty (POI, PAI, PMI)
- Cabin Safety Inspector (CSI)
- Other CHDO/CMU inspectors (ASI)
- Geographic Inspectors (ASI-G) or RSIs (Remote Sited Inspectors)
- Data Evaluation Program Manager (DEPM)
- Operations Research Analyst (ORA)
- Support personnel (ASA and AST)

Note: The CMT could also have a member from the Certification and Standardization Evaluation Team (CSET) if the air carrier certificate was issued for less than 5 years.

9.3 Baseline Training

Order 8400.10 Appendix 6 states that all inspectors assigned to a CMT must meet the basic qualifications for an air carrier inspector position. An individual may be assigned to a CMT prior to receiving baseline training, however, CMT members cannot be assigned ATOS surveillance functions until they have completed baseline training.

Baseline Training includes:

- All courses of all phases of the initial indoctrination training string for the air carrier inspector's specialty
- ATOS Training Course 21429
- Air Carrier specific training conducted by the CHDO

It is the responsibility of the employee's Manager to request baseline training for new CMT members and to ensure they are qualified before assigning ATOS surveillance functions. A link to Baseline Training Status is available from the Manager's home page.

Inspectors are listed on the CMT roster upon assignment to a CMT. It is the PI's responsibility to ensure they receive the baseline training before they are assigned to do inspections.

9.4 ATOS Surveillance Work Plans

In accordance with Order 8400.10, Appendix 6, each CMT holds an annual surveillance-planning meeting attended by all team members. The ATOS Comprehensive Surveillance Plan is developed by the CMT based on a risk assessment of the air carrier.

An important control built into ATOS is that no one can change the planned inspections in the CSP due to a lack of resources. In other words, in ATOS the surveillance plan is developed first, and then a determination is made regarding the staffing required to complete the plan. Work is assigned to an individual CMT member, not to the geographic FSDO. Only the Principal Inspectors can redirect work requests from one CMT member to another or identify that a Resource is Not Available (RNA).

Managers are responsible for ensuring that Inspectors attend any surveillance planning and retargeting meetings necessary to support the surveillance planning process.

9.5 ATOS Inspections (SAIs and EPIs)

ATOS takes a system safety approach to surveillance and focuses on air carrier systems, sub-systems, and elements. *Elements* are typically air carrier programs or functions that the air carrier performs. Some examples of elements are Airworthiness Release or Logbook Entry, AD Management, Fueling, Flight Deck Procedures, Exit Seating Program, and Use of Approved Areas, Routes, and Airports. Elements do not correlate with the work unit activity codes that are used under NPG work plans, since they do not describe the activities that Inspectors perform.

ATOS is neither a reporting system designed to track Inspector activities nor a substitute for PTRS. It is a surveillance system that collects observations made by Inspectors while they perform inspection activities. **PTRS is still used to report activities other than surveillance.** Detailed job aids are used for every ATOS inspection and are available on the ATOS home page, via the News and Documentation link to Data Collection Tools. A portion of an EPI job aid is shown as Figure 9-3.

EPI SECTION 1 – PERFORMANCE OBSERVABLES	
Objective: (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Chief Inspector.	
Tasks	
To meet this objective, the inspector must accomplish the following tasks (at the inspection locations where applicable):	
1 Review the information listed in the Supplemental Information Section of this data collection tool.	
2 Review the policies, qualifications, duties, responsibilities and the authority granted to the Chief Inspector (or equivalent) contained in the Certificate Holder's manual.	
3 Interview the individual serving as the Chief Inspector (or equivalent).	
Questions	
To meet this objective, the inspector must answer the following questions:	
1. Were the following Performance Measures met:	
1.1 Is the Chief Inspector (or equivalent) position currently occupied by the individual identified in Operations Specifications paragraph A006? SRRs: 119.65(a)(5) *Related performance JTIs:* • Check at the certificate holders specified location that they have a full time CI (or equivalent position) who is listed as the DOM in paragraph A006 of the operations specifications, is still in the position. *Sources:* 119.65(a)(5)	☐ Yes ☐ No, Explain Name/Title:
1.2 Does the Chief Inspector (or equivalent) meet the qualifications as stated in the Certificate Holder's manual? SRRs: 119.67(c) *Related performance JTIs:* • Check at the FAA location that the person listed as the CI in paragraph A006 of the operations specifications, holds a mechanics certificate with airframe and powerplant ratings that is valid. (A certificate check via SPAS, ISIS and EIS system) *Sources:* 119.67(c)	☐ Yes ☐ No, Explain

ATOS Job aids are not checklists of activities to perform. They list a series of questions that the Inspector or team of Inspectors must respond to based on the observations they make while performing surveillance

Figure 9-3: Excerpt of a Sample EPI Job Aid

Most ATOS inspections require extensive planning and research by the Inspector. Therefore, it is not uncommon to find an inspector sitting at his or her desk studying documents. Besides reviewing the job aids to determine what observations are needed to answer each question, inspectors also need to know the applicable regulations and FAA guidance for each element and must be intimately familiar with the air carrier's operations specifications, manuals, and training programs.

9.5.1 Conducting SAI and EPI Activities

There are two types of ATOS inspections in Comprehensive Surveillance Plans:

- Safety Attribute Inspections (SAIs)
- Element Performance Inspections (EPIs)

Comprehensive Surveillance Plans may be accessed from the Available for Review link on the home page.

Safety Attribute Inspections (SAIs)—A portion of an SAI Plan is shown as Figure 9-4. SAIs are team inspections that are similar in some ways to a focused NASIP. During the course of conducting an SAI, the team determines how the air carrier performs certain functions or processes. The purpose of an SAI is to evaluate the air carrier's systems for compliance with all applicable regulations and determining if the certain safety attributes are incorporated in the carrier's systems.

COMPREHENSIVE SURVEILLANCE PLAN: ABC Airlines (Airworthiness) Query SPAS SAI Menu

Instructions

SAFETY ATTRIBUTE INSPECTION (SAI)

Air Carrier: ABC Airlines (ABCA) Carrier Complexity : 1

Elements	Initial Plan SAIs	Current Plan SAIs	Completed SAIs	Remaining SAIs	Inspector ID	Record IDs	NOTES	SELECTED
Aircraft Configuration Control								
1.1 Aircraft				SAI Priority:				
1.1.1 Aircraft Airworthiness 1.0 Tool	2	2	0	2		S110101 S110102		☑
1.1.2 Appropriate Operational Equipment 1.0 Tool	1	1	0	1		S110201		☑
1.1.3 Special Flight Permits 1.0 Tool	0	0	0	0				☑
1.2 Records and Reporting Systems				SAI Priority:				
1.2.1 Airworthiness Release / Logbook Entry 1.X Tool	0	0	0	0				☑
1.2.2 Major Repairs and Alterations Records 1.0 Tool	0	0	0	0				☑
1.2.3 Maintenance Log / Recording Requirements 1.0 Tool	0	0	0	0				☑
1.2.4 MIS Reports 1.X Tool	0	0	0	0				☑
1.2.5 Mechanical Reliability Reports (MRR) 1.0 Tool	0	0	0	0				☑
1.2.6 Aircraft Listing 1.0 Tool	0	0	0	0				☑

Figure 9-4: SAI Plan for Aircraft Configuration Control (top portion only)

Safety attributes include clearly defined responsibility and authority, documented procedures, internal audits of processes, controls to help ensure procedures are followed, and recognition of the interrelationships between the air carrier's programs. A team coordinator (TC) is assigned to each safety attribute inspection.

Element Performance Inspections (EPI)—A portion of an EPI Plan is shown as Figure 9-5. EPIs are conducted by individual Inspectors and focus on determining if the air carrier's function or process is being performed as documented by the air carrier and if it is accomplishing what it was designed to do in accordance with all applicable regulations. The purpose of an EPI is to find out if an air carrier adheres to its written procedures and controls for each system element and if the established performance measures for each system element are met.

COMPREHENSIVE SURVEILLANCE PLAN: ABC Airlines (Airworthiness) Query SPAS **EPI Menu**

Instructions

ELEMENT PERFORMANCE INSPECTION (EPI)
Air Carrier: **ABC Airlines (ABCA)** Carrier Complexity : **1**

Elements	EPI Frequency Baseline	Assessment Value	EPI Minimum Frequency	Initial Plan EPIs	Current Plan EPIs	Completed EPIs	Remaining EPIs	Inspector ID	Record IDs	NOTES	SELECTED
Aircraft Configuration Control											
1.1 Aircraft											
1.1.1 Aircraft Airworthiness 1.0 Tool	Quarterly	-1	Semi-Annual	2	2	0	2		E110102 E110104		☑
1.1.2 Appropriate Operational Equipment 1.0 Tool	Semi-Annual	-1	Annual	1	1	0	1		E110201		☑
1.1.3 Special Flight Permits 1.0 Tool	Quarterly	-1	Semi-Annual	2	2	0	2		E110301 E110302		☑
1.2 Records and Reporting Systems											
1.2.1 Airworthiness Release / Logbook Entry 1.X Tool	Quarterly	-1	Semi-Annual	3	3	0	3		E120101 E120102 E120103		☑
1.2.2 Major Repairs and Alterations Records 1.0 Tool	Semi-Annual	-1	Annual	1	1	0	1		E120201		☑
1.2.3 Maintenance Log / Recording Requirements 1.0 Tool	Quarterly	-1	Semi-Annual	1	1	0	1		E120302		☑
1.2.4 MIS Reports 1.X Tool	Annual	-1	Annual	1	1	0	1		E120401		☑

Figure 9-5: EPI Plan for Aircraft Configuration Control (top portion only)

Both SAIs and EPIs are much more comprehensive than surveillance activities under NPG work plans and take considerably more time and effort to complete. For each assigned SAI or EPI, the inspector uses his or her planning and judgment to select the number, type, and location of surveillance activities. It generally takes at least 5 to 10 or more activities to complete an inspection. For this reason, the Inspector Work Programs have fewer items than Managers and Supervisors are accustomed to seeing on NPG work programs. The assignment of 10 to 15 EPIs and 1 to 5 SAIs would be a reasonable Work Plan for an average Geographic Inspector.

Updating Instructions on Final Released SAIs and EPIs—PIs can change, delete, or add more instructions to any final, released SAI or EPI. The procedure for modifying instructions is the same for both SAIs and EPIs. The following explanation demonstrates how to update the instructions for an element in an SAI Plan.

To access a final released SAI or EPI, select the appropriate link under the Comprehensive Surveillance Plan on the ATOS home page. A high-level view of the plan appears in a new browser window (Figure 9-6).

COMPREHENSIVE SURVEILLANCE PLAN: ABC Airlines (Operations) Query SPAS **HOME**

View Risk Assessment
Changes from version **1** to **2**

AIR CARRIER SYSTEMS: **Operations**

1.0 AIRCRAFT CONFIGURATION CONTROL
SAI Safety Attribute Inspection

2.0 MANUALS
SAI Safety Attribute Inspection

3.0 FLIGHT OPERATIONS
SAI Safety Attribute Inspection

4.0 PERSONNEL TRAINING AND QUALIFICATIONS
SAI Safety Attribute Inspection

5.0 ROUTE STRUCTURES
SAI Safety Attribute Inspection

6.0 AIRMAN AND CREWMEMBER FLIGHT, REST AND DUTY TIME
SAI Safety Attribute Inspection

7.0 TECHNICAL ADMINISTRATION
SAI Safety Attribute Inspection

Last Saved: **8/14/2003** (by atosHLP1) Status: **Final, Released**

View SAI Report | DEPM Non-concurrence | PI Response Requested | PI Response to NO's

Figure 9-6: SAI Plan Screen

Select the appropriate system on the SAI Plan screen to access the screen that displays the possible sub-systems and elements in the plan (Figure 9-7).

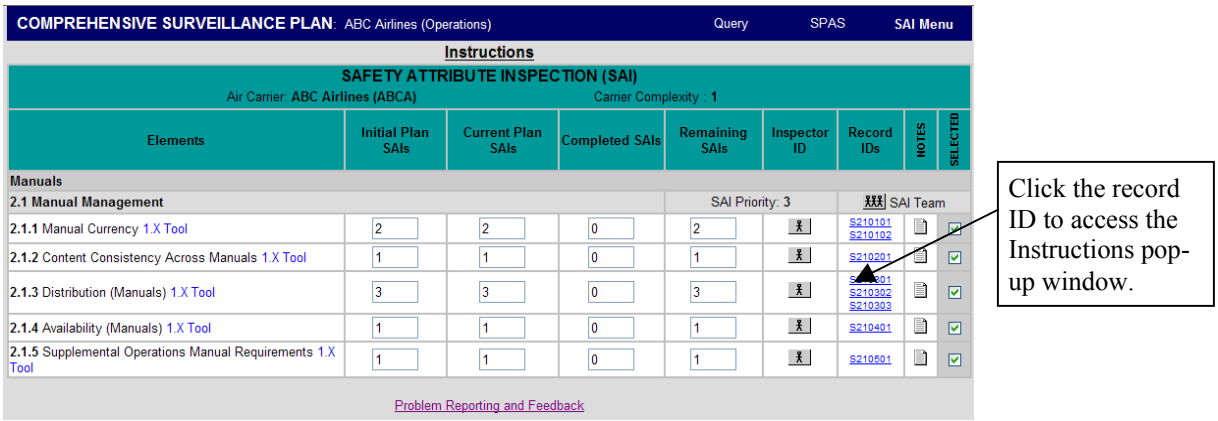


Figure 9-7: Final, Released SAI Plan Showing Elements or Sub-systems Being Inspected

To change the instructions for one of the sub-systems or elements included in the inspection, select the record ID link (Figure 9-7). The Instructions pop-up window (Figure 9-8) appears.

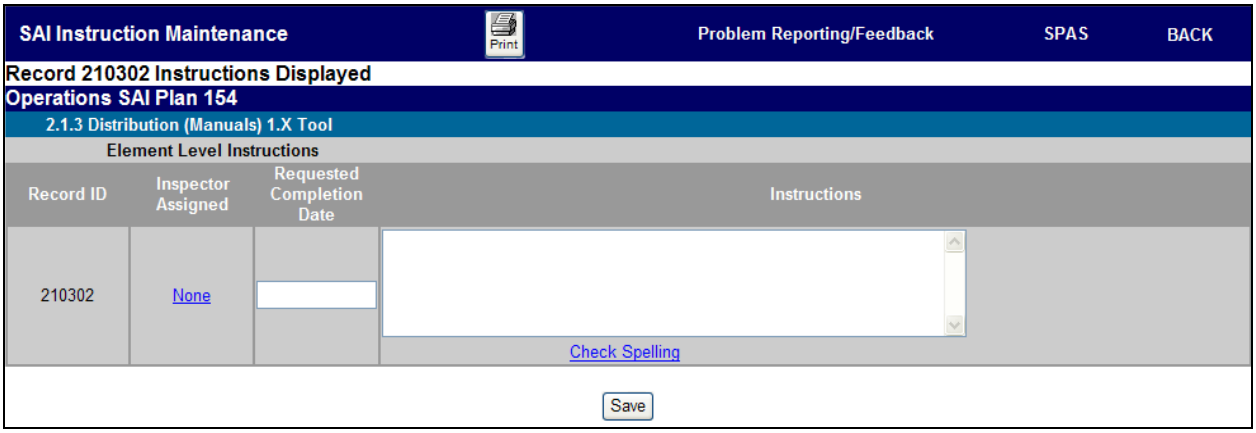


Figure 9-8: Instructions Pop-up Window

In the **Instructions** box, scroll to the end. Click inside the box and then press Enter. At this point, you can add more instructions simply by typing them to the end of the previous instructions.

9.5.2 Review of Open EPI / SAI Records

The ATOS Home Pages for Managers, Supervisors, and supervisory Principal Inspectors each have a link to **View Work Requests for Your Employees**. Figure 9-9 shows the link on the Home Page of a Manager.

Figure 9-9: Manager's ATOS Home Page

The View Work Requests for Your Employees link will open the "Inspector Work Requests" panel where you may specify an employee from a drop-down menu. Clicking on an employee's name fills the space below with a unified view of the *number* of the employee's EPIs, SAIs, ConDORs, RMPs, and (RMP) Action Items, in various phases of completion. An illustration of this overview is provided as Figure 9-10.

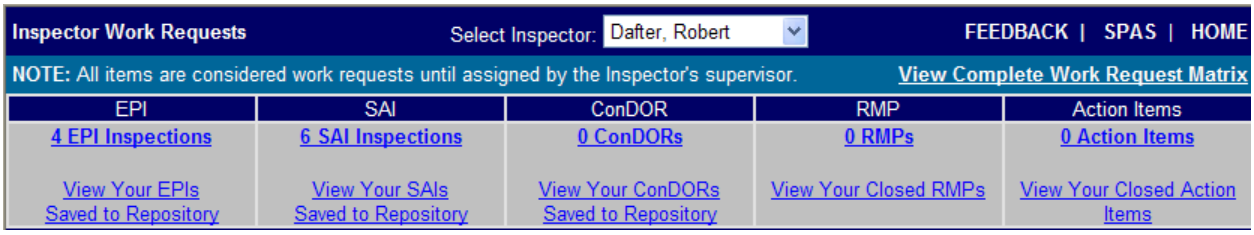


Figure 9-10: View of Employee's Work Requests

The individual inspections shown when you click on, for example, 4 EPI Inspections, will include open records saved to Draft, and those saved to Final, but not yet saved to the ATOS Data Repository. Open records may be reviewed in the same manner as those already saved to Final. Please see Section 9.7, View Work Requests.

9.6 Inspector Work Programs

On completion of the Comprehensive Surveillance Plan (CSP), the PI generates Inspector Work Programs (IWPs) based on the CSP. The IWPs are provided to the appropriate employee's CHDO Manager or FSDO Manager. The Inspector's Manager then reviews the IWP to determine if the resources to support it are available and adequate and then indicates their concurrence or non-concurrence.

The process of compiling, sending, and responding to the IWP has been automated. This function can be used whenever inspector work assignments are developed, including during new CSP creation, when PIs change Inspector Assignments in Final, Released plans and during CSP Retargeting. The PI can use either the automated IWP function or follow a manual process.

CHDO Managers acknowledge new CSPs by clicking a button on the Draft CSP, which must be done before the new plans can be released and become the active plans for surveillance.

Managers and Supervisors receive an automatically generated e-mail from ATOS automation, ATOS@atos.faa.gov, informing them that they have Inspectors who have been identified for work assignments on an ATOS Surveillance Plan. The e-mail instructs them to access the ATOS web site—http://atos.faa.gov—to view and approve the Inspector Work Program (IWP) request. It is imperative that the Managers review the IWP requests and indicate their concurrence or non-concurrence as soon as possible, since the Inspectors cannot perform surveillance functions until the work has been assigned.

Report views in the ATOS Automation include the CSP version number and date in the CSP Completion Query report, Manager/Supervisor tool, Principal Inspector tool, and Inspector Assignment Query report. Version number and date is also included in the banner sections of query results.

By selecting the View IWPs for Your Employees link, the "Inspector Work Programs" window is opened where you may choose an employee's name from the drop-down list. That employees EPI, SAI, ConDOR, RMP, and RMP Action Item requests are displayed as illustrated in Figure 9-11.

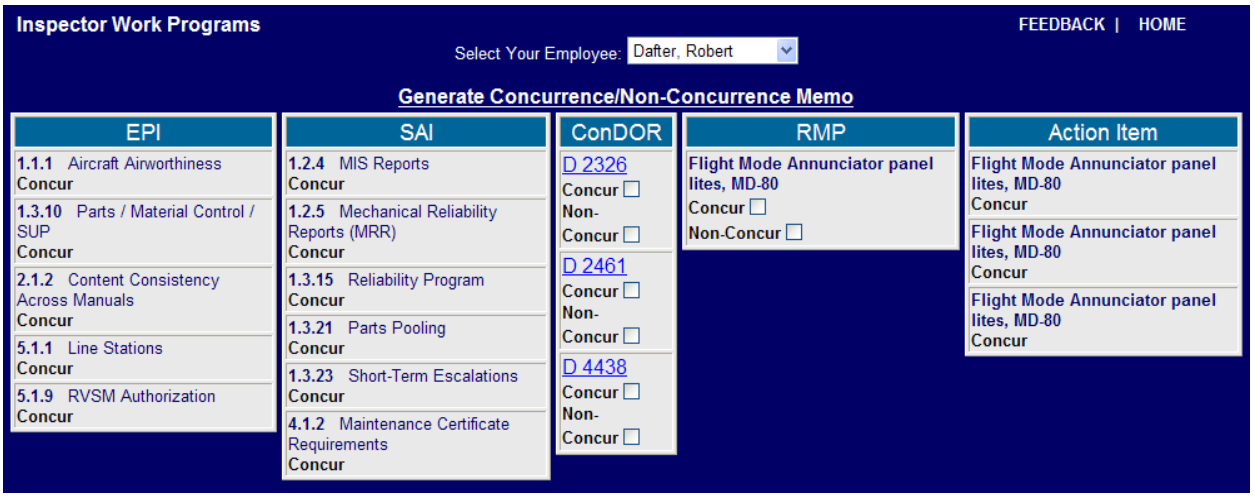


Figure 9-11: Inspector Work Programs

It is critical that the Managers review the work requests and indicate their response as soon as possible, since the Inspectors cannot perform surveillance functions until the work has been assigned. Please see further detail in Chapter 7, Inspector Work Program (IWP) Instructions for Managers and Principal Inspectors.

9.7 View Work Requests

The View Work Requests for your Employees link on the ATOS home page provides Managers and Supervisors with a listing of assignments for each CMT member who reports to them. The View Work Requests for Your Employees link visible on Manager's ATOS home page (Figure 9-12) is used to access the current work assignments of your employees.

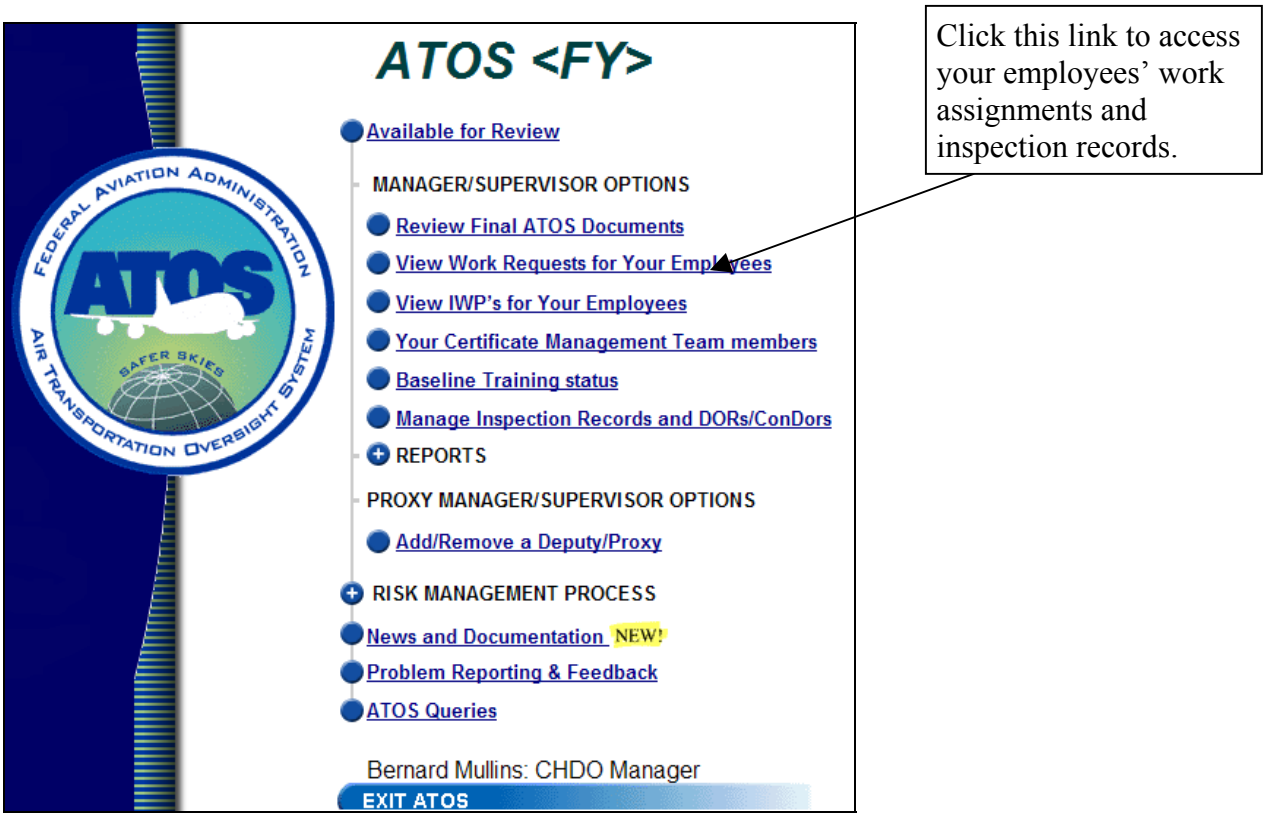


Figure 9-12: Manager/Supervisor ATOS Home Page

Clicking on the View Work Requests for Your Employees link opens a panel from which an Inspector's name may be chosen from a drop-down list. Clicking on an employee's name fills the space below with a unified view of the *number* of the employee's EPIs, SAIs, ConDORs, RMPs, and (RMP) Action Items, in various phases of completion. An illustration of this overview is provided as Figure 9-13.

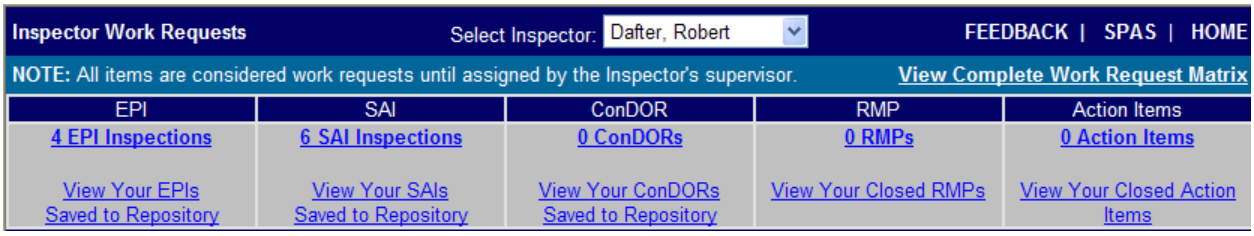


Figure 9-13: Inspector Work Requests Overview

9.7.1 Individual Activity Work Request Screens

The Inspector Work Requests screen (Figure 9-13) lists the number of current work assignments for the employee you have specified. Clicking on, for example, 4 EPI Inspections, will provide a breakdown, by element, of each inspection activity, as illustrated in Figure 9-14. Click on an activity number to access the individual activity screens.

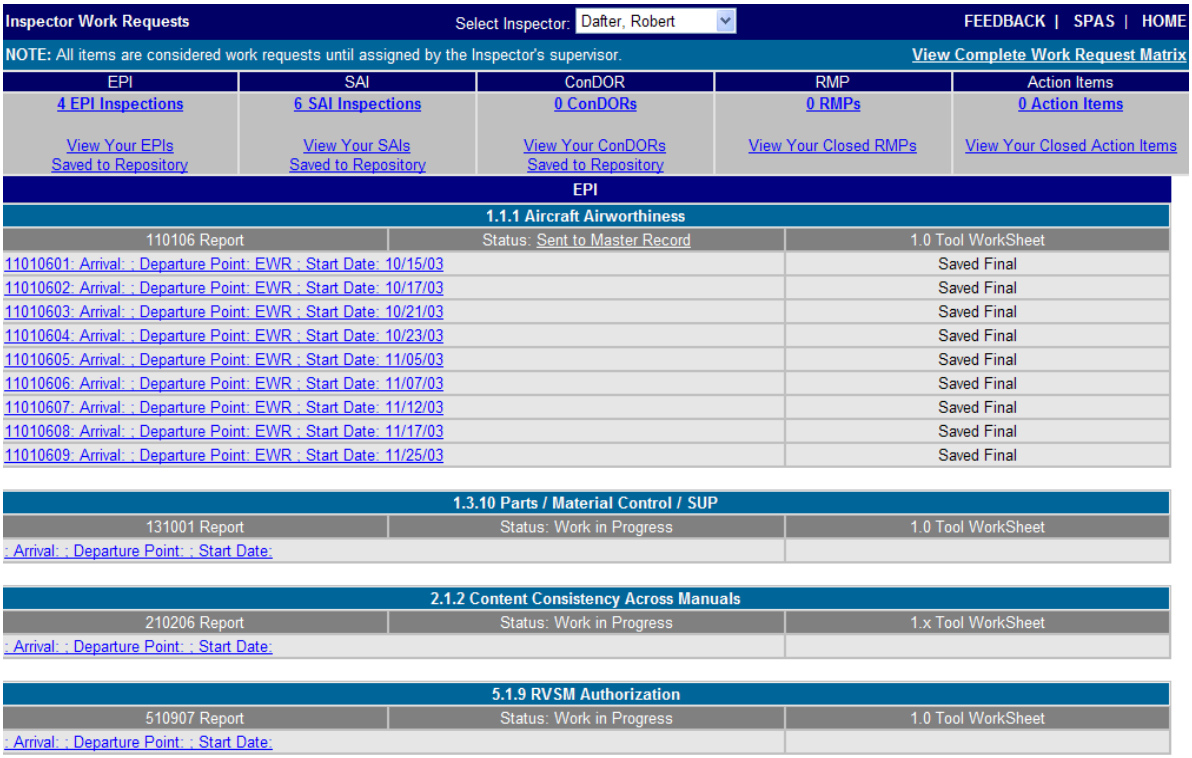


Figure 9-14: Expanded EPI Section of Inspector's Work Requests

Inspections for which an employee has been identified remain "Work Requests" until they are reviewed and assigned by the employee's Manager and Supervisor. Order 8400.10, Appendix 6, contains detailed instructions in the event the employee's Manager determines that the Inspector Work Program cannot be supported.

9.7.2 Management Oversight of Inspector Work Program Accomplishments

Managers and Supervisors can view inspection records and activity reports submitted by their employees. Although an assigned inspection may take anywhere from 30 to 90 days to complete, each individual activity is reported separately and is generally started and completed on the same day. Managers and Supervisors should discuss with their employees any inspections that are not completed within 90 days.

Principal Inspectors may provide specific instructions for assigned inspections. These instructions allow the Principals to prioritize inspections and set timelines for starting and completing the activities by certain dates and at appropriate locations. Selecting the Instructions icon for a particular record can access these instructions.

9.7.3 Example of PI Instructions for an EPI

"Conduct the activities for this EPI in the following locations: CLE, ORD, and any other locations within your region where the carrier performs service checks, A checks, B checks, LPV, and segmented A & D checks. The intent is to observe maintenance being performed and review the aircraft records (i.e., logbook, taskcards, EAs, EC/RAs, AWR) to determine the airworthiness of carrier's aircraft. A portion of the surveillance should be planned on the aircraft in Maintenance/Inspection at CLE. The carrier frequently schedules segmented A&D checks on their overnight narrow-body fleet in one overnight. At least 25% of the activities should be performed at times other than your normal duty day."

Managers and Supervisors can assist the Principal Inspectors in managing the CSP by monitoring their employee's adherence to the PI's instructions. The Principal's instructions set minimum requirements for the inspection activities but do not limit an Inspector's authority to extend the inspection activities to other locations. The Inspector makes the final determination on how many and what specific types of activities he or she conducts in order to complete the assigned inspection.

9.7.4 Manager/Supervisor Review of SAI and EPI Activity Reports

Managers can view (but not edit) their employees' current Draft and Final SAI and EPI Activity Reports. Once the SAI or EPI section is expanded on the "Inspectors Work Requests" page, links are provided to view the individual activity reports. The Activity link will open the Common Data section of the chosen activity.

Clicking the Report View link in the upper right corner of the SAI or EPI Common Data screen (Figures 9-16 and 9-18) accesses the SAI or EPI Activity Report Details screen. Figure 9-15 is an example of Activity Report Details for an SAI Record.

SAFETY ATTRIBUTE INSPECTION (SAI) ACTIVITY REPORT | Create DOR | Query | SPAS | Problem Reporting & Feedback | Activity Home

SAI Record ID: 710201 SAI Activity ID: 71020101

START DATE: 10/21/2003 DEPART POINT/LOC.: STL MAKE/MODEL/SERIES:
END DATE: 10/21/2003 ARRIVAL POINT: AIRCRAFT REG. NO:
CERTIFIED REPAIR STATION NUMBER: FLIGHT NO: SIM. DEVICE: /

7.1.2 Chief Inspector 1.X Tool Summary

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder's Chief Inspector position meets all applicable CFR regulatory requirements and FAA policy / guidance material.
- To determine if the Certificate Holder's Chief Inspector position incorporates the System Safety Attributes.
- To identify any shortfalls in the Certificate Holder's Chief Inspector position.

SAI SECTION 1 - PROCEDURES ATTRIBUTE Tasks

Objective: Procedures, instructions and information contained in Certificate Holder's manual are documented meth
the Certificate Holder's manual should establish the Certificate Holder's compliance posture. Policies may not be s
procedures, instructions or information regarding a particular regulatory requirement. The questions in this section c
inspector in determining if the Certificate Holder's manual has documented or prescribed methods of accomplishing
associated who, what, when, where and how type questions. This section of the data collection tool contains policy
informational questions pertaining to various types of Certificate Holder requirements such as actions, prohibitions c
technical data, etc.).

Inspector explanations are required for all "No" and "Not Applicable (N/A)" responses.

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 Chief Inspector (or equivalent) (see below):

1.1 Does the Certificate Holder's manual contain a general policy on staffing the Chief Inspector (or equivalent) position, that complies with the specific regulatory requirements? ☐ Yes ☑ No

Revisions are in process, but are incomplete as of this inspection date.

Check Spelling

ACT YES SRR JTI

6. Procedures, policy or instructions and information unclear or incomplete.
10. Resource requirements incomplete (personnel, facilities, equipment, technical data).
Edit Selected Values

Figure 9-15: SAI Activity Report Details (Excerpt) with Explanation of "No" Response

The SAI and EPI Activity Report Details screens display the entire activity report, including the full text of all Inspector created comments and explanations. The Inspector is required to enter explanations to "No" and "N/A" responses. Explanations must be written in complete sentences, with proper spelling and punctuation. They should include the who, what, where, when, why and how to explain why the "No" or "N/A" response was selected for that observation.

View SAI Inspection Report

Selecting an SAI activity link accesses the SAI Common Data Field screen (Figure 9-16) for that activity report.

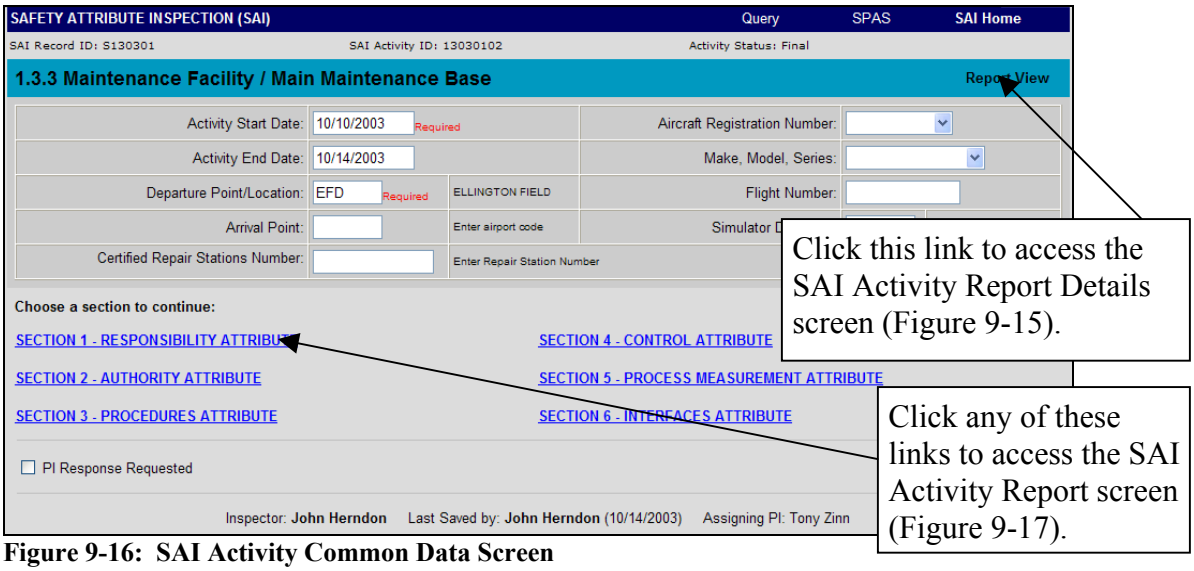


Figure 9-16: SAI Activity Common Data Screen

Clicking any one of the safety attribute section links on the lower part of the SAI Activity Common Data screen accesses the SAI Activity Report screen (Figure 9-17).

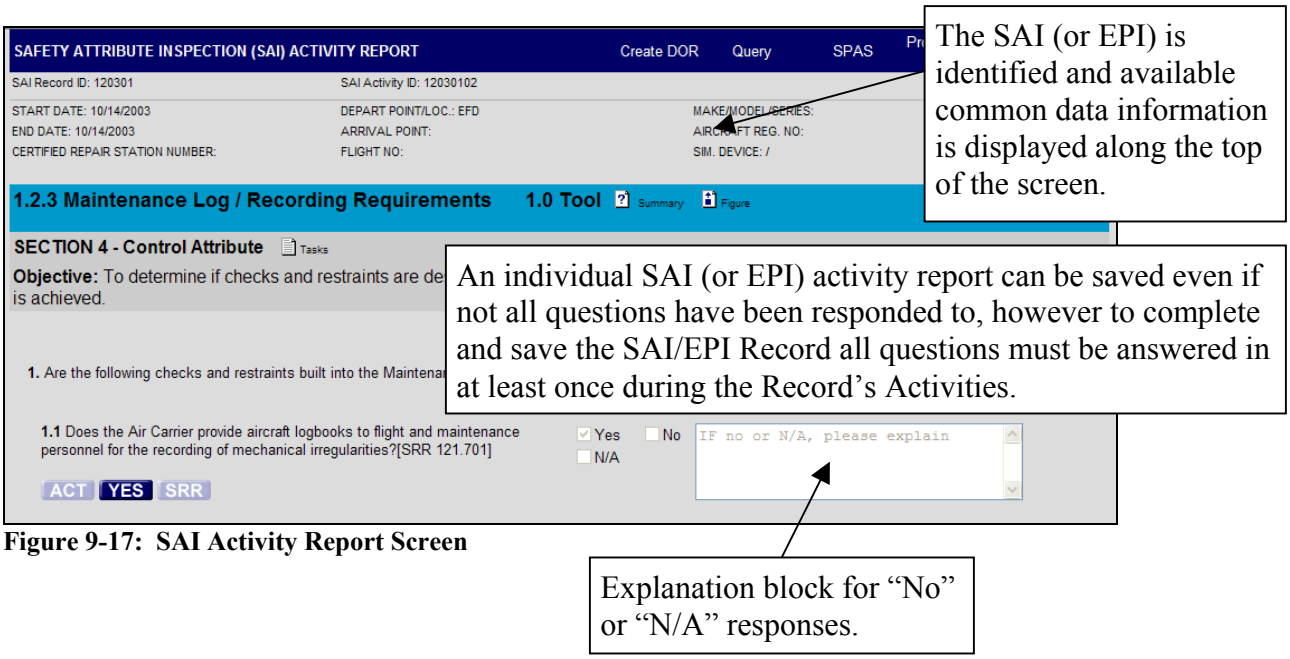


Figure 9-17: SAI Activity Report Screen

View EPI Activity Inspection Report

Selecting an EPI activity link accesses the EPI Common Data Field screen for that activity report (Figure 9-18).

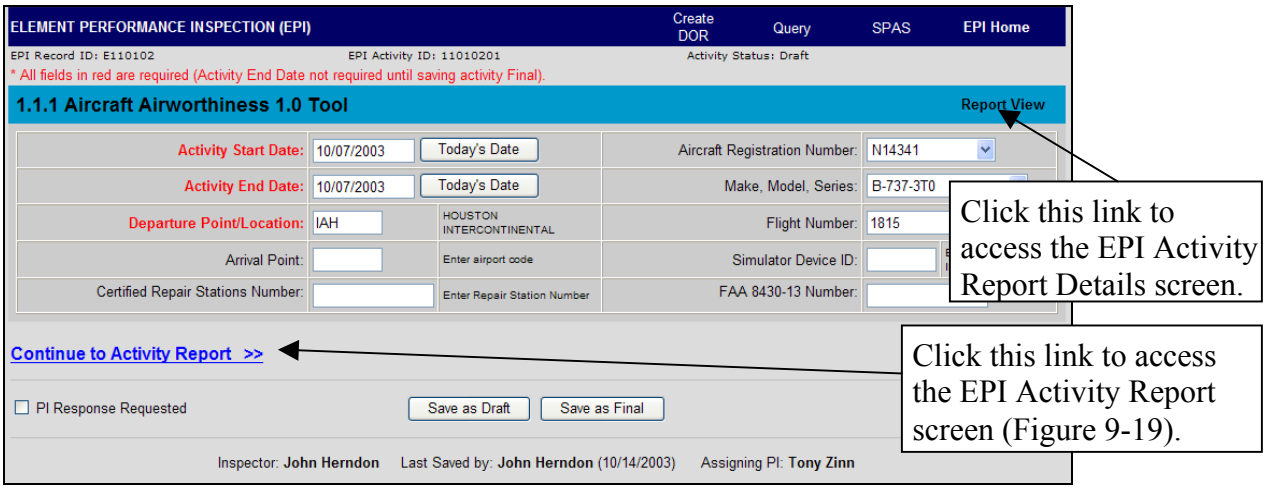


Figure 9-18: EPI Activity Common Data Screen

Clicking the single link on the lower part of the EPI Activity Common Data screen (i.e., clicking the Continue to Activity Report link) accesses the EPI Activity Report screen (Figure 9-19).

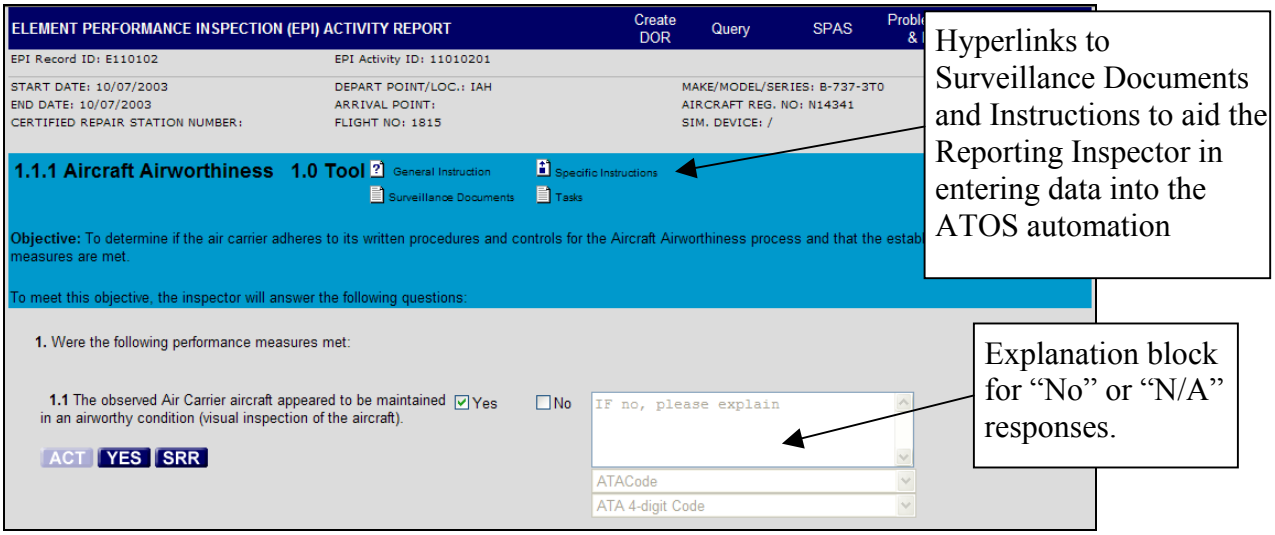


Figure 9-19: EPI Activity Report Screen (Excerpt)

Data Evaluation

Inspectors are responsible to ensure that the information that they enter into the ATOS automation system meets the *ATOS Data Quality Guidelines*. A copy of the *Data Quality Guidelines*, which include the *Data Dimensions Table and Specific Data Requirements Table*, can be found by selecting the "News and Documentation" option from the ATOS home page Archived Documents from that menu.

The *ATOS Surveillance Reporting Guidelines,* which are found in the Guidance/Guidelines section of News and Documentation, provides specific instructions for recording SAI and EPI activities.

9.8 Management of Inspection Records and DORs / ConDORs

Managers may remove records and/or activities that have not been saved to the Data Repository after the owning Inspector has been made "inactive" from the CMT by the DEPM. When records are removed that impact the baseline level of inspections within a given planning year, the system will automatically generate new records to compensate for the records that have been removed. Notification will be provided to the Manager and the applicable PI that the new records are available in the CSP EPI for making work requests and providing instructions.

An SAI record belonging to a team of Inspectors cannot be removed, only the activities owned by the individual Inspector(s) that had been removed from the CMT.

The Manage Inspection Records and DORs/ConDORs link opens the "Record / DOR / ConDOR Management" window that features a drop-down list of inactive CMT members, as illustrated in Figure 9-20.

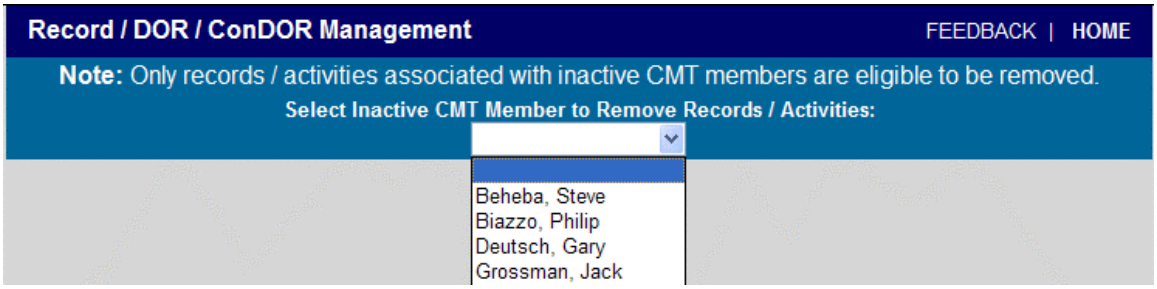


Figure 9-20: Record / DOR / ConDOR Management Window with Drop-Down List

Clicking on a name from the drop-down list opens a window, just below the panel already showing, that lists the selected Inspector's EPIs, SAIs, ConDORs, and DORs, if any. In the case illustrated in Figure 9-21, the selected Inspector has only one DOR.

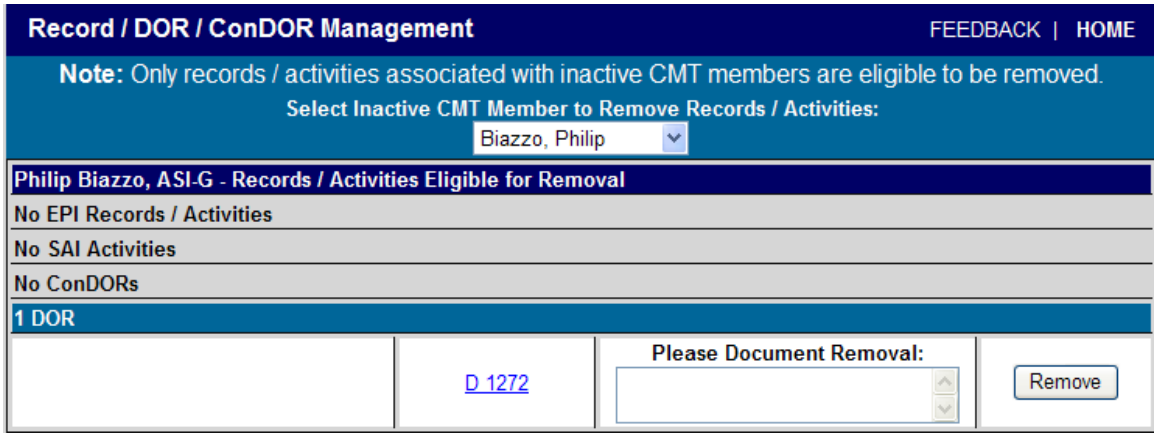


Figure 9-21: Display of Inactive Inspector's Inspections Not Saved to the Data Repository

The inspection's unique identifying number is a link, should you wish to review the contents before requesting removal. A comment must be entered prior to clicking on the **Remove** button (if not, an error message will appear as a reminder). Once you click on the **Remove** button, you will be offered a chance to verify or cancel the action, as illustrated in Figure 9-22.

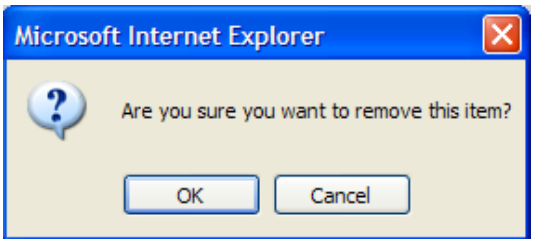


Figure 9-22: Verify Removal of an Inspection

Once you click on the **OK** button, the display of the inactive Inspector's inspections on the Record / DOR / ConDOR Management Window will be refreshed and the removed inspection will not appear.

9.9 Data Evaluation

Each CMT has a Data Evaluation Program Manager (DEPM) as one of its team members. The DEPM is responsible to review all inspection records submitted by CMT members and to check the validity, accuracy, technical relevance, and completeness of the collected data. The purpose of the evaluation is to validate the data collected through the Surveillance Implementation process and to ensure that only the highest-quality information enters the ATOS Data Repository for later analysis.

The DEPM uses the *Data Quality Guidelines and Reporting Guidelines* to determine the acceptable level of data quality during their evaluation of the SAI and EPI records. If the submitted data meets the defined Data Quality Dimensions and Specific Data Requirements, the DEPM indicates concurrence with the record and saves it to the ATOS Data Repository.

The DEPM returns to the Reporting Inspector any inspection records that do not meet the Data Dimensions or Specific Data Requirements. The DEPM coordinates with the Reporting Inspector in an effort to resolve the data quality discrepancies.

The Reporting Inspector may choose to make the requested changes and return the record to the DEPM for review. But, if after conferring with the DEPM, the Reporting Inspector still believes that the data conforms to the applicable data dimensions, the inspection record is retained in its original form. The DEPM saves the record to the ATOS Data Repository and enter a non-concurrence comment in the record explaining the reasons for non-concurrence.

One of the responsibilities, as defined in Order 8400.10, Appendix 6, of a Manager or Supervisor of a CMT member is to ensure that the employee conducts surveillance activities in accordance with the ATOS Policies and Procedures. This includes ensuring that inspections are reported in accordance with the *ATOS Data Quality* and *Data Reporting Guidelines*.

9.10 ATOS Queries

ATOS Automation has a Query function that allows users to retrieve information submitted by CMT members. All query options are available to users; however, the CSP Completion Status and the Inspector Assignments queries are particularly useful to Managers and Supervisors. These queries display the current status and inspector activity on Inspector's Work Plans for their employees. An additional query is also available that summarizes FAA Form 8430-13s that have been used during ATOS inspection activities.

To access the ATOS Query Menu, select the ATOS Queries link on the ATOS home page (Figure 9-23).

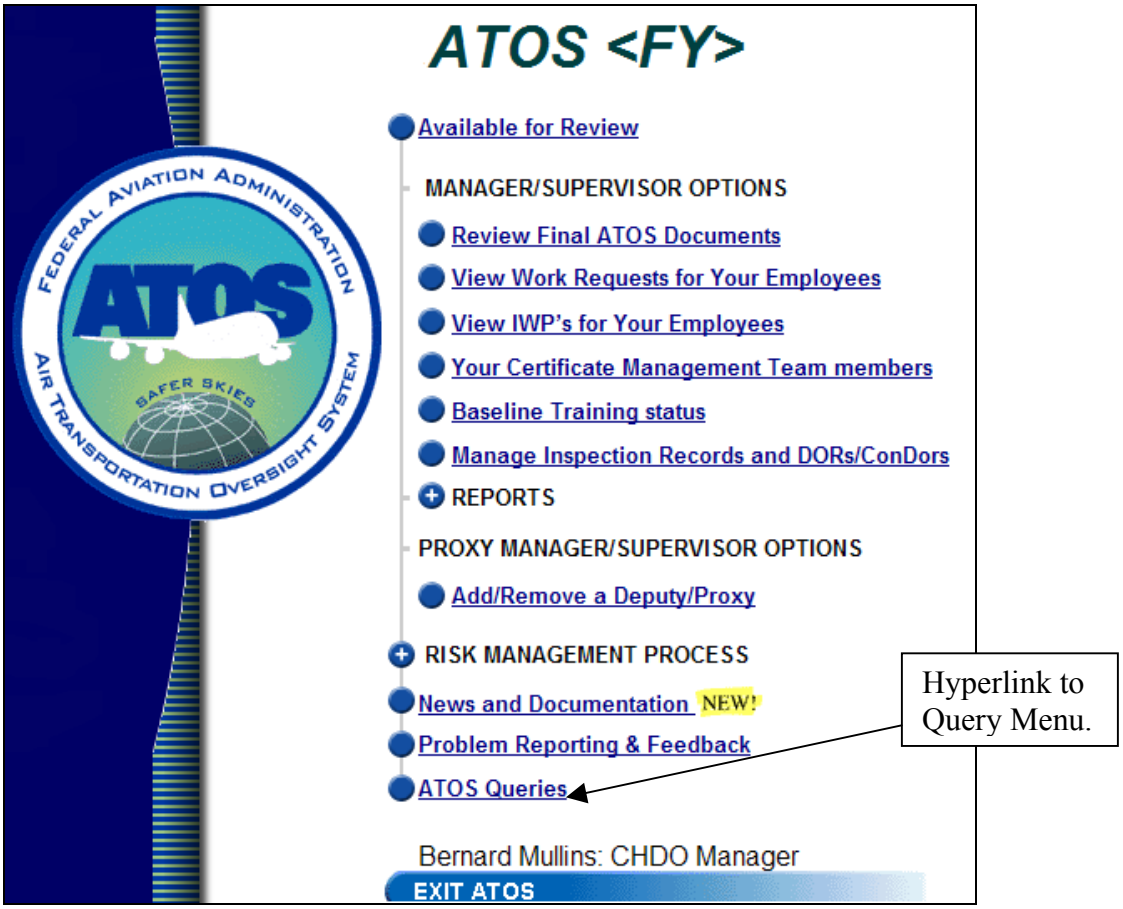


Figure 9-23: Manager/Supervisor Home Page

The Query Menu appears (Figure 9-24). This menu provides you with a choice of various query reports.

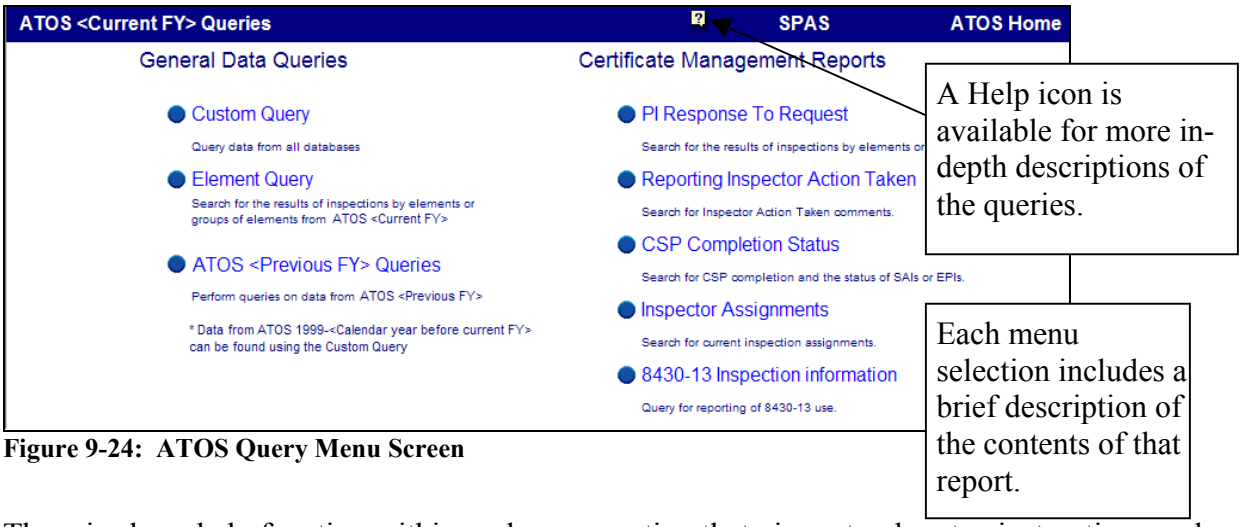


Figure 9-24: ATOS Query Menu Screen

There is also a help function within each query option that gives step-by-step instructions on how to perform the query (Figure 9-25).

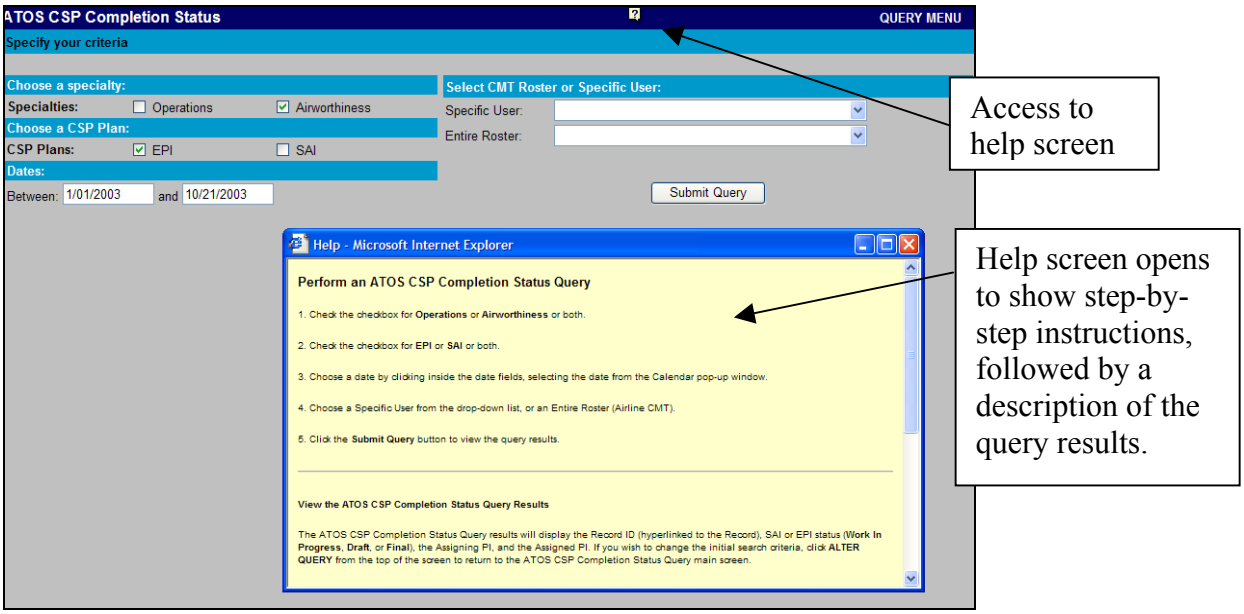


Figure 9-25: CSP Completion Status Query Screen with Help Screen Opened

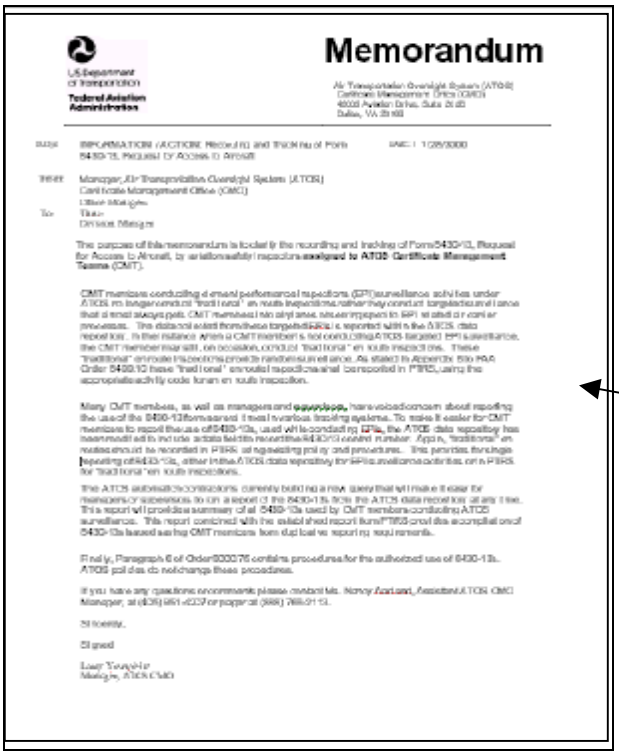
Chapter 10 of this User Guide contains in-depth guidance on query usage.

9.11 Recording and Tracking of Form 8430-13 (Request for Access to Aircraft)

When CMT Inspectors conduct ATOS surveillance activities while traveling on aircraft operated by the air carrier to which they are assigned, the data collected from these planned and targeted activities and the use of FAA Form 8430-13 shall be reported in the ATOS Data Repository.

If an ATOS CMT Inspector travels on an aircraft for any reason other than to conduct planned ATOS surveillance activities on that aircraft, the use of FAA Form 8430-13 is reported in PTRS. For example, if a CMT Inspector performs an en route inspection as a means to get to a location where planned ATOS surveillance activities are to be conducted, the Inspector shall report the use of FAA Form 8430-13 in PTRS using the appropriate activity code for an en route inspection.

The ATOS CMO issued a memo (Figure 9-26), dated 01/28/2000, to provide further guidance on the recording and tracking of Form 8430-13 for ATOS CMT members.



Memorandum

A copy of this memo is posted to the ATOS Home page under the News and Documentation section under Guidance/ Guidelines.

Figure 9-26: ATOS CMO Memo

Additionally, Appendix 6 of Order 8400.10, Paragraph 504b, contains procedures for the authorized use of 8430-13s. ATOS policies do not change these procedures.

9.12 Inspector Travel to Accomplish ATOS Inspections

The National Program Resource Committee (PRC) determined that Certificate Management Team (CMT) offices should provide and manage travel to support their assigned ATOS Geographic Inspectors. The ATOS Geographic Inspector's local office prepares a Limited Open Authorizations (LOA) using the accounting appropriation code provided by that Inspector's assigned CMT office. This LOA is to be used only for completing assigned ATOS inspections. The local office should issue an additional LOA to the Inspector for all other travel.

ATOS travel should be coordinated through the CHDO/CMO following the CMT's procedures. Any foreign travel must be approved in advance through already established agency procedures (e.g., passports, visas, and country clearance requirements). Foreign travel should not be approved to accomplish SAIs.

All other resources to support the Geographic Inspector are provided by those Inspectors' FSDO.

9.13 Proxy Managers

Managers and Supervisors have the option of designating an individual to act as proxy in their places and perform some of their functions. A Manager designates a Proxy Manager and a Supervisor designates a Proxy Supervisor. A Proxy is designated to perform on-going managerial or supervisory tasks in the place of or in assistance to a Manager or Supervisor. For example, a Manager or Supervisor planning an extended leave would be likely to designate a Proxy to act in his or her place during his or her absence. Proxy Managers are selected from the pool of ATOS users assigned to the same CMT as the Manager/Supervisor. They have access to Manager/Supervisor research resources (Final status ATOS documents and Manager level privileges when running ATOS Queries), and have the same concurrence/non-concurrence rights and responsibilities as do Managers/Supervisors. However, Proxy Managers/Supervisors cannot designate Proxy Managers/Supervisors or remove Proxy privileges from a duly designated Proxy.

9.13.1 Designating a Proxy Manager

A Manager or Supervisor designates a Proxy Manager by selecting the Add/Remove a Deputy/Proxy link found on the Manager and Supervisor ATOS home pages (Figure 9-27).

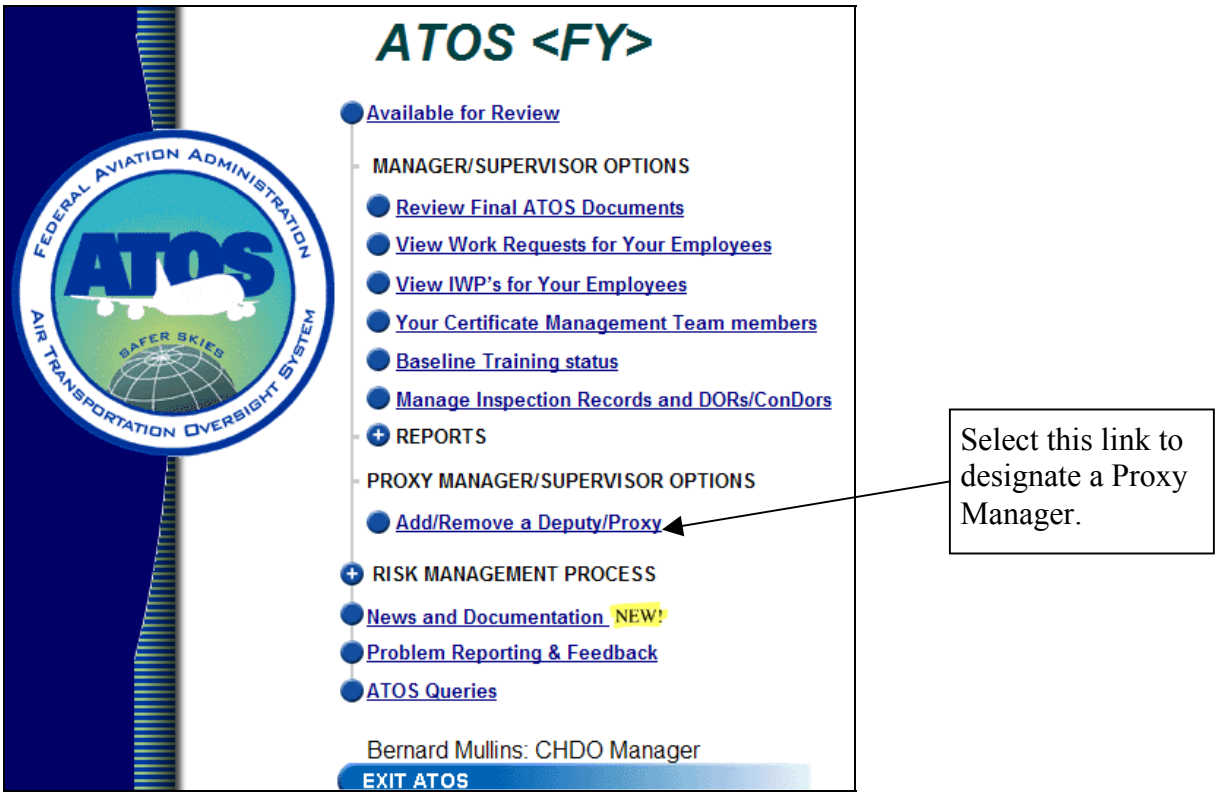


Figure 9-27: ATOS Manager Home Page, Add/Remove a Deputy/Proxy Link

Clicking this link opens the Add/Remove a Proxy Manager [Supervisor] dialog box (Figure 9-28 and Figure 9-29).

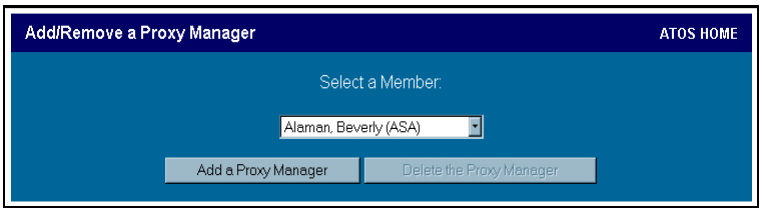


Figure 9-28: Add/Remove a Proxy Manager Dialog Box

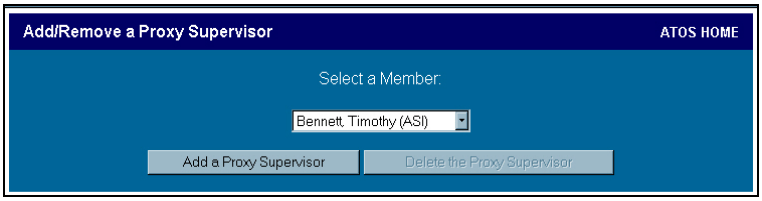


Figure 9-29: Add/Remove a Proxy Supervisor Dialog Box

The Add/Remove a Proxy Manager and Add/Remove a Proxy Supervisor boxes function identically. Each contains a drop-down list that lists ATOS users available for assignment as Proxy Manager or Proxy Supervisor. Select a user, and then click the Add a Proxy Manager or the Add a Proxy Supervisor button to designate the selected individual as a Proxy Manager or Proxy Supervisor (Figure 9-30 and Figure 9-31).

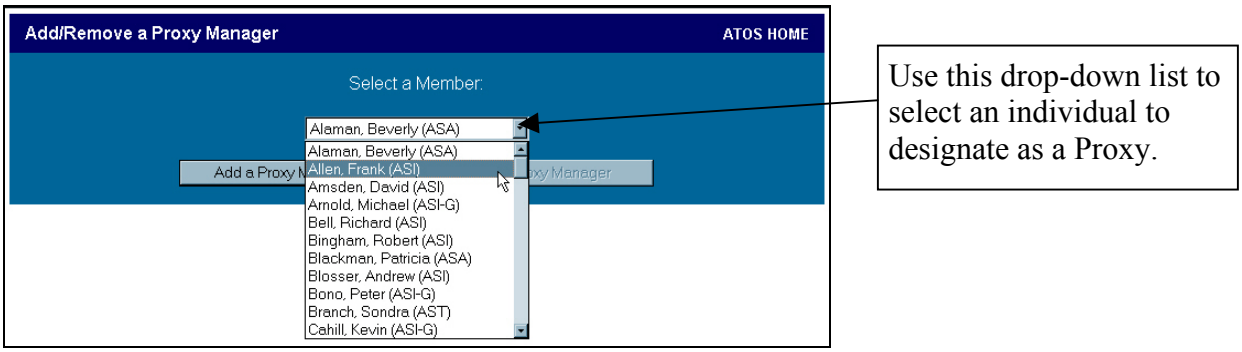


Figure 9-30: Selecting a Proxy Manager

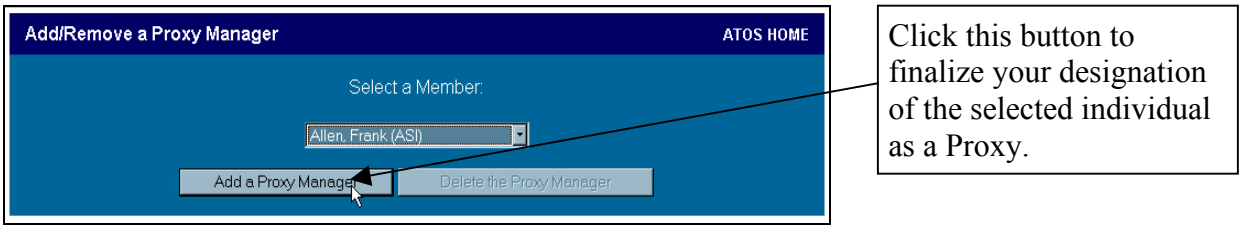


Figure 9-31: Add a Proxy Manager Button Active

Proxy privileges are revoked by clicking the Delete the Proxy Manager button located on the Add/Remove a Proxy Manager or the Delete the Proxy Supervisor button located on the Add/Remove a Proxy Supervisor dialog box (Figure 9-32). Only the Manager or Supervisor who originally designated the Proxy can revoke the Proxy's privileges, and a Manager or Supervisor can have only one designated Proxy at a time.

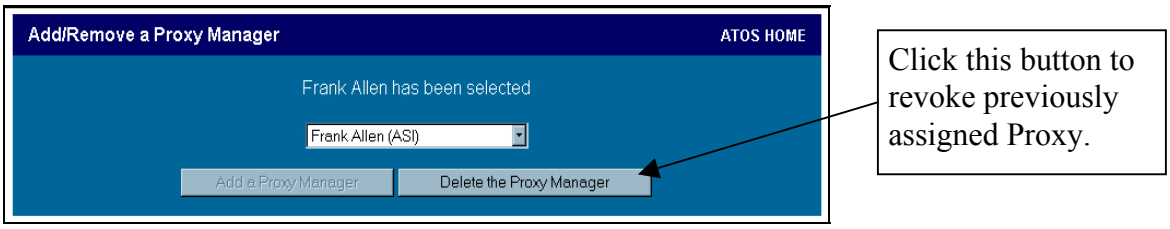


Figure 9-32: Delete a Proxy Manager Button Active

9.13.2 Proxy Manager or Supervisor Privileges

Proxy privileges are listed on the designated Proxy's ATOS home page under the Manager/Supervisor Options heading (Figure 9-33). As per ATOS standards, listed options are links to the functionality described.

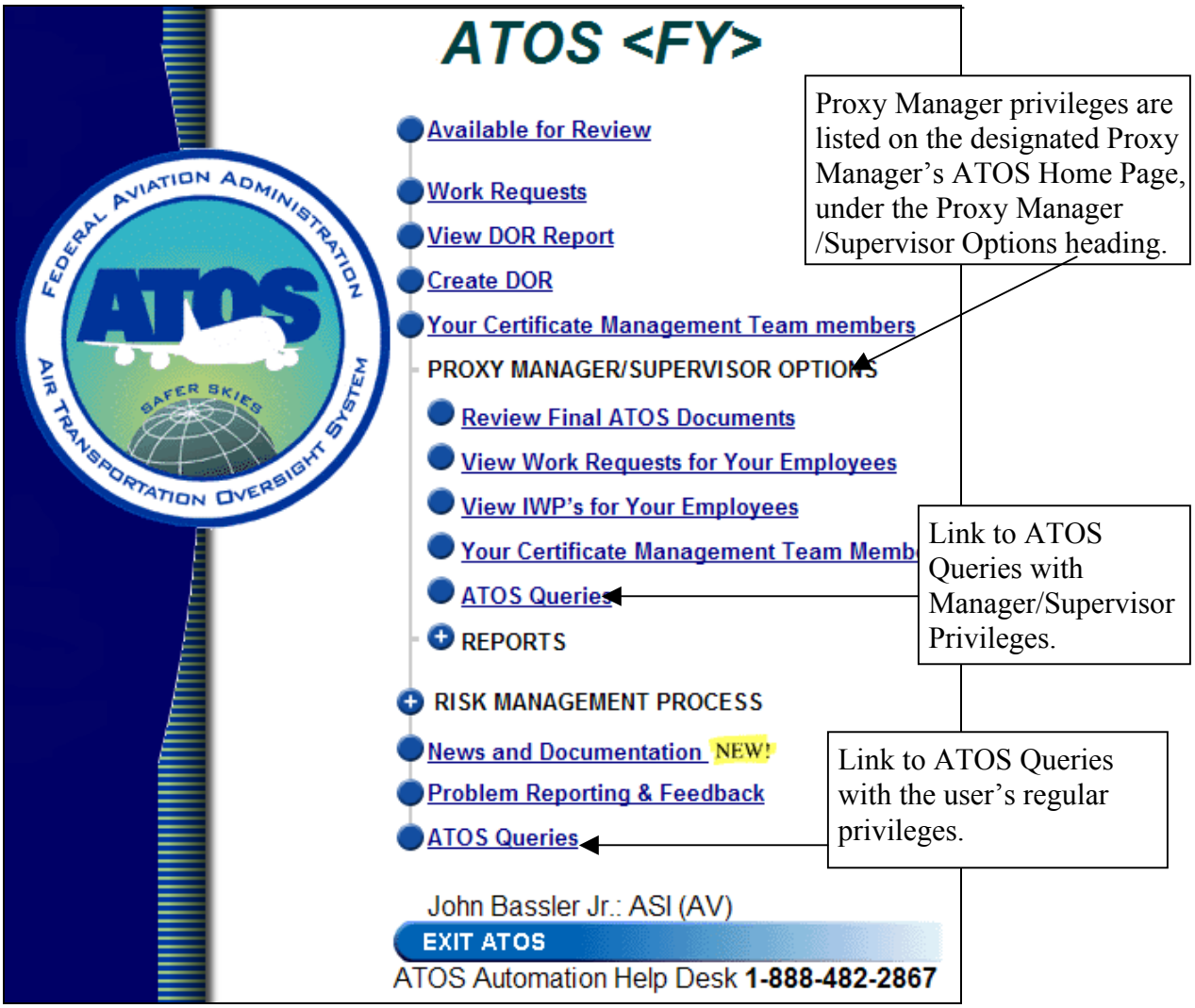


Figure 9-33: ATOS Home Page of a User Designated as a Proxy Manager

9.13.2.1 Query Options for Proxy Managers/Supervisors

An ATOS Queries link is included under the Manager/Supervisor Options heading, so Proxy Managers and Proxy Supervisors have two ATOS Queries links appearing on their home pages (Figure 9-33). The link located under Manager/Supervisor Options provides access to proxied manager/supervisor queries. A proxied manager or supervisor does not have access to prior fiscal year ATOS queries since these are useful for research but not for the day-to-day management or supervisory roles the proxied manager/supervisor is intended to fill. Managers/Supervisors and proxied managers/supervisors have several query options that are not available to non-managerial users. For example, the Inspector Assignment Query options for a proxied manager allow him or her to query assignments for any individual ATOS user, while non-managerial/non-supervisory users can only query the entire roster of their assigned air carrier.

The second ATOS Queries link, located in the usual position at the bottom of the user's home page selections, provides access to the user's standard queries.

9.14 PI, ORA, Manager, and Supervisor Viewing of DORs and ConDORs

When a member of your team submits a Dynamic Observation Report (DOR), a pop-up notification window (Figures 9-34) appears when you log into ATOS. CHDO Managers may turn this feature off for any length of time by using the link "Turn DOR Notification Off" located in the "REPORTS" menu on the ATOS home page. The link will then read "Turn DOR Notification On". When the feature is turned back on, notifications will only be seen for those DORs entered from that time forward. The **View DOR Report** link may always be used to review DORs and ConDORs. The DOR Report will include those entered while the notification feature was turned off.

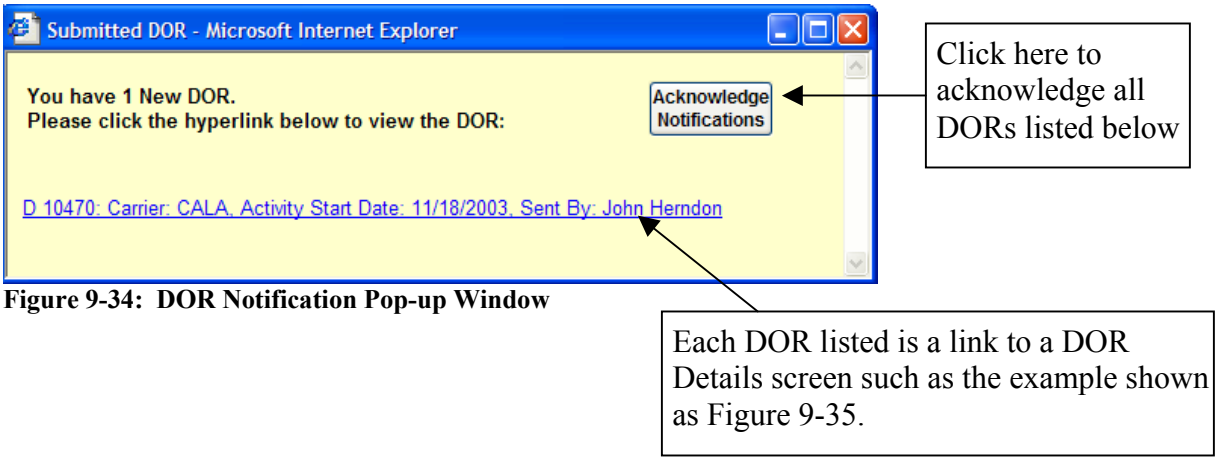


Figure 9-34: DOR Notification Pop-up Window

The notification window lists current DORs that have not been viewed. Click on the hyperlink to see a detail screen such as that shown in Figure 9-35. Once viewed, the DOR is removed from the notification pop-up. Remove all DORs listed (without viewing each one individually) by clicking the **Acknowledge Notifications** button.

New DOR submitted by Larry King, Start date 10/09/2003 for Continental Airlines Print HOME

Sub-System DOR
2.1 Manual Management

ID:	D 10189	**Air Carrier:**	CALA
PTRS Activity Number:	1625		
Activity Start Date:	10/02/2003	**Aircraft Registration Number:**	N19623
Activity End Date:	10/02/2003	**Make, Model, Series:**	B-737-524
Departure Point/Location:	CLE (CLEVELAND-HOPKINS INTL)	**Flight Number:**	245
Arrival Point:	IAH (HOUSTON INTERCONTINENTAL)	**Simulator Device ID:**	
Certified Repair Station:		**FAA 8430-13 Number:**	1082027
Local/Regional/National Use:			
Comments:	COA Flight 245 CLE to IAH. A check of flight attendant manuals revealed one flight attendant, did not have her manual up to date. She was missing revisions 21 & 22. Inflight was advised and she was pulled from the flight.		
Reporting Inspector Action Taken:	Inflight was advised and the flight attendant was removed from the flight.I did not feel any further action by me would be necessary since I was advised by inflight that she was reprimanded and instructed in the proper use and revision of her inflight manual.		

To view a complete history of DORs for your air carrier click here.

Figure 9-35: DOR Detail Screen

As noted along the lower edge of the DOR being viewed (Figure 9-35), one click will bring you a complete history of DORs for your air carrier.

No assignment concurrence action is required on a DOR, since it is initiated by the owning Inspector. ConDORs, however, are initiated by PIs as requests and require managerial concurrence to be a valid assignment. ConDORs awaiting concurrence are illustrated in Figure 9-11, Inspector Work Programs.

In addition to the DORs Notification windows and access to DORs filed by their inspectors, and ConDORs requested by their PIs, ATOS users with Manager/Supervisor access can also view DORs and ConDORs submitted as Final by all CMT members, regardless of whether the reporting Inspector works for that particular Manager or Supervisor, via the **View DOR Report** link on the Reports menu of their ATOS home page (Figure 9-36).

Figure 9-36: ATOS Manager/Supervisor Homepage Highlighting ConDOR and DOR Report Links

The DOR report will also be available for Headquarters users, with access to all carriers for Final DORs and ConDORs. Managers and Supervisors not related to a CMT will be able to see DORs submitted by Inspectors that report to them.

9.14.1 View Constructed DOR Status (PIs)

Principal Inspectors may monitor the progress of ConDORs by clicking on the **View Constructed DOR Status** link, found in the **REPORTS** menu on the PI's home page. A sample of the "Constructed DOR Status Report" is shown as Figure 9-37.

Constructed DOR Status Report Print HOME

Constructed DOR - Requested Completion Date 03/26/2003				
DOR ID:	**Instructions:**	**Assigned To:**	**Status:**	**Manager Concurrence:**
D 7173	Complete CONDOR by 20 March 2003. Answer all questions. Coordinate inspection with other specialities.	John Bassler Jr.	Concurred	Yes
D 7174	Complete CONDOR by 20 March 2003. Answer all questions. Coordinate inspection with other specialities.	Ruey Collins	Concurred	Yes
Constructed DOR - Requested Completion Date 10/22/2003				
DOR ID:	**Instructions:**	**Assigned To:**	**Status:**	**Manager Concurrence:**
D 7288	Answer all questions. Complete before 2 April 2003.	Tony Zinn	Concurred	

Figure 9-37: Constructed DOR Status Report

Each of the DOR ID numbers is a link to the complete ConDOR. The entry in the "Assigned To:" column is a link to roster information.

9.14.2 View DOR Report

Clicking on the **View DOR Report** link opens the "DOR Report" request screen. This screen contains several fields with drop-down menus, which allow the Manager/Supervisor to view only DORS that meet a certain criteria, such as a certain EPI Element or within a certain date range.

To view all DORs for their airline, the Manager/Supervisor should leave all the fields blank and click the Submit button (Figure 9-38). Once the DOR Request page is submitted, the Automation generates a DOR Report list (Figure 9-39).

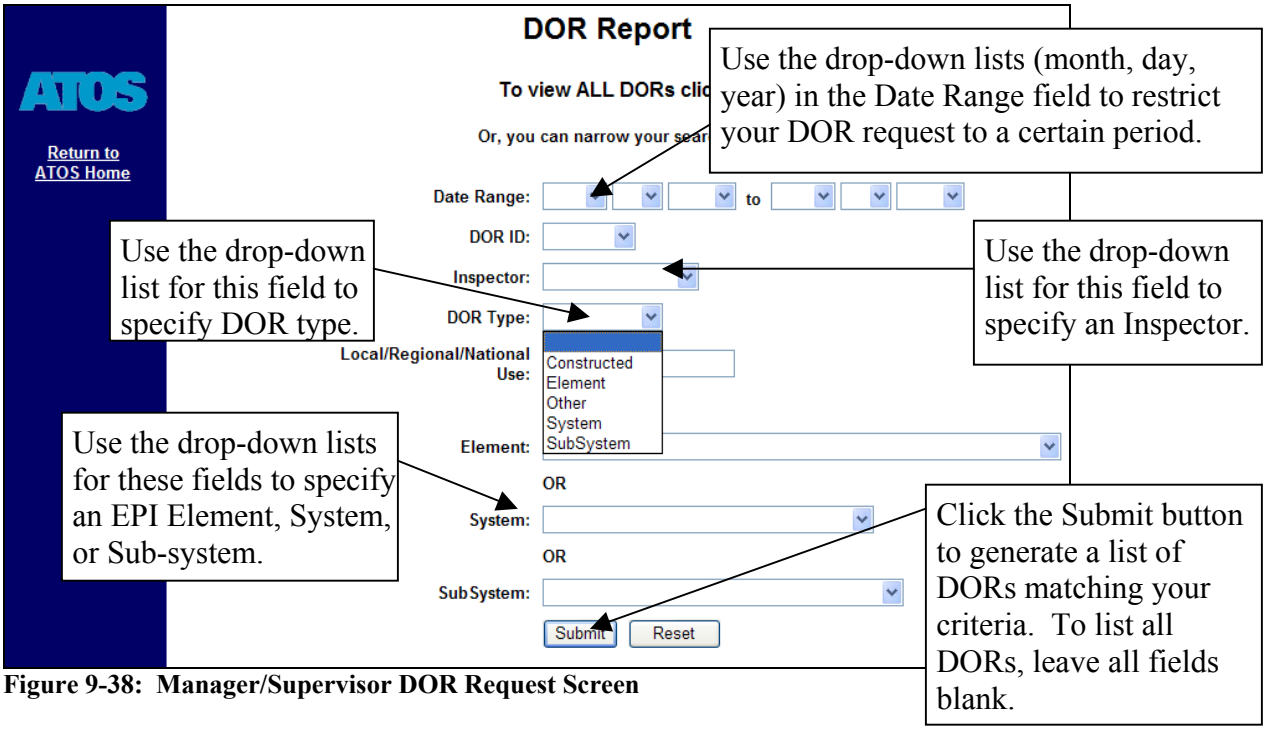


Figure 9-38: Manager/Supervisor DOR Request Screen

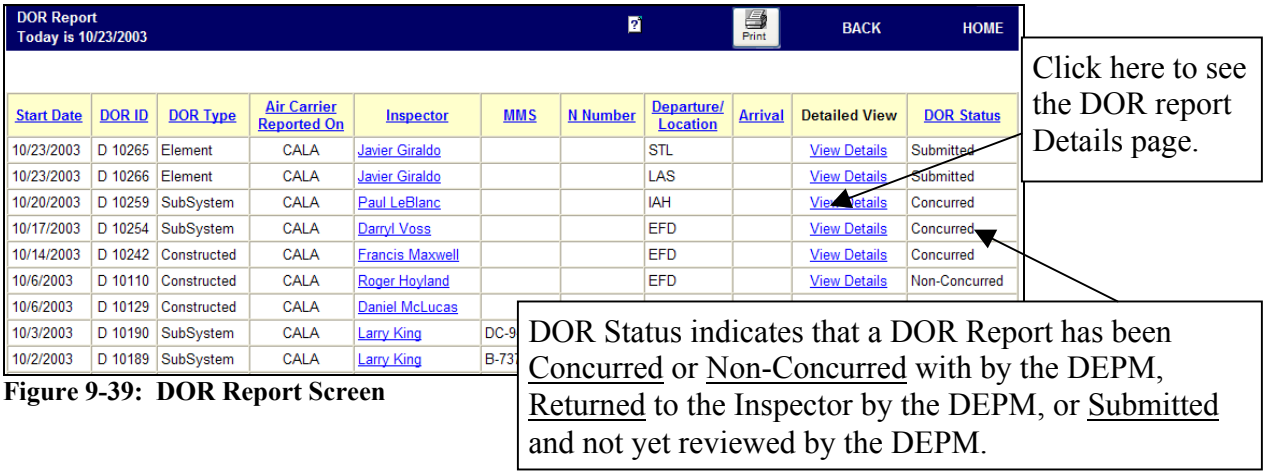


Figure 9-39: DOR Report Screen

Click on the header of a column to sort the data by that field.

To view an Individual DOR, click on the View Details link. The DOR Details screen (Figure 9-40) is then displayed in a new window.

Constructed DOR submitted by Francis Maxwell on 09/30/03
Assigned to: Roger Hoyland

Print

Close Window

Click to View DEPM Comments

Constructed DOR

Inspector Instructions: Answer all questions. Begin 30 Sep 2003. Complete activity as close to 6 Oct 2003 as possible.

ID:	D 10110	**Air Carrier:**	CALA
Activity Start Date:	10/6/2003	Aircraft Registration Number:	
Activity End Date:	10/20/2003	Make, Model, Series:	
Departure Point/Location:	EFD	Flight Number:	
Arrival Point:		Simulator Device ID:	
Certified Repair Station:		FAA 8430-13 Number:	
Requested Completion Date:	10/06/2003	Local/Regional/National Use:	COAFS

Financial Stress

1. OPERATIONAL STABILITY

1.1. Changes in financial condition.

1.1.1. From the information available to the CMT, does it appear that the carrier is able to pay its debts as they come due?
ACT YES SRR

☑ Yes ☐ No

☐ N/A

Figure 9-40: DOR Details Screen Showing Link to View DEPM Comments

9.15 PI Comments for DOR Questions

Principal Inspectors may provide comments for any DOR Question answered where the text field is not null. When **DOR "No" Report** is selected from the Report menu of the ATOS Home Page (Figure 9-41), a list of questions answered "No" or "N/A" is presented on the "PI Responses to NO's – DOR Report". Figure 9-42 illustrates this report, filtered to limit the listing to "New" reports within a specific date range.

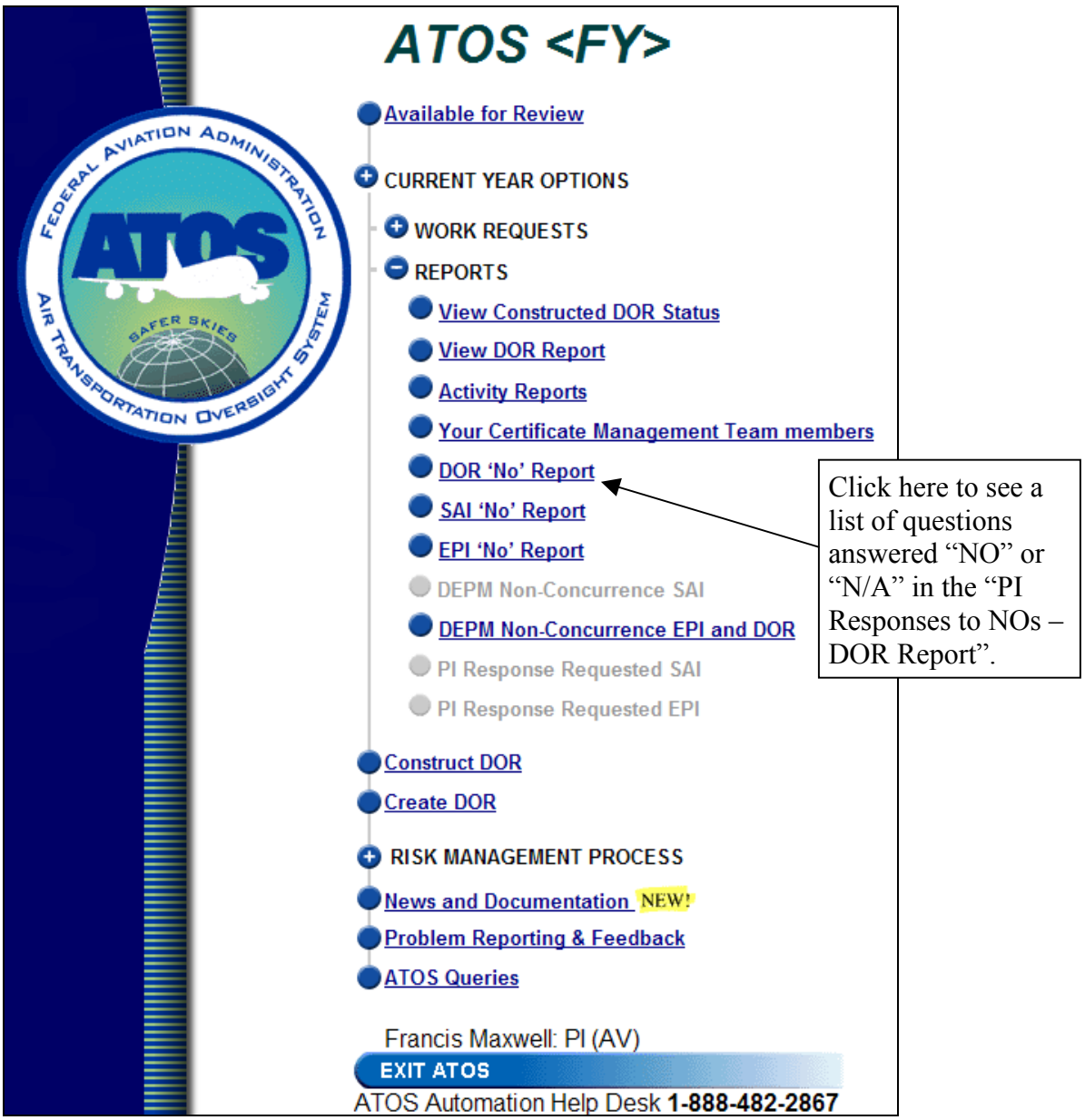


Figure 9-41: ATOS Home Page for PI Showing Reports Menu

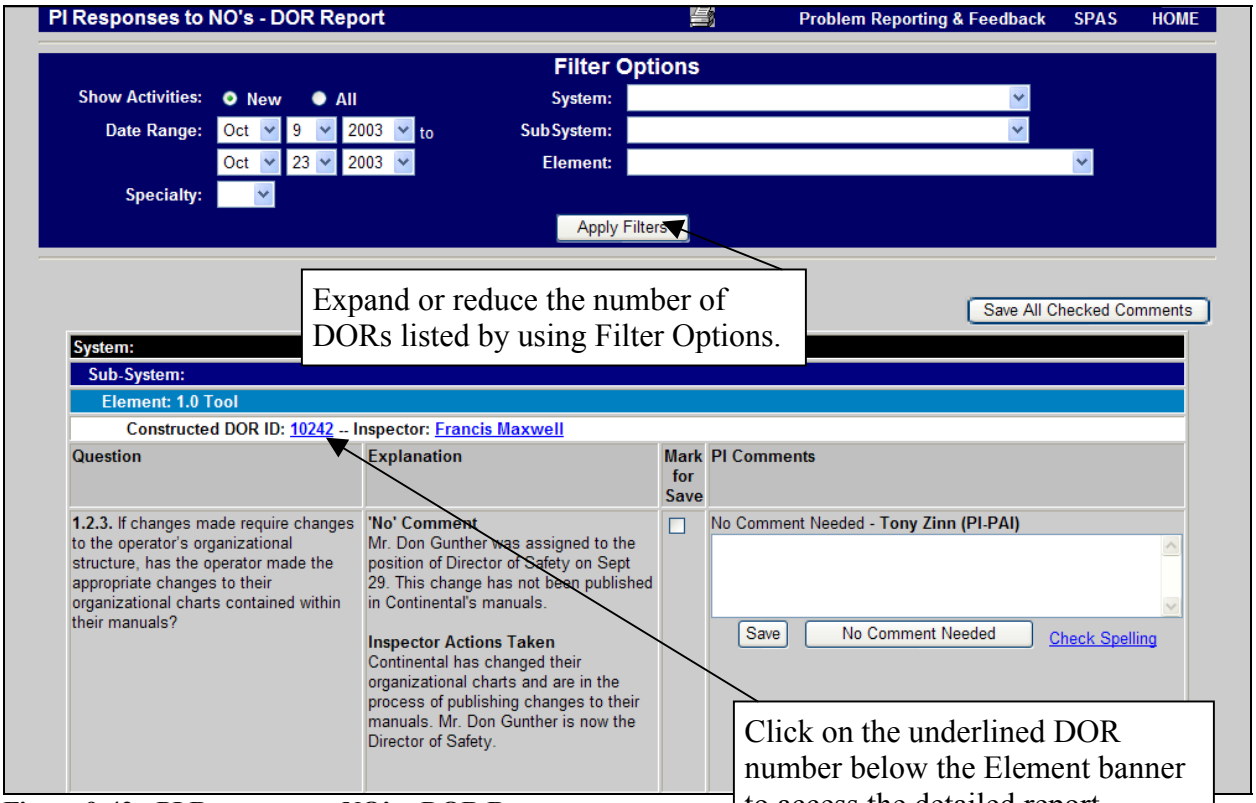


Figure 9-42: PI Responses to NO's –DOR Report

The "Specialty" filter allows the PI to view DOR responses by Specialty on the DOR "NO" Report. The specialty determination is based on the technical discipline of the Inspector who submitted the DOR. If no choice is made, all "NO" responses for the carrier will be shown.

The DOR ID for each entry will hyperlink to a DOR Results page, as illustrated in Figure 9-43, for the Principal Inspectors to view the entire DOR.

Constructed DOR submitted by Tony Zinn on 10/15/03
Assigned to: Francis Maxwell

Print

Close Window

Click here, or on the similar button at the bottom of this form, to return to the "PI Responses to NO's – DOR Report".

Constructed DOR

Inspector Instructions: Answer all questions. Begin 14 Oct 2003. Complete on or as close to 20 Oct 2003 as possible.

ID:	D 10242	**Air Carrier:**	CALA
Activity Start Date:	10/14/2003	Aircraft Registration Number:	
Activity End Date:	10/20/2003	Make, Model, Series:	
Departure Point/Location:	EFD	Flight Number:	
Arrival Point:		Simulator Device ID:	
Certified Repair Station:		FAA 8430-13 Number:	
Requested Completion Date:	10/20/2003	Local/Regional/National Use:	COAFS

Financial Stress

1. OPERATIONAL STABILITY

1.1. Changes in financial condition.

1.1.1. From the information available to the CMT, does it appear that the carrier is able to pay its debts as they come due? ACT YES SRR — ☑ Yes ☐ No ☐ N/A

1.1.2. Has the carrier been able to continue operations without filing for bankruptcy protection? ACT YES SRR — ☑ Yes ☐ No ☐ N/A

1.1.3. Has the operator maintained its operations without abruptly curtailing planned capital improvements and without incurring excessive long-term debt? ACT YES SRR — ☑ Yes ☐ No ☐ N/A

Note that only questions with "No" answers were shown on the "PI Responses to NO's – DOR Report".

1.2. Changes in management, turnover in personnel, and reductions in workforce.

1.2.1. If management changes have taken place, has the operator been able to maintain the same level of qualifications and expertise of its management personnel? ACT YES SRR — ☑ Yes ☐ No ☐ N/A

1.2.2. If management changes have taken place concerning regulatory required individuals, has the operator made such notifications? ACT YES SRR — ☑ Yes ☐ No ☐ N/A

1.2.3. If changes made require changes to the operator's organizational structure, has the operator made the appropriate changes to their organizational charts contained within their manuals? ACT YES SRR — ☐ Yes ☑ No ☐ N/A

ACT Comments: Continental has changed their organizational charts and are in the process of publishing changes to their manuals. Mr. Don Gunther is now the Director of Safety.

Mr. Don Gunther was assigned to the position of

Click here, or on the similar button at the top of this form, to return to the "PI Responses to NO's – DOR Report".

Close Window

Figure 9-43: DOR Detail Excerpt Showing Question Answered "No"

Once the entire DOR has been reviewed, the Principal Inspector may return to the "PI Responses to NO's – DOR Report" listing to enter comment(s) or automatically fill in a "No Comment Needed" entry. Figure 6-44 illustrates these comment options. (Please see Chapter 3, Section 3.5.2 for a more complete explanation of adding comments to the information presented.)

Multiple comments may be entered for a given question by different Principal Inspectors. All Principal Inspector comments will be available for viewing by other Principal Inspectors. The viewing PI's own comments will appear in the comment field. Comments from other PIs will be shown just above the comment field and include the name of the commenting PI.

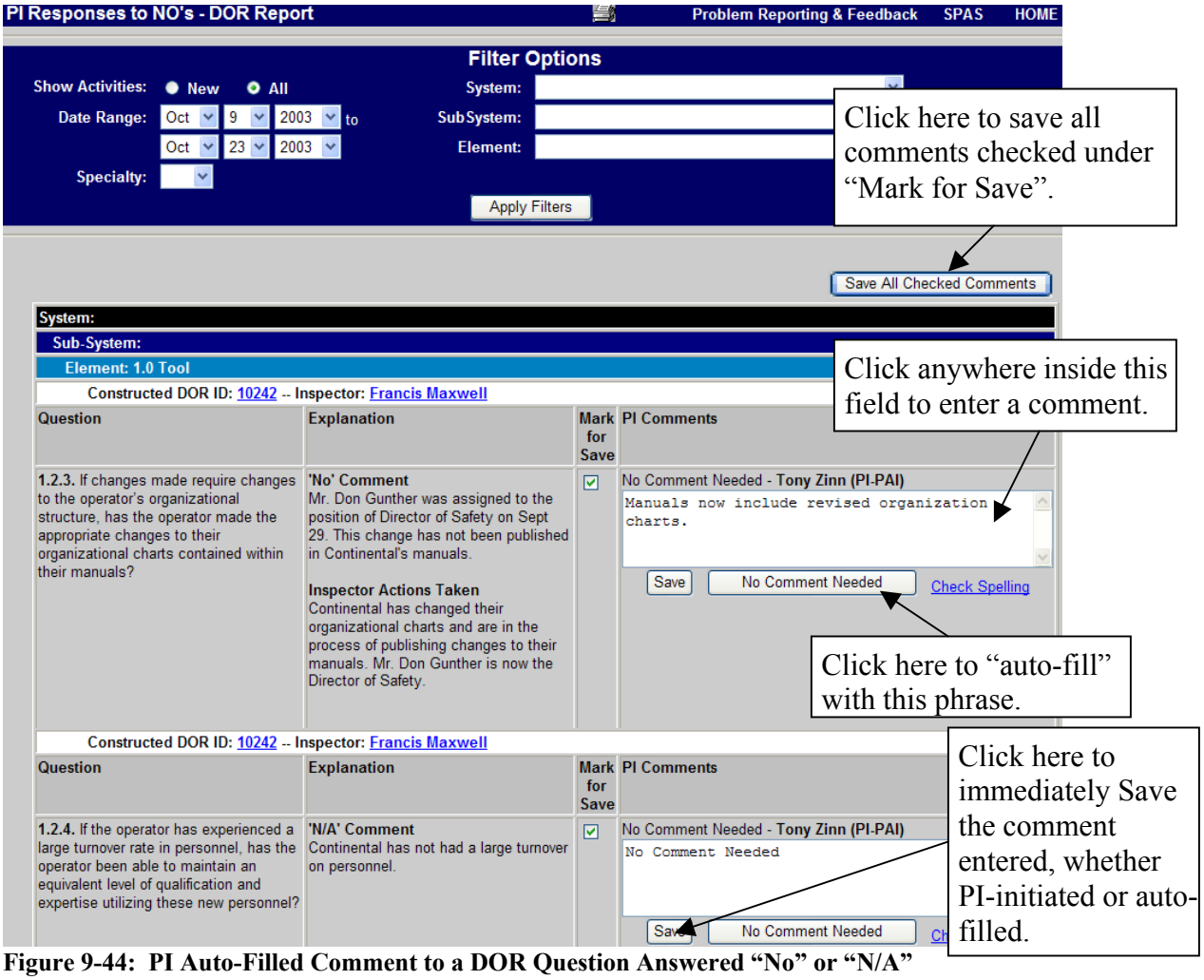


Figure 9-44: PI Auto-Filled Comment to a DOR Question Answered "No" or "N/A"

If you are working with a "New" set of data, then clicking the Save button will refresh the page and that question will be removed from the new page. Change to the "All" view and the question will be included again. An alternative is to click in the square below the header "Mark for Save" then later click the "Save All Checked Comments" button to save all the comments (that are marked) at one time.

10 ATOS Queries

Choosing "ATOS Queries" from the menu on your Home Page brings you to the menu shown below as Figure 10-1:

Figure 10-1: ATOS Queries Menu

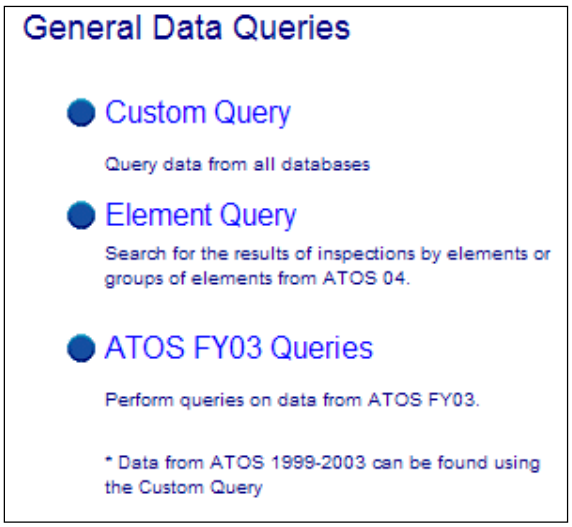
ATOS Queries provide all users with ready access to the ATOS Data Repository, a database of surveillance plans, records, and activities that have been through the entire ATOS process.

General Data Queries allow users to view surveillance data in the ATOS Data Repository. The **Custom Query** (described in Section 10.1) provides you with template driven report generators and a query builder tool to access any data in the ATOS Data Repository since the inception of the ATOS Automation. The **Element Query** (described in Section 10.2) allows you to query EPI and SAI Records and Activities in FY02 by specific elements. An Element Query, or any query under the heading of "Certificate Management Reports", may be done from the Query Menu accessed by choosing the "ATOS FY00 & FY01 Queries" option. The ATOS 1999 data can be found using the **Custom Query** link.

Certificate Management Reports provide the statuses and information related to currently active plans, records, and activities by CMT. A listing of these queries and the sections in which they are addressed follows:

PI Response to Request Query **10.4**
Reporting Inspector Action Taken Query **10.5**
Other Comments Query **10.6**
CSP Completion Status Query **10.7**
Inspector Assignments Query **10.8**
8430-13 Query **10.9**

10.1 Custom Query



Choose **Custom Query** to look at specific surveillance information at the plan, record, and activity level that is in the ATOS Data Repository.

The Custom Query allows you to choose from predefined templates (based on frequently requested reports) to a query builder application that you can use to specify any criteria and property in the ATOS Data Repository. Building a Custom Query also allows you to create custom reports for a quick on-screen review or to download for later analysis.

Figure 10-2: ATOS General Data Queries

The Custom Query has the ability for you to save queries that you have built with the query builder for use at a later date. When accessing one of your saved queries you have the additional ability to run that query again, or to just see what is new to the data repository since the last time you ran the query.

A Custom Query gives you the flexibility to combine just the data you want to see and create a report consistent with ATOS rules for data presentation. For example, if you want to create a report on specific EPI questions that were answered by your CMT, you would use the query builder to select the appropriate criteria and properties. When the Custom Query gives you your report on questions, those questions will contain the related information of which activities, records, plans, etc. those questions come from so the report is understandable and complete.

When you click on **Custom Query**, as indicated in Figure 10-2, the next screen to appear is entitled "Custom Queries," and you are presented with a choice of three different types of queries:

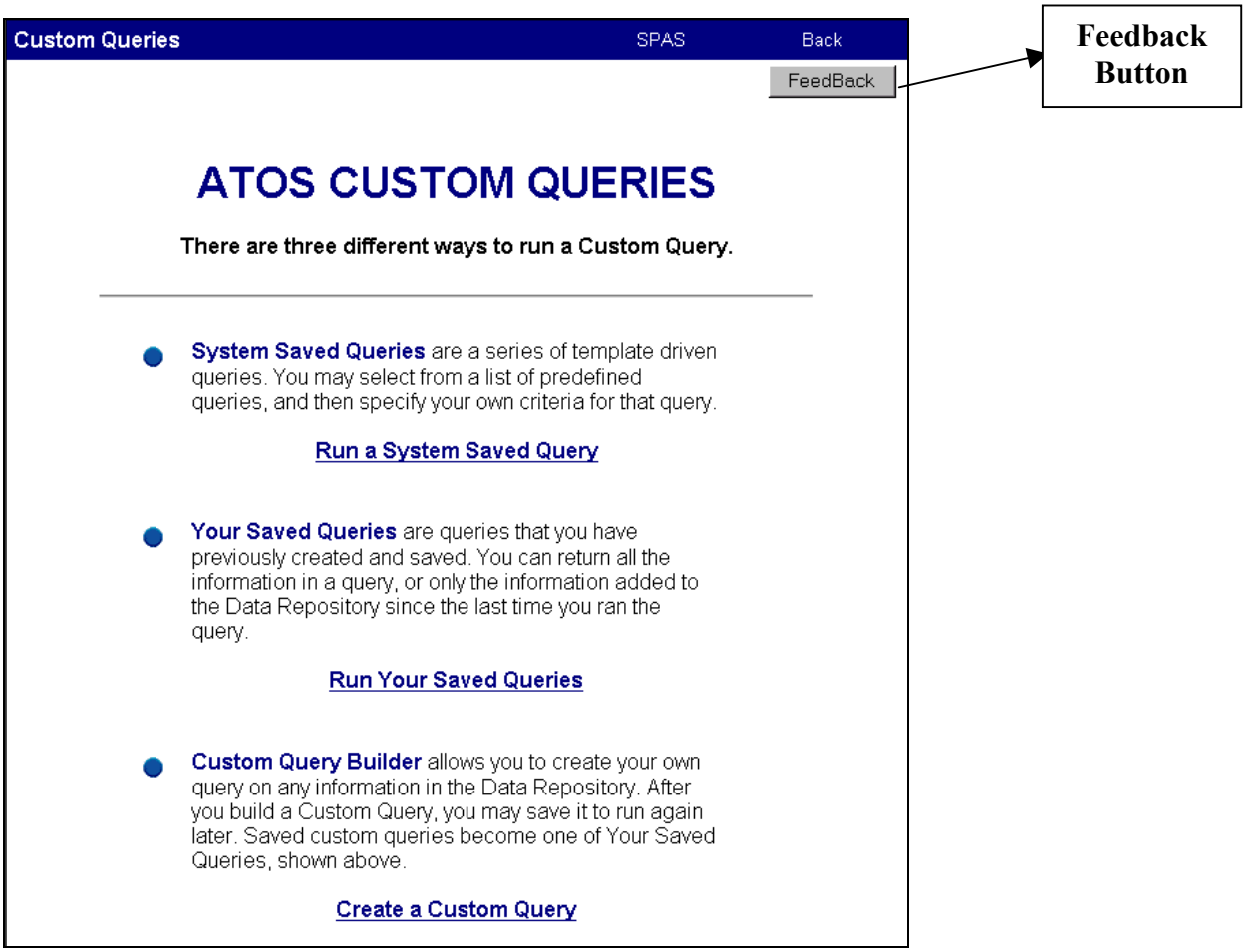


Figure 10-3: ATOS Custom Queries - Overview

At the top of the ATOS Custom Queries menu, shown as Figure 10-3, is another way to help ATOS Automation work for you! The Custom Query has a streamlined way for you to provide comments and suggestions on the Automation. You will find a **Feedback** button – not only on the opening menu, but also on most of the screens you will see as you work with the Custom Query. This is your opportunity to relay your ideas, comments, questions, complaints, etc., and the system will automatically track the page you came from to help us better understand your comments. You may still use the "Problem Reporting and Feedback" section available from your main menu. The Custom Query **Feedback** button is simply a specialized way to get to it from the Custom Query. When you use the **Feedback** button, a ticket number is generated just as it is in "Problem Reporting and Feedback" and you will be able to track your feedback as you do any other ticket. Section 10.1.1, Feedback, provides more detail and an illustration.

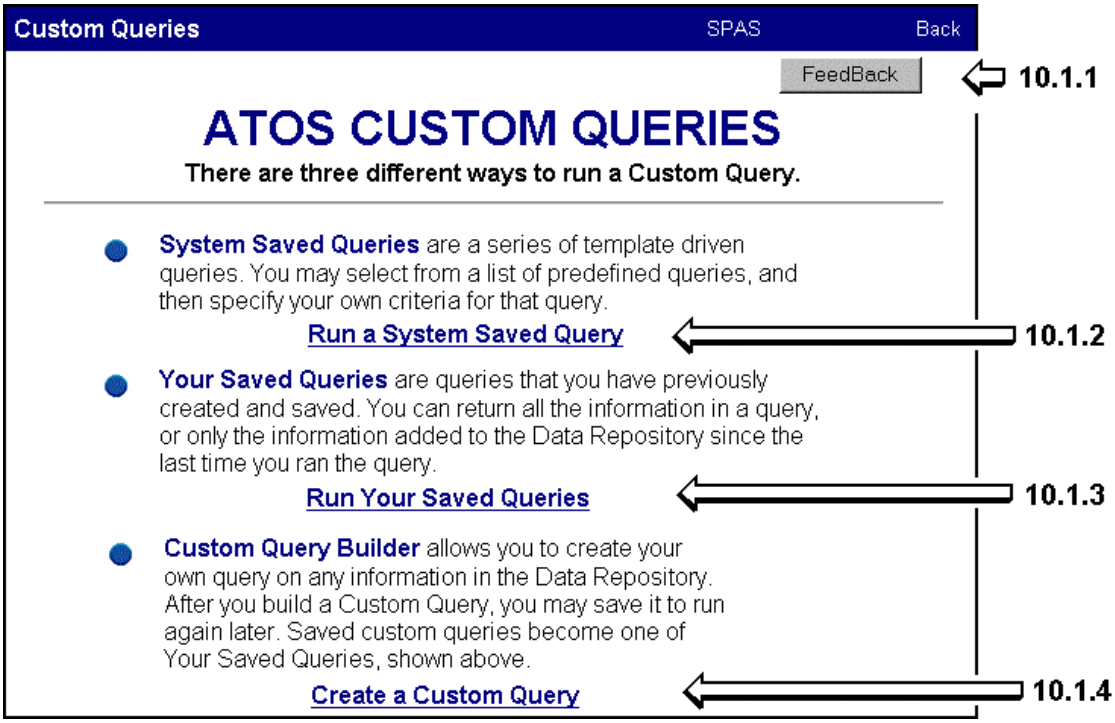


Figure 10-4: ATOS Custom Queries - Index

System Saved Queries have been asked for many times and are available to any user. While the query has been predefined, you can specify your own criteria. If none of the System Saved Queries are appropriate for the question you need answered, use the Custom Query Builder to create your own. Section 10.1.2 provides detail on this type of Custom Query.

Your Saved Queries are those you have previously created and named via the Custom Query Builder. These queries are most useful when run repeatedly for just that period of time since the last time it was executed. Section 10.1.3 provides detail on this type of Custom Query.

Custom Query Builder walks you through the building of a query, step by step, adding criteria to narrow your search for data so that the results are manageable and most useful to you. Once you save this Custom Query, it appears as one of "Your Saved Queries". Section 10.1.4 provides detail on this type of Custom Query.

10.1.1 Feedback

The ATOS Automation Help Desk wants to hear your ideas, comments, and suggestions!

Clicking on a **Feedback** button will bring up a screen with some identifying information already filled in. This identifying information is automatically drawn from your User Identification and the screen you were on when you clicked on **Feedback**. The Custom Query "Feedback" button is simply a specialized way to get to the "Problem Reporting and Feedback" section from the Custom Query in a way that provides Automation with some additional information about where in the Custom Query you were. A sample is shown as Figure 10-5:

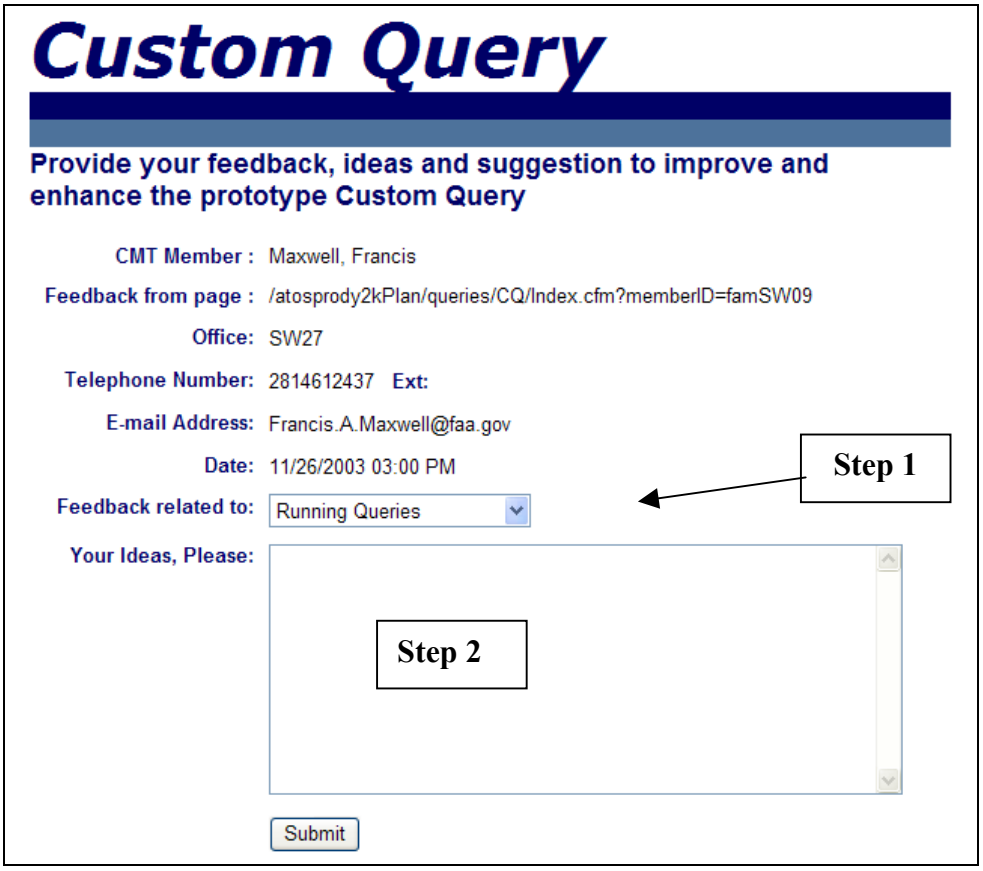


Figure 10-5: Custom Query Feedback

Step 1: First, check the entry that shows in the box labeled "Feedback related to:" and click on the arrow to the right of this entry to view other options. Click on the topic most appropriate for your comments.

Step 2: Second, type your message in the space provided. When you are finished, click on the "Submit" button. A window will appear to advise you of the Ticket number assigned to your input. A sample is shown as Figure 10-6.

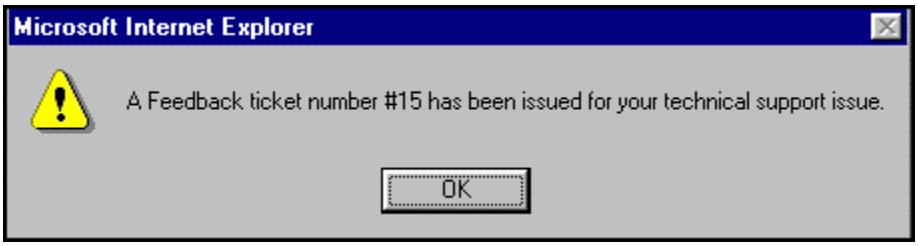


Figure 10-6: Feedback Ticket Number

If you change your mind about providing feedback, close the feedback window (Figure 10-5) by clicking on the boxed X in the upper right corner. If you click on **Submit** without completing the form, that is, providing your ideas, you will receive a message asking that you do so, as illustrated by Figure 10-7.

Figure 10-7: Feedback Requested

10.1.2 System Saved Queries

Figure 10-8: ATOS Custom Queries - System Saved Queries Selection

Clicking on either **System Saved Queries** or **Run a System Saved Query** from the ATOS Queries menu, shown above as Figure 10-8, brings you to the "System Custom Queries" menu shown as Figure 10-9 below:

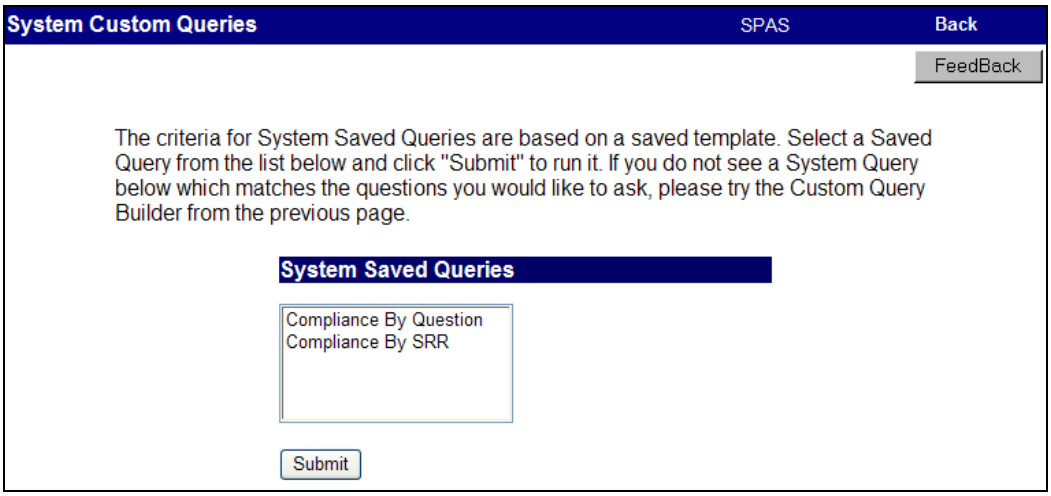


Figure 10-9: System Custom Queries Menu

As noted on the "System Custom Queries" screen, you must select one of the listed queries if you wish to continue. If none of the listed queries meets your needs, click on the **Back** in the upper right corner to return to the previous menu. From there you may choose to run one of your own saved queries or custom build a new one.

The list of these template-driven System Saved Queries will grow as frequently used queries are identified or suggested by users. Figure 10-9 shows the two queries currently available. When a new System Saved Query is added, it will have a series of similar template pages with specific options for that query.

Compliance by Question is a way of looking at CSP Activity data when you have specific question(s) in mind. Section 10.1.2.1 provides more detail on this option.

Compliance by SRR is a way to show questions related to a Specific Regulatory Requirement. Use this query when you are looking for Activity for an SRR. Section 10.1.2.2 provides more detail on this option.

Select a System Saved Query and click on **Submit** to continue.

10.1.2.1 Compliance by Question

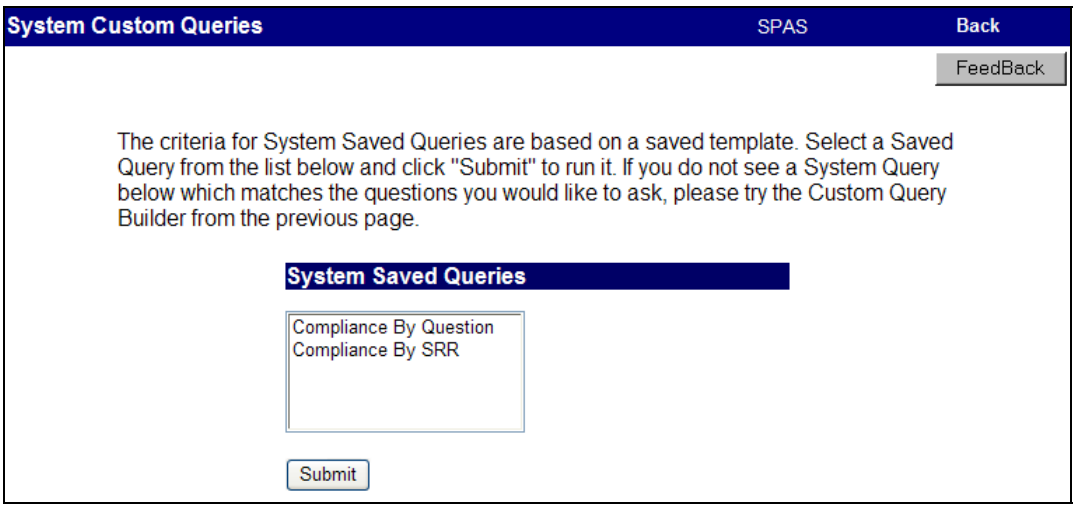


Figure 10-10: System Custom Queries

Selecting "Compliance by Question" from the list of System Saved Queries brings you to the "Custom Query – Compliance by Question" screen shown next as Figure 10-11. Note that the "Questions" criteria is already check marked.

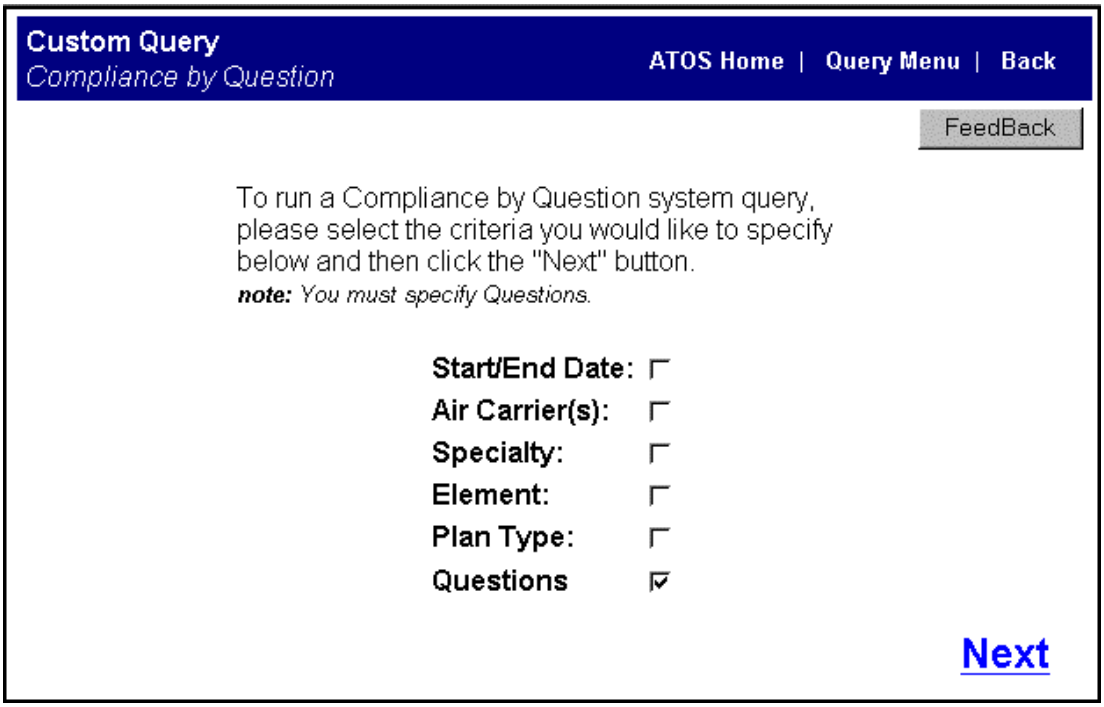


Figure 10-11: System Custom Queries - Compliance By Question - Criteria

You may proceed with only "Questions" indicated, but the more specific you can be in forming your query, the less data you will need to sort through to find information useful to you.

Click the checkbox to the right of each item you wish to specify for the query. A checkmark will appear to indicate selection. Remove the checkmark by clicking on the checkbox again. If you do not check a criteria, then you will not have the option of further defining your query with respect to that property, since all possible variations will be included.

When you have made your selections, click on **Next**. The screens that follow will depend upon which criteria you have selected. Each criteria is discussed below:

10.1.2.1.1 Compliance by Question – Start/End Date

If you've included date(s) as a criteria for the query, you will be presented with the Custom Query - Date screen, Figure 10-12, to specify a start or end date:

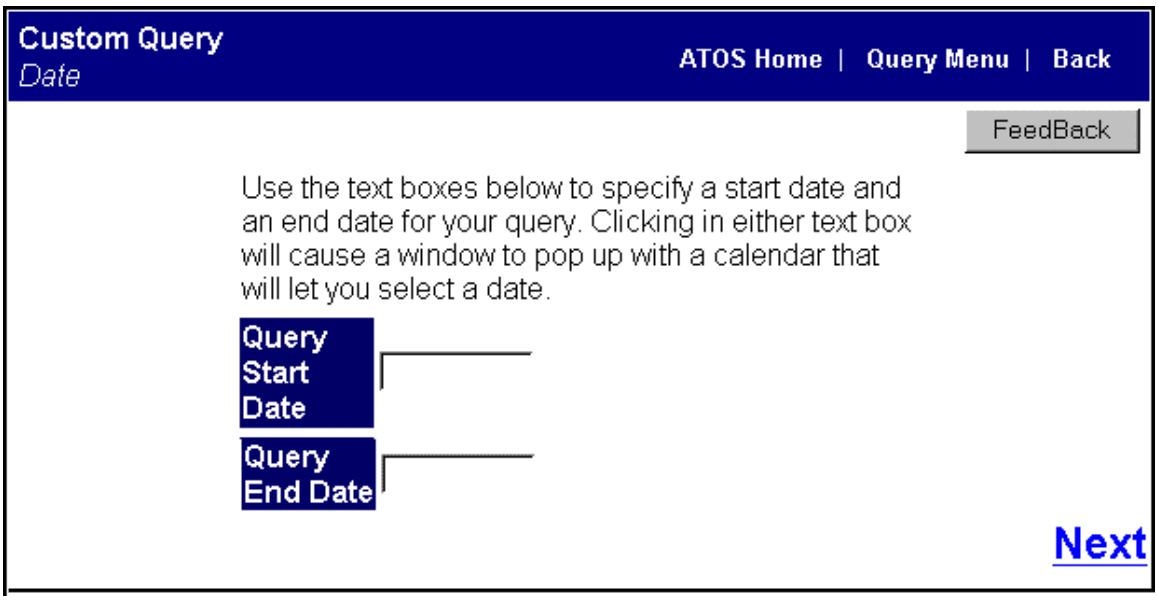


Figure 10-12: Custom Query - Date

Figure 10-13: Calendar

When you click in the area to the right of the date label, a calendar, such as the one shown as Figure 10-13, will appear showing the current month and year. Overwrite the year, if necessary, by clicking in the year field and using the backspace and/or delete keys to make room for the year you want as a start or end date for your query. The calendar days change to match the month in the year that you have specified.

Next, change the month, if necessary, by clicking on the arrow to the right of the current month and selecting from the listing that pops up. The calendar numbers will change to match the month you have chosen.

Lastly, click on the day of the month that will start or end your query. The calendar window will go away and the date will appear in the box to the right of the start or end date.

If you do not specify a start date, all dates will be included in your query. If you do specify a date, you must enter both a start and an end date.

Click on **Next** to continue.

10.1.2.1.2 Compliance by Question – Air Carriers

If you have included air carrier(s) as a criteria for the query, you will be presented with the Custom Query – Air Carrier screen, Figure 10-14, to specify in which air carriers you are interested:

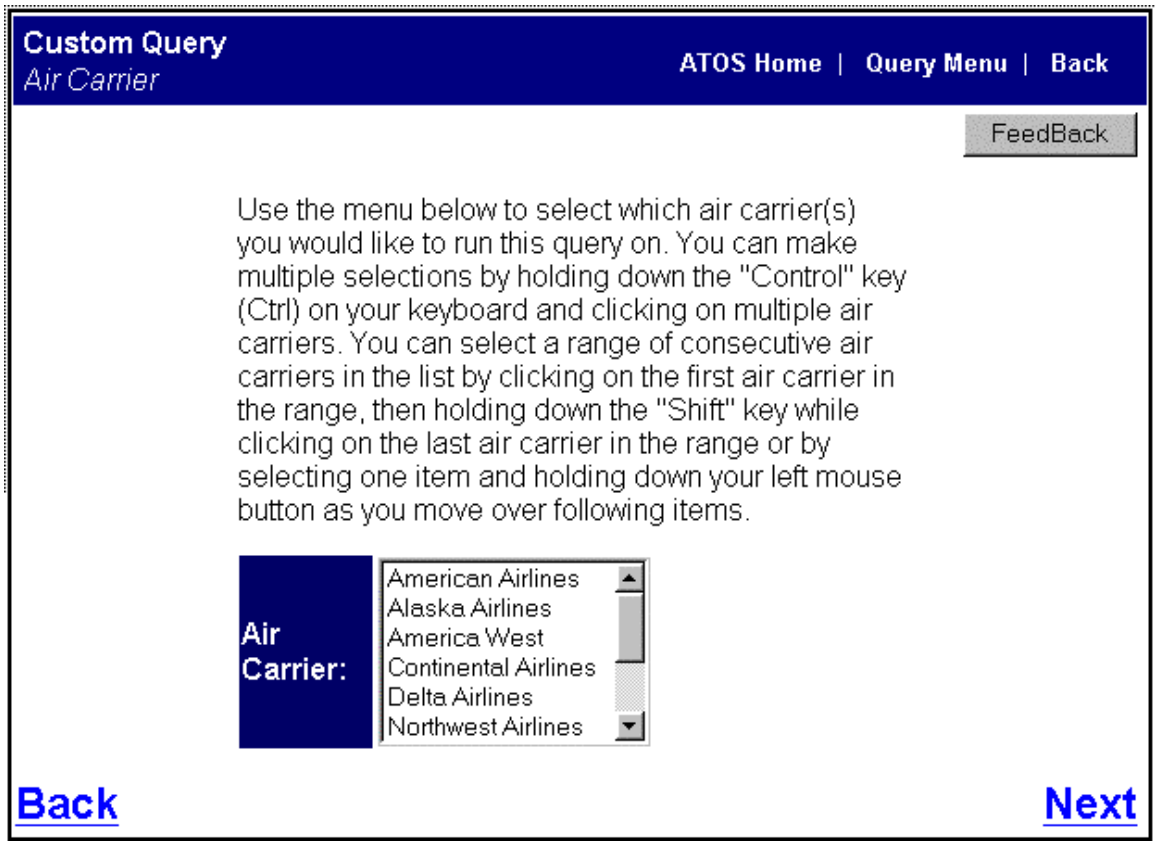


Figure 10-14: Custom Query - Air Carrier

As noted in the on-screen instructions, you may choose one or more air carriers to be included in the query. When you have made your selections, click on **Next** to move to the next criteria.

Click on **Back** if you wish to return to the previous criteria.

10.1.2.1.3 Compliance by Question – Specialty

If you have included specialty as a criteria for the query, you will be presented with the Custom Query - Specialty screen, Figure 10-15, to specify which one:

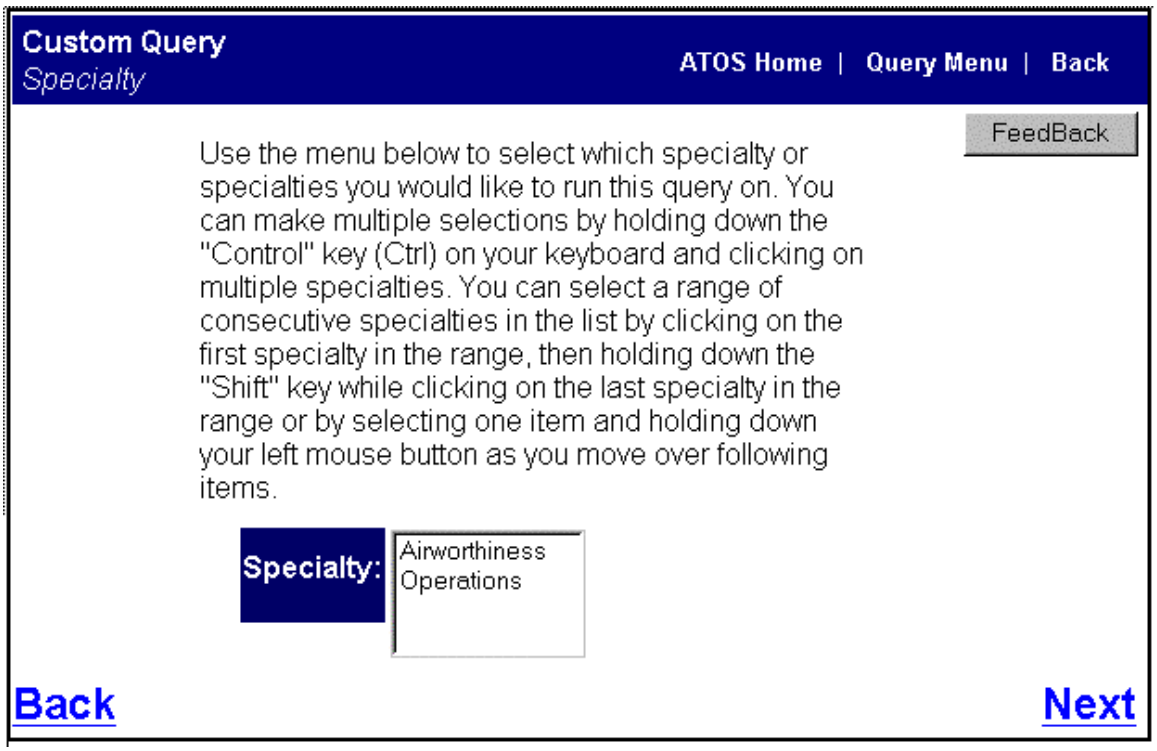


Figure 10-15: Custom Query - Specialty

As noted in the on-screen instructions, you may choose one or more specialties to be included in the query. When you have made your selection(s), click on **Next** to move to the next criteria.

Click on **Back** if you wish to return to the previous criteria.

10.1.2.1.4 Compliance by Question -- Element

If you have included element as a criteria for the query, you will be presented with the Custom Query - Element screen, Figure 10-16, to specify which one(s):

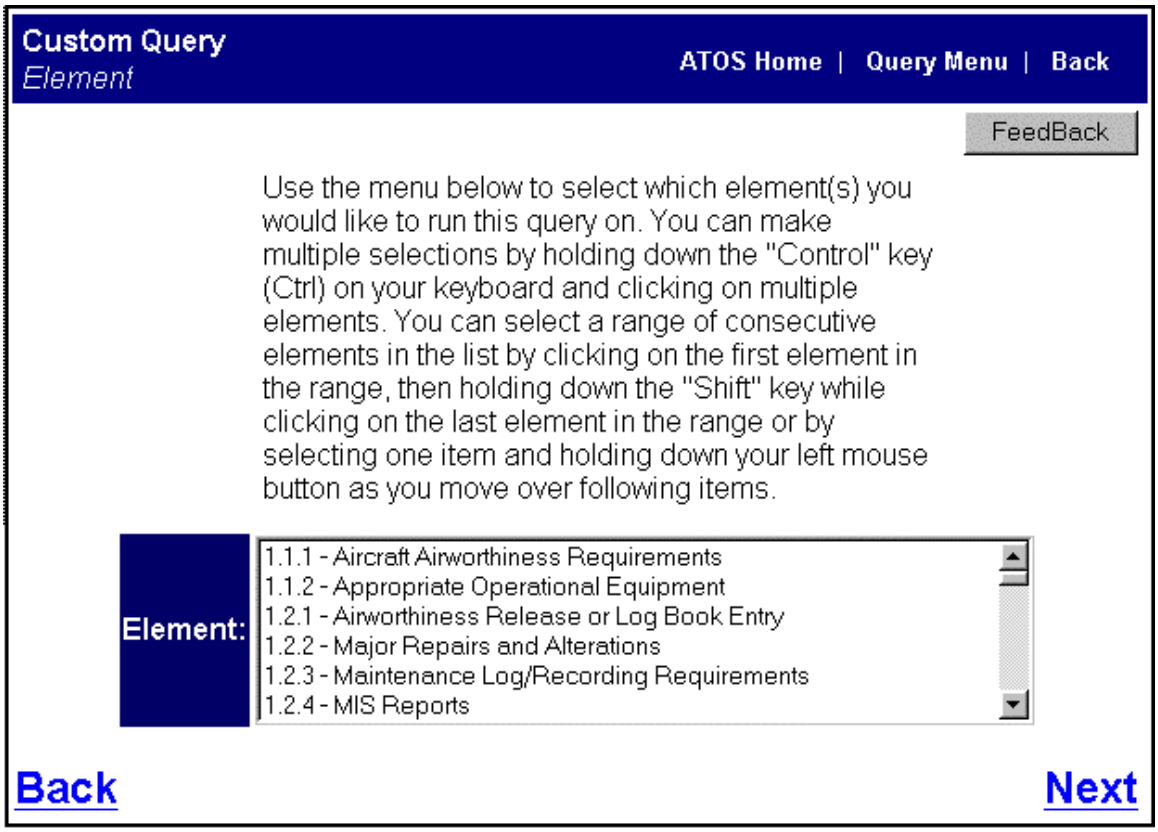


Figure 10-16: Custom Query - Element

As noted in the on-screen instructions, you may choose one or more elements to be included in the query. When you have made your selection(s), click on **Next** to move to the next criteria.

Click on **Back** if you wish to return to the previous criteria.

10.1.2.1.5 Compliance by Question -- Plan Type

If you have included plan type as a criteria for the query, you will be presented with the Custom Query – Plan Type screen, Figure 10-17, to specify which one(s):

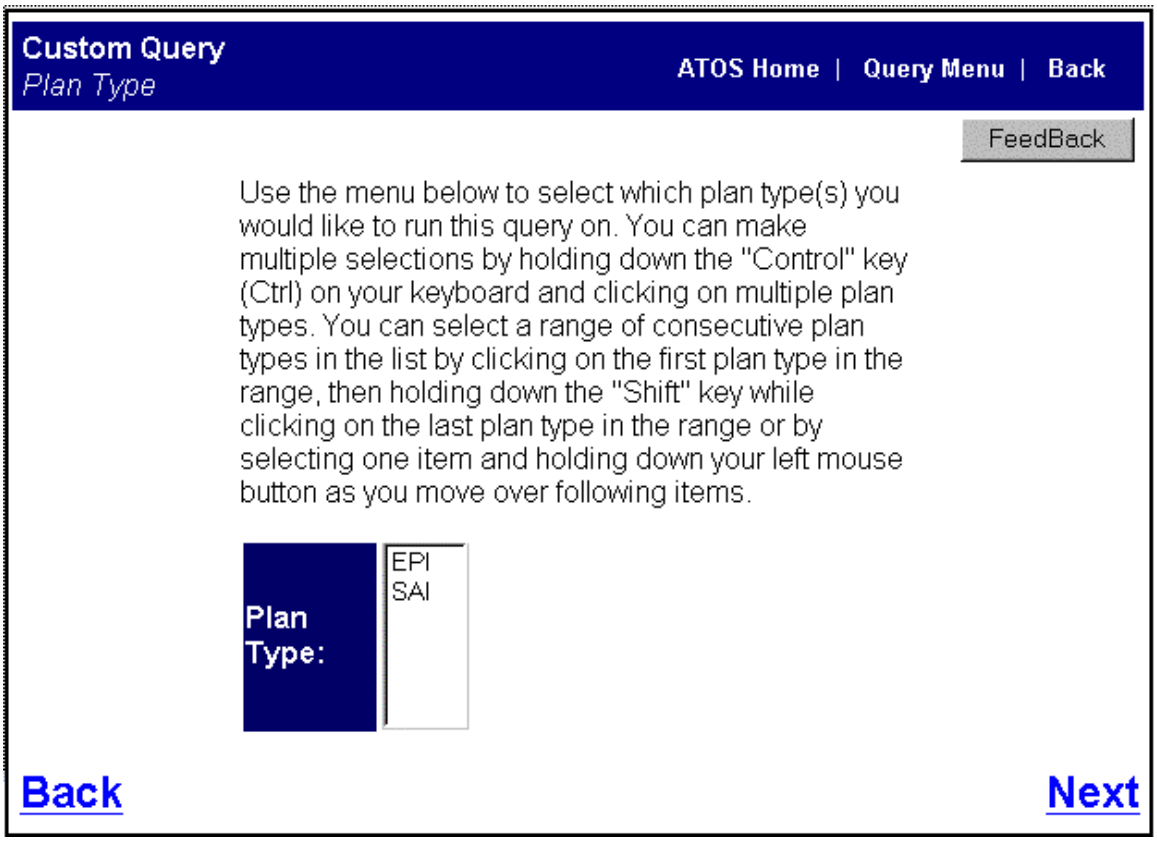


Figure 10-17: Custom Query - Plan Type

As noted in the on-screen instructions, you may choose one or more plan types to be included in the query. When you have made your selection(s), click on **Next** to move to the next criteria.

Click on **Back** if you wish to return to the previous criteria.

10.1.2.1.6 Compliance by Question -- Questions

Questions ***must*** be a criteria specified for this query. You will be presented with a screen to specify which ones. The beginning of such a list is shown as Figure 10-18 below:

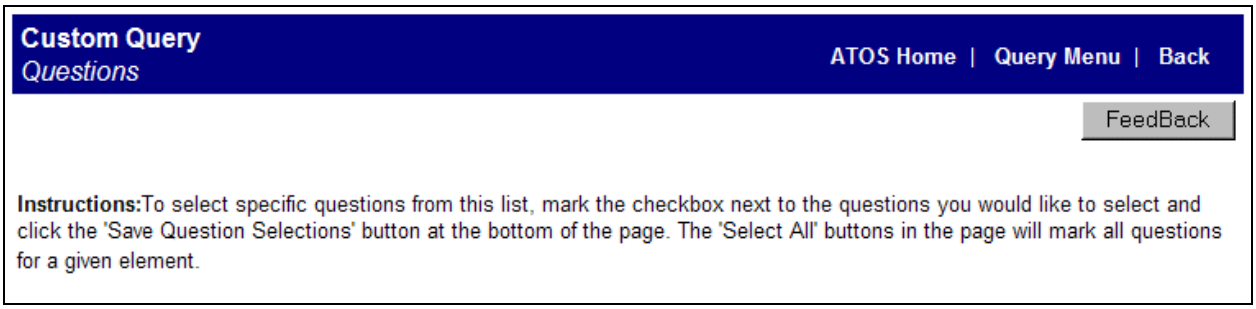


Figure 10-18: Custom Query - All Questions (top)

Topic links are presented at the top of the screen. Clicking on one of them moves you directly to the section of the page that contains those questions, thus saving you the time it would take to scroll through the entire page. If you included Plan Type and/or Specialty as a criteria, then fewer topic links would appear. Example: If you chose to consider only EPI and Airworthiness, then only those questions would appear and there would be no topic link to EPI – Operations or any SAI questions. Figure 10-19 illustrates such a case.

The questions are arranged first by Plan (SAI or EPI), then Specialty, then Element, with each subdivision identified by a different colored banner.

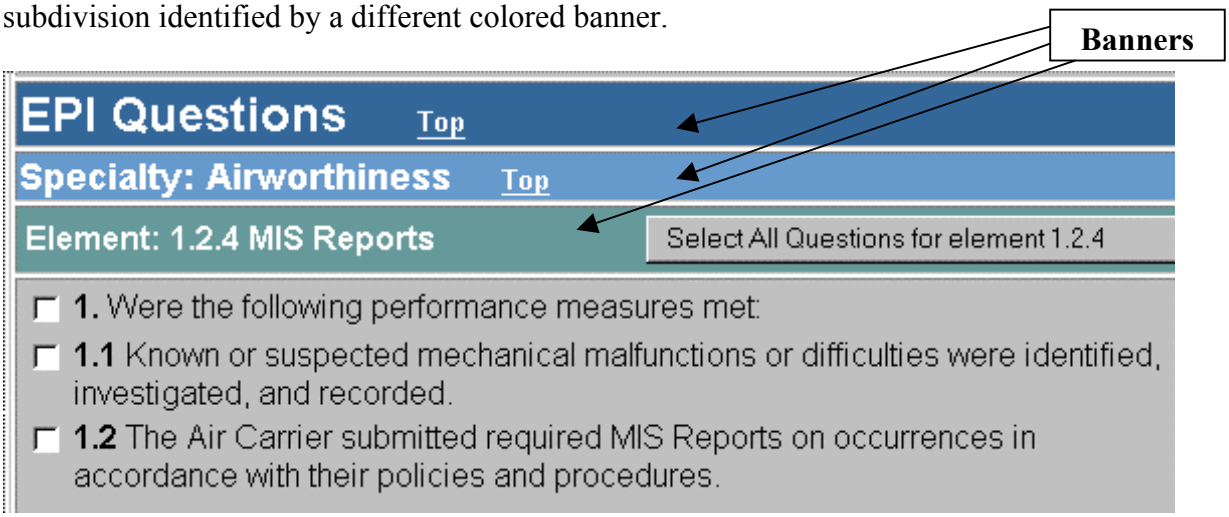


Figure 10-19: Custom Query - Specific Questions (top)

As noted in the on-screen instructions, you may choose one or more specific questions to be included in the query.

If you are interested in all of the questions for a given element, just click on the phrase, **Select All Questions for element …**and checkmarks will appear next to all of the questions in the

section that follows. When you use this method of choosing all of the questions, the phrase, "Select…" is replaced by "Deselect…" as shown in Figure 10-20:

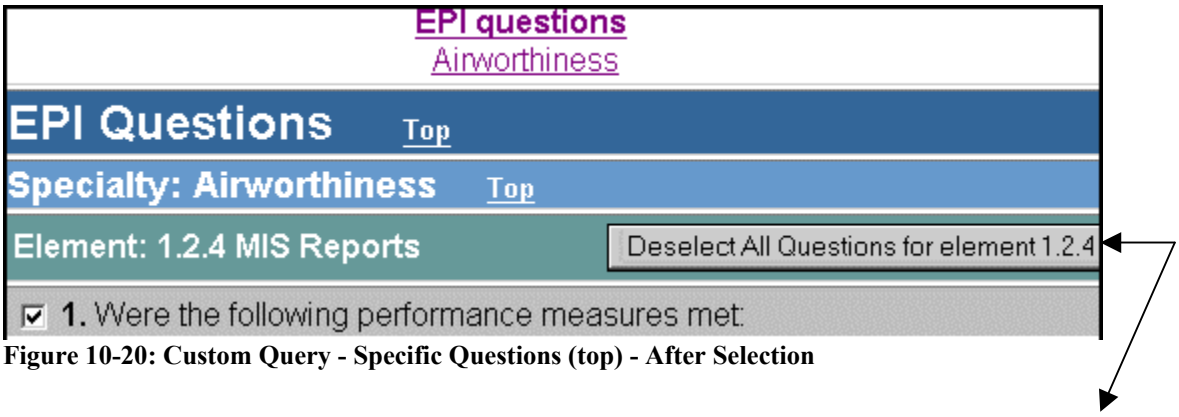


Figure 10-20: Custom Query - Specific Questions (top) - After Selection

Remove the checkmarks from all of the questions for a given element by clicking on the phrase **Deselect All Questions for element…** and the phrase will return to the Select All option.

Move through the list of questions until you are satisfied with your selections. Figure 10-21 shows the ending of the list of Questions:

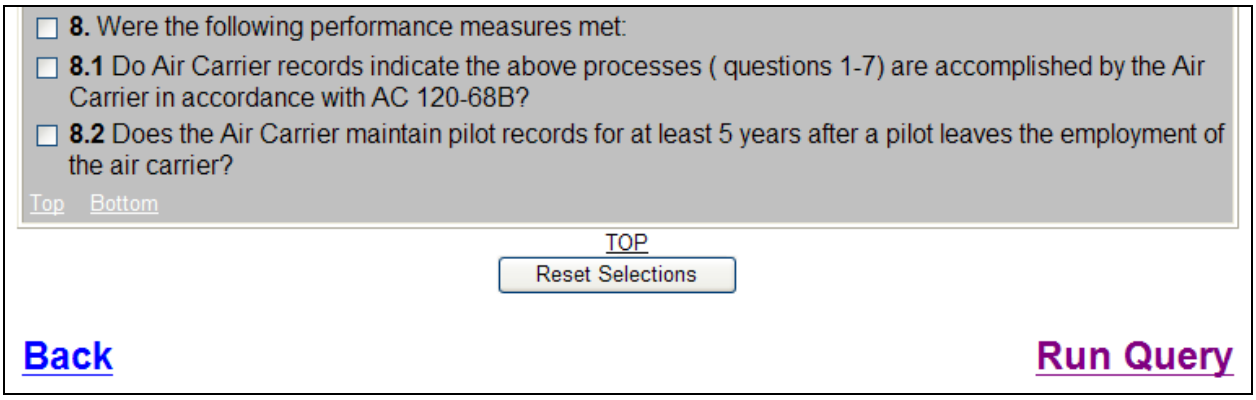


Figure 10-21: Custom Query - Questions (end)

The three buttons at the end of the listing represent your options for when you have finished selecting questions.

Click on "**Reset Selections**" to begin the page again. Click on **Top** to return to the top of the page.

When you are satisfied with your criteria selection, click on **Run Query**.

Figure 10-22 is an example of the top part of the results you can expect to see on your screen when you run your query. You are presented first with a summary of your query:

Custom Queries | Print | Back | Query Menu | ATOS Home

FeedBack

Jump to the SAI Activities section

You have selected the following information for: Compliance By Questions - SAI
Record Count: 314

Criteria	Selected Properties
Dates Range:	ALL
Air Carrier:	ALL
Specialty:	Airworthiness
Element:	1.2.2 - Major Repairs and Alterations - AW
Plan Type:	SAI
Questions:	Specified

Figure 10-22: Compliance by Question Results - Excerpt 1 (top)

Following the summary of your query will be the link that allows you to create a comma delimited text file. Section 10.1.4.3, Presentation of Data, illustrates this procedure.

(Click here to create a comma delimited text file)

Continental Airlines
Airworthiness
Element: 1.2.2 - Major Repairs and Alterations - AW
1. Does the air carrier measure the Major Repairs and Alterations process to indicate how well it is working?
Activity: 12020101

Related information:	
Activity Start Date:	02/02/1999
Activity End Date:	09/22/1999
Location Departure Point:	HOU
Arrival Point:	HOU
Repair Station:	

Figure 10-23: Compliance by Question Results - Excerpt 2 - Banners

Figure 10-23 shows the beginning of the results for the sample query. The information is arranged in a hierarchy that is identifiable by colored banners with white print. In the sample shown, the first (black) banner is the header for all of the information that follows that pertains to that one air carrier. There will not be another black banner until information is shown on a different air carrier. The next banner is the header for all the Airworthiness information for that carrier. The first element that falls under Airworthiness is shown next, followed by each activity under that element. The (green) Activity banner will be present each time a new activity under

that same element is presented. The different colored banners make it easy to tell when you are looking at a new element, specialty, or air carrier.

If you would like a printed copy of your results, click on the printer icon on the title bar of the query results on your screen. The window that appears is the same as appears in your other Windows applications. If you want less than the entire report, for example, just selected pages, or if you would like more than one copy, make those changes on the print window before clicking on the "OK' to start the print.

10.1.2.2 System Saved Queries -- Compliance by SRR

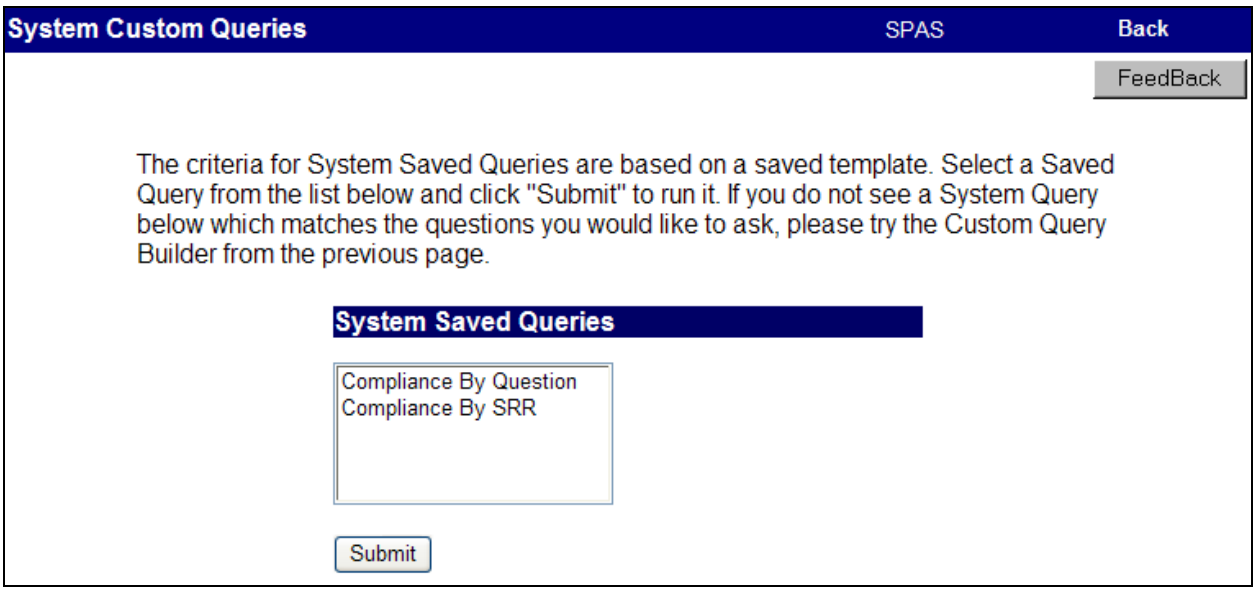


Figure 10-24: System Custom Queries - Compliance By SRR Selection

Selecting "Compliance by SRR" from the list of System Saved Queries menu, as shown in Figure 10-24, brings you to the Custom Query – Compliance by SRR screen, Figure 10-25.

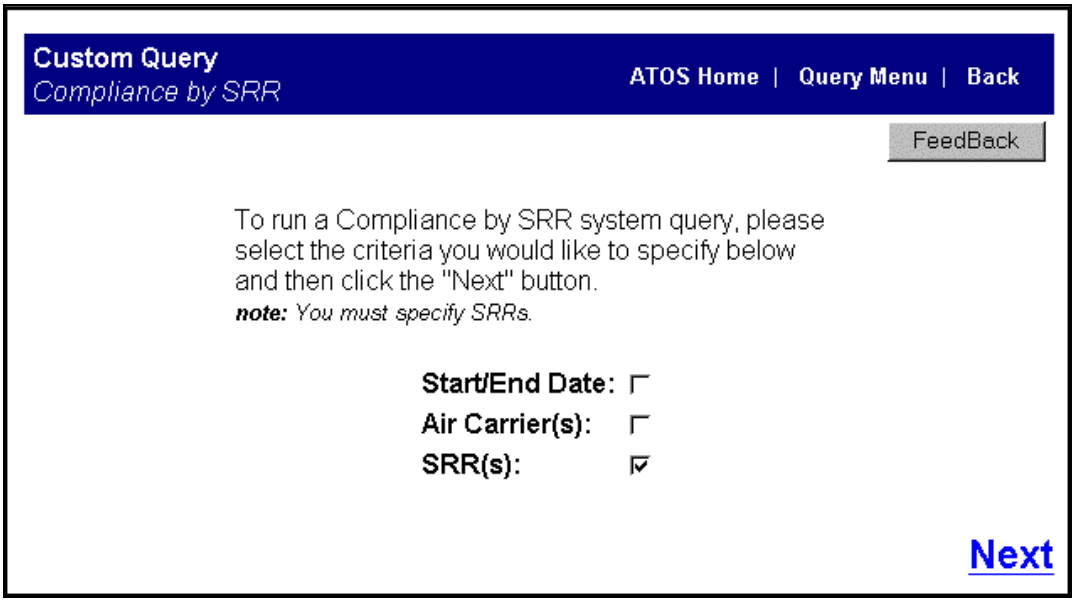


Figure 10-25: System Custom Queries - Compliance By SRR Selection

Add to the query criteria by clicking to the right of Start/End Date and/or Air Carrier(s). If you do not mark a criteria for further definition, then all possible combinations will be included in your query. When you have finished, click on **Next**. The screens that follow will depend upon which item(s) you selected for your query.

10.1.2.2.1 Compliance by SRR -- Start/End Date

If you selected "Start/End Date" as a criteria from the Custom Query – Compliance by SRR screen, you will be presented with the Custom Query - Date screen, Figure 10-26, to specify a start or end date:

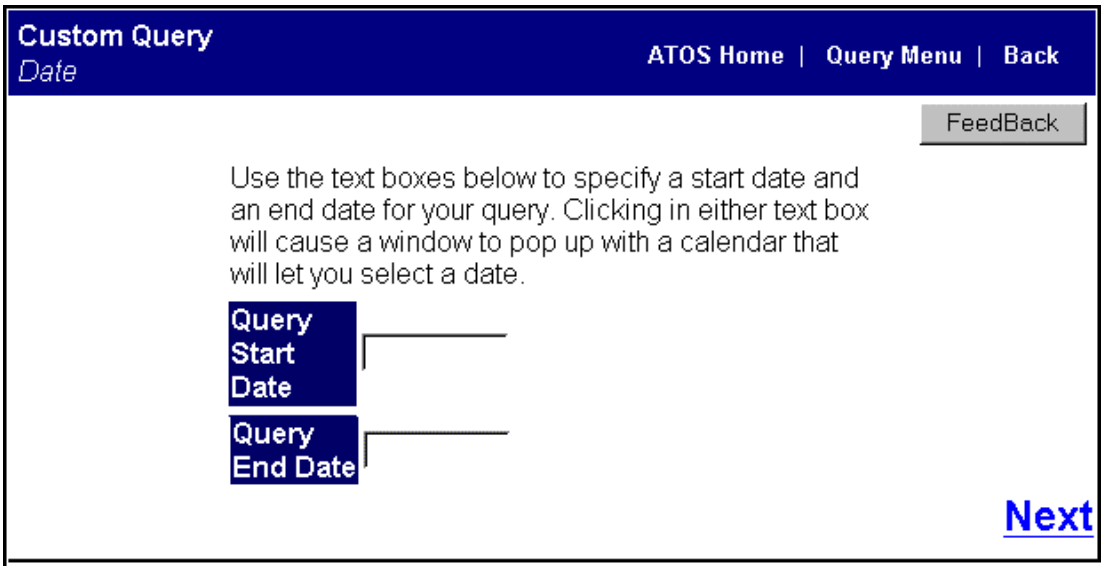


Figure 10-26: Custom Query – Date

Figure 10-27: Calendar

When you click in the area to the right of the date label, a calendar, such as the one shown as Figure 10-27, will appear showing the current month and year. Overwrite the year, if necessary, by clicking in the year field and using the backspace and/or delete keys to make room for the year you want as a start or end date for your query. The calendar days change to match the month in the year that you have specified.

Next, change the month, if necessary, by clicking on the arrow to the right of the current month and selecting from the listing that pops up. The calendar numbers will change to match the month you have chosen.

Lastly, click on the day of the month that will start or end your query. The calendar window will go away and the date will appear in the box to the right of the start or end date.

If you do not specify a start date, all dates up through your end date will be included in the query. If you do not specify an end date, all dates from your start date through the current date will be included.

Click on **Next** to continue.

10.1.2.2.2 Compliance by SRR -- Air Carriers

If you've included air carrier(s) as a criteria on the Custom Query – Compliance by SRR screen, you will be presented with the Custom Query – Air Carrier screen, Figure 10-28 to specify which air carriers you are interested:

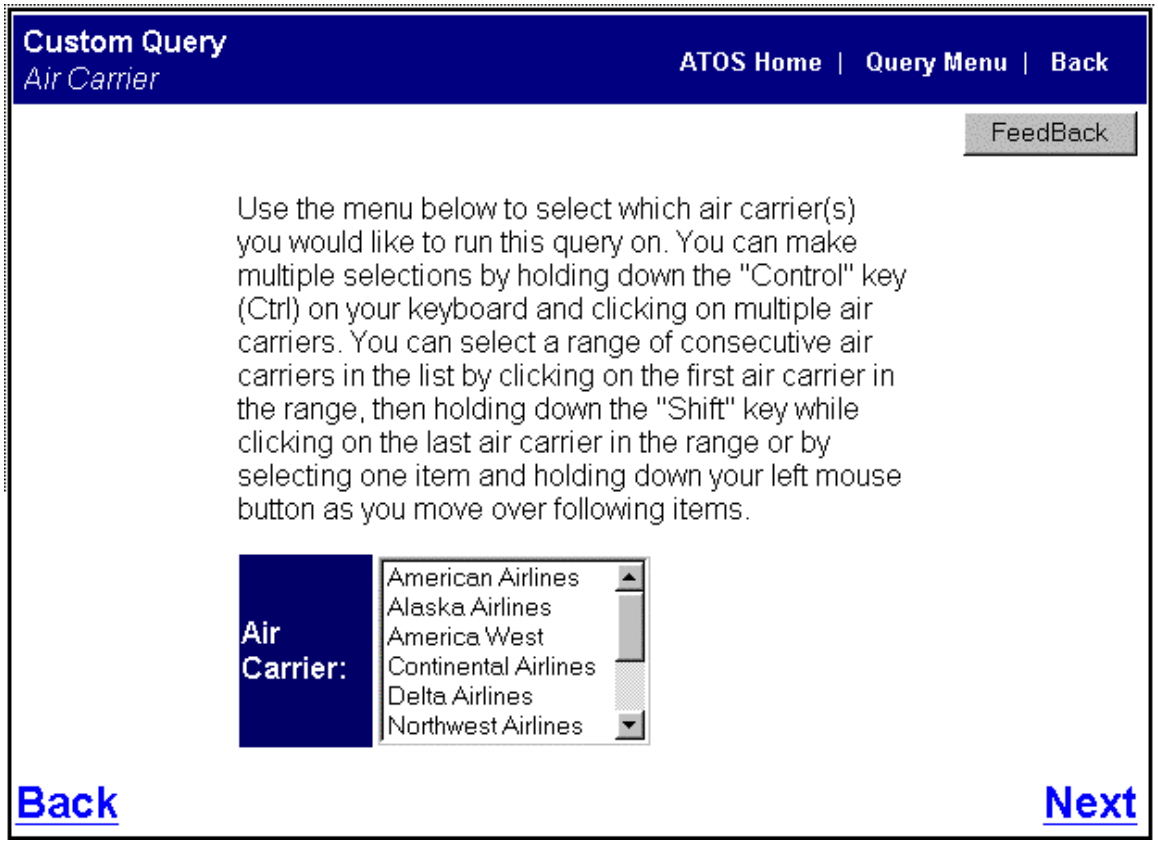


Figure 10-28: Custom Query - Air Carrier

As noted in the on-screen instructions, you may choose one or more air carriers to be included in the query. When you have made your selections, click on **Next** to continue.

Click on **Back** if you wish to return to the previous criteria.

10.1.2.2.3 Compliance by SRR -- SRRs

The Custom Query – SRRs screen, Figure 10-29, is used to select which SRRs you would like to check for compliance.

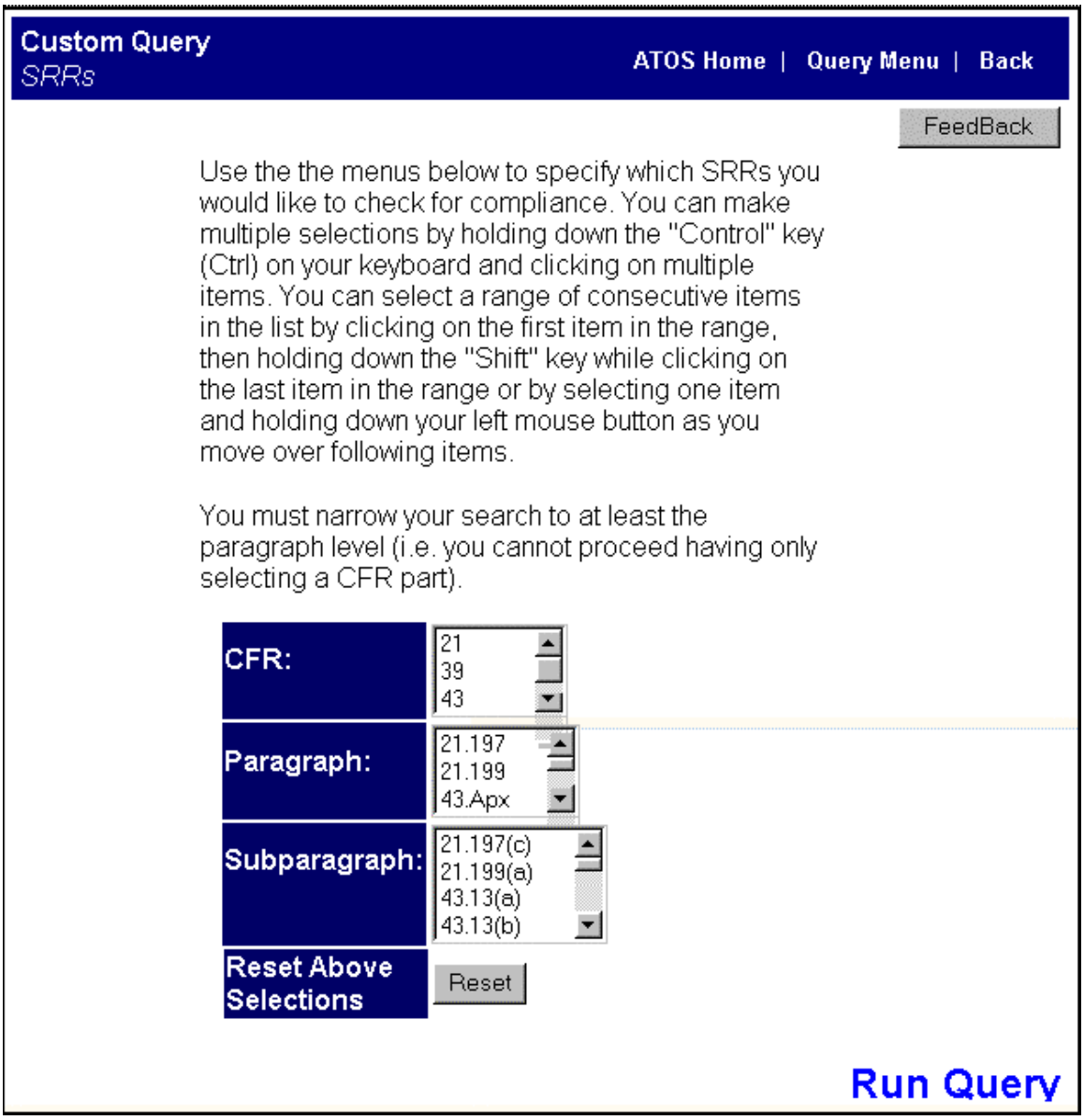


Figure 10-29: Custom Query - SRRs

When you choose a CFR, you will see the paragraph number choices change to reflect those contained in the selected CFR. Likewise, selection of a paragraph number triggers the associated listing of subparagraph numbers showing in the section below. As noted in the on-screen instructions, you must narrow your search to at least the paragraph level.

Click on the **Reset** button to change which CFRs are to be included in the query. Note that this just resets the CFRs –not the entire query.
When you have completed your selections, click on **Run Query** in the lower right corner. Your query may take a few moments to process, depending upon your criteria. The results of the query will appear on your screen. It is likely that you will need to use the vertical scroll bar to see the entire set of results. Figure 10-30 shows the top part of the results of a Compliance by SRR query.

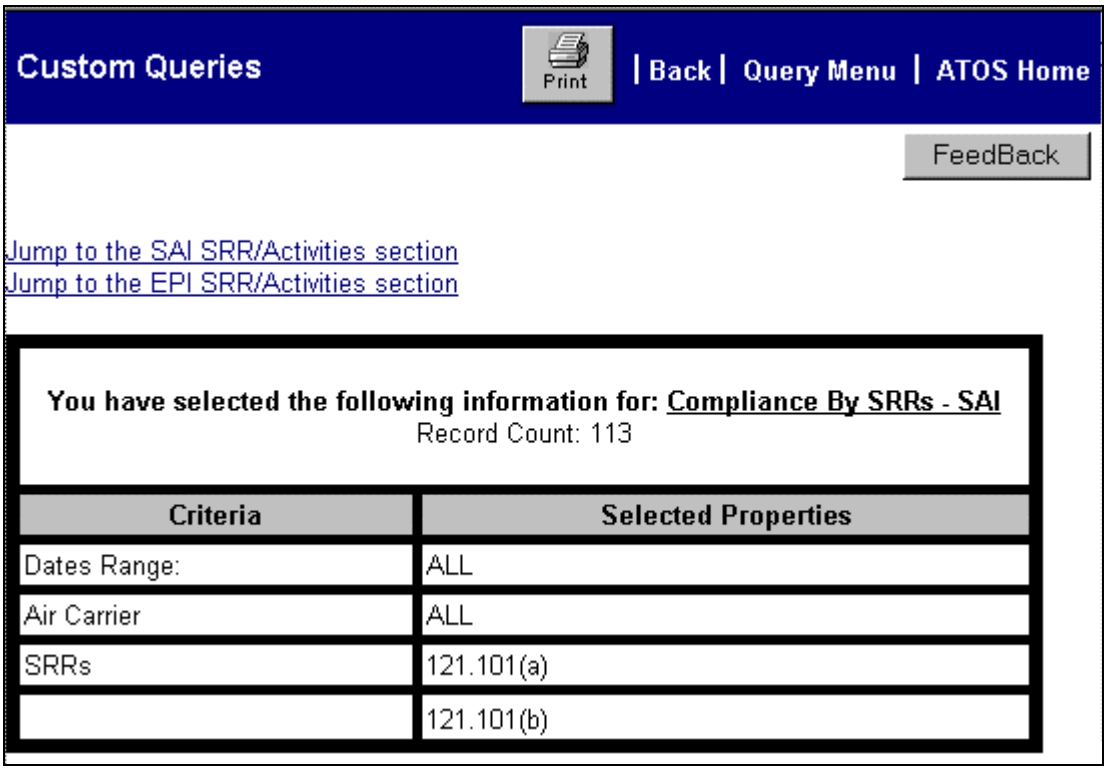


Figure 10-30: Compliance by SRR - Sample Query Results - Excerpt 1 (top)

You can move quickly to the SAI section or the EPI section by clicking on one of the "Jump to" options near the top of the page of results on your screen. Note that the first thing to be presented is a summary of the criteria you chose for your query. Then, before the results of the query are presented, there is a link that allows you to create a comma delimited text file. Section 10.1.4.3, Presentation of Data, illustrates this procedure.

Figure 10-31 shows a sample of the beginning of the data that follows the summary of your query.

(Click here to create a comma delimited text file)

American Airlines
Plan: 13103 - SAI
SRR: 121.101(a)
Activity: 32010103

Related information:	
Activity Start Date:	06/22/1999
Activity End Date:	07/14/1999

Figure 10-31: Compliance by SRR - Sample Query Results - Excerpt 2

Following the listing of **Related information** under the Activity banner, you will have the opportunity to see related SRRs by clicking on a question number as illustrated in Figure 10-32.

Click here to see related SRRs.

Section: 3

Performance Measures/Questions responded to:
(Click on the Question Number to display related SRRs)

Question	Description	Results	Explanation
1.1-Sec 3	Do written procedures exist to identify the information needed to prepare the release (i.e. weather, NOTAMS, expected delays, MEL/CDL items)?	Y	

Figure 10-32: Compliance by SRR - Sample Query Results - Excerpt 3

Custom Queries | Print | Back | Query Menu | ATOS Home

For a printed copy of your results, click on the printer icon on the title bar at the top of the query results on your screen. The window that appears is the same as appears in your other Windows applications. If you want less than the entire report, for example, just selected pages, or if you would like more than one copy, make those changes on the print window before clicking on the "OK' to start the print.

10.1.3 Your Saved Queries

Figure 10-33: ATOS Custom Queries - Your Saved Queries Selection

Clicking on **Your Saved Queries** or **Run Your Saved Queries** from the ATOS Custom Queries menu, Figure 10-33, will bring a screen that lists the queries you have previously saved under names you pick yourself. If you have not yet used the Custom Query Builder to save your own query, then there will be no queries for you to reference on this screen. The sample shown as Figure 10-34 is for a user who has built and saved two Custom Queries.

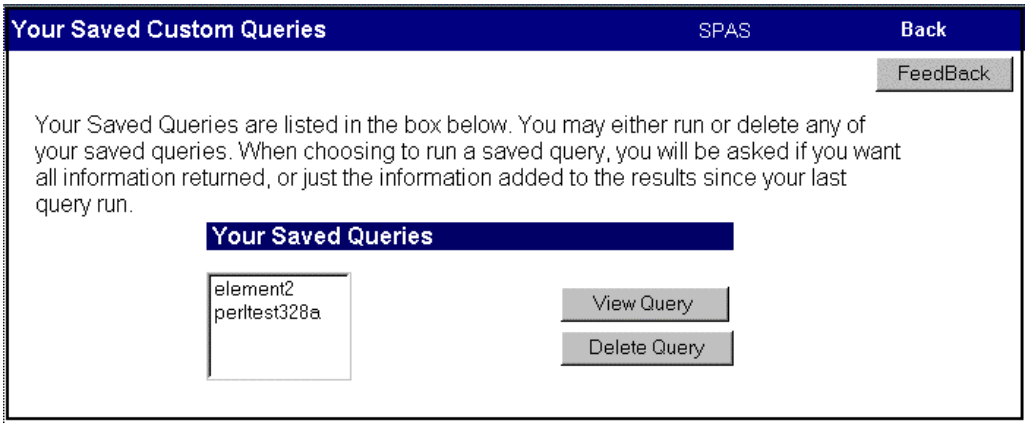


Figure 10-34: Your Saved Custom Queries Menu

When you have your own saved queries, click on one of the listed queries to select it for viewing or deletion. If you click on **View Query** or **Delete Query** before actually selecting a query, the screen will remain as is—you must select a query from the list first.

10.1.3.1 View Your Saved Query

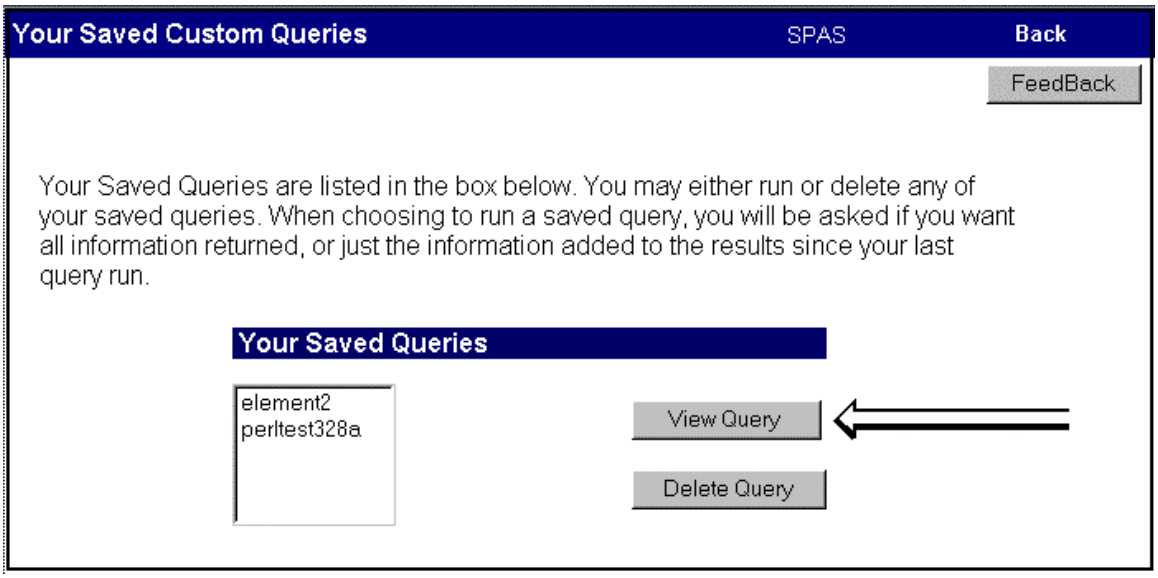


Figure 10-35: Your Saved Custom Queries - View Query Selection

Clicking **View Query** (Figure 10-35) will provide you with a display that includes the name of the query you selected, the date and time that it was last accessed, and some detail of the criteria it contains. A sample is shown as Figure 10-36:

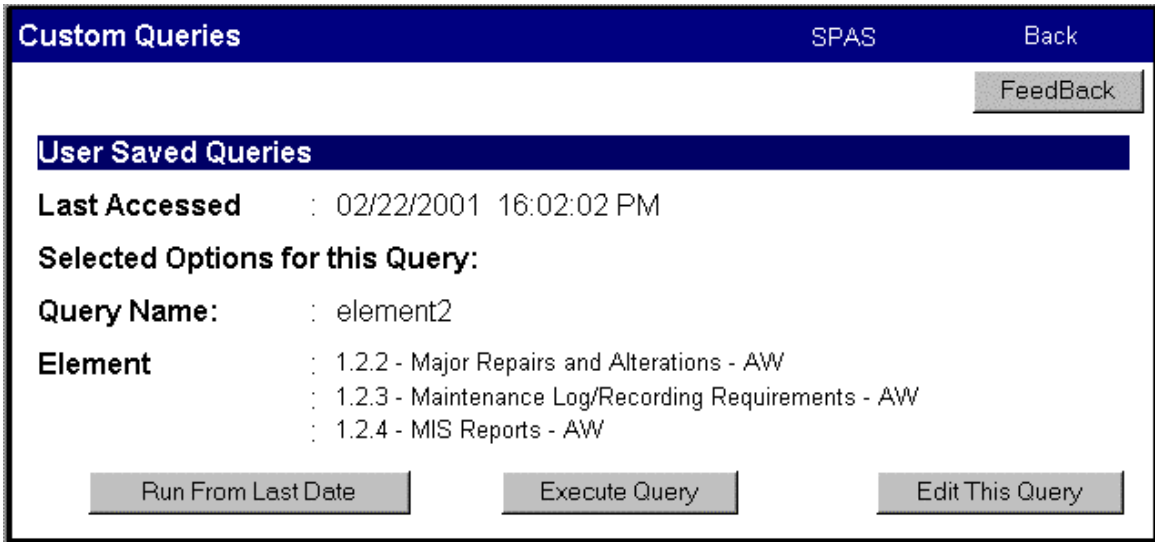


Figure 10-36: Custom Queries – User Saved Query Displayed

The buttons along the lower edge of the details of your saved query give you three options, explained below:

Run From Last Date

This is most useful if you are keeping print copies of previous runs and need only update your records. Use this option if you want to see just what has been added to the database since your last query, without including all of the data you retrieved in the previous running of the query.

Execute Query

Run the query exactly as it's set up now. Use this option if you need a complete report, not just an update to a previous run.

Edit This Query

Choosing this option brings you to the same Custom Query builder you would see if you were initiating this Custom Query. You may then revise your criteria and "Save as" a different name, thus keeping both the old and revised versions of the query. If the revised query is taking the place of the old query, you may want to save it with the same name. Not sure? Give the revised query a new name. You can always go into "Your Saved Queries" and delete a query you no longer want.

10.1.3.2 Delete Your Saved Query

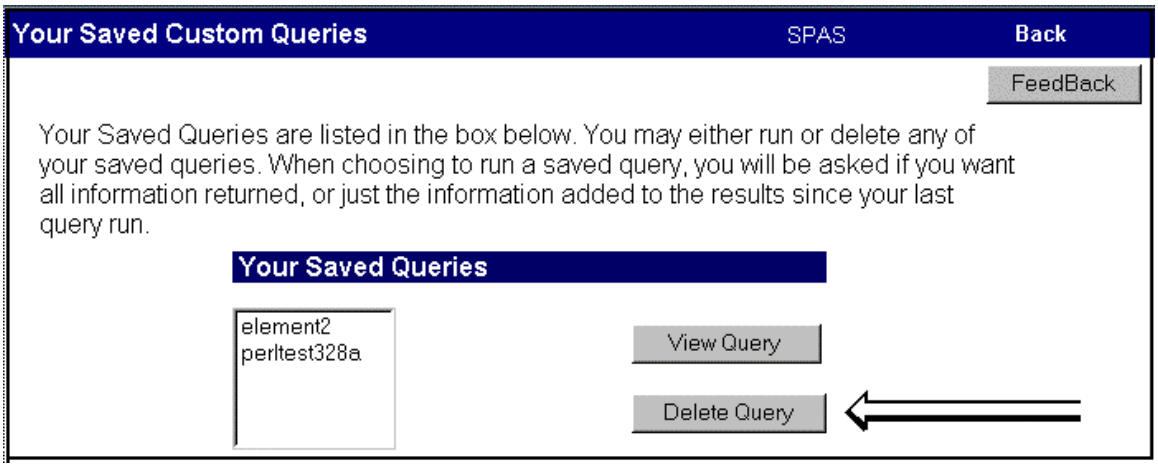


Figure 10-37: Your Saved Custom Queries – Delete Query Selection]

Clicking on **Delete Query** (Figure 10-37) brings you a verification window, as shown in Figure 10-38.
Click on the **OK** button to delete.
Click on Cancel to abort the action.

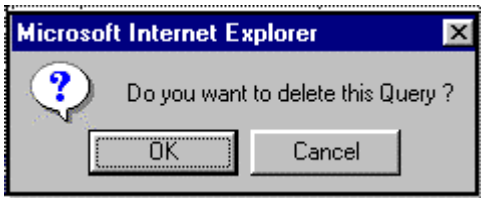


Figure 10-38: Verify Deletion

10.1.4 Custom Query Builder

Figure 10-39: ATOS Custom Queries – Custom Query Builder Selection

Clicking on **Custom Query Builder** or **Create a Custom Query** from the ATOS Custom Queries menu, Figure 10-39, brings you the Custom Query builder screen, Figure 10-40:

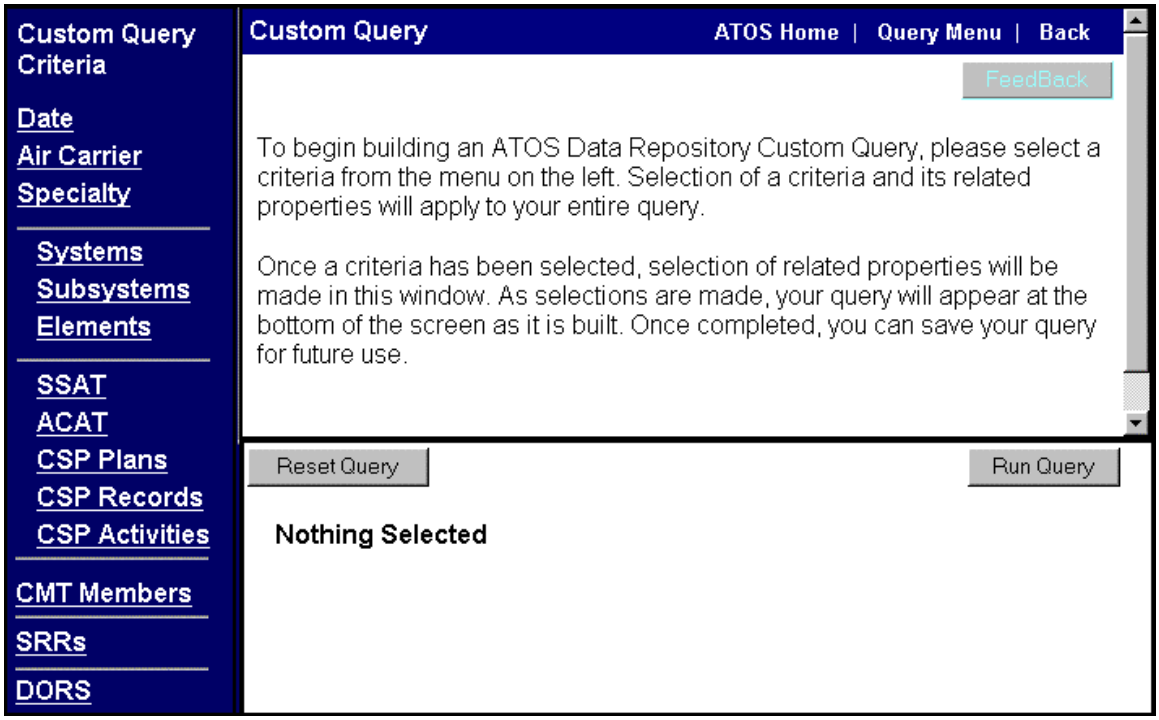


Figure 10-40: Custom Query Builder

The panel along the left edge of the Custom Query builder screen lists the various high level criteria from which you may choose to create your query. Each of these is discussed in the section that follows, 10.1.3.1, Selection of Custom Query Criteria.

The title bar over the wider window to the right contains the links that will return you to your ATOS Home Page, the Query Menu from which you chose Custom Query, or one step back in your query building.

The window just below the title bar provides guidance for building your query as you select properties under high level criteria. The **Feedback** button in the upper right corner is your opportunity to alert the ATOS Automation Help Desk of any suggestions you have or of any problems you encounter. (See Section 10.1.1 – Feedback)

The lower window lists the criteria you have selected and shows the buttons you may use to reset or run your query. In the illustration shown above, no criteria have been specified, so "Nothing Selected" appears. As you build your query, the lower window will show the phrase "You asked about:" followed by your selection criteria.

The second and subsequent times you enter the Custom Query builder, you may see a list of criteria already specified. When this is the case, start fresh by clicking on the **Reset Query** button in the lower window. When you do so, you will receive a warning window, Figure 10-41:

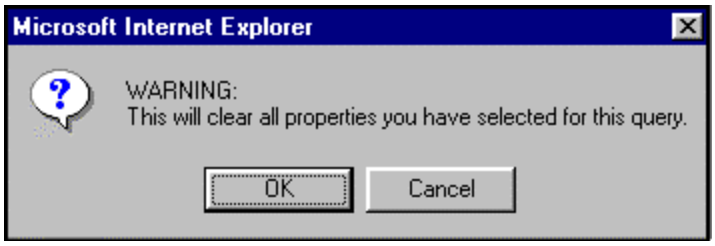


Figure 10-41: Custom Query Builder Reset Warning

Click on **Cancel** and no change will occur, that is, the same criteria will be listed as before.

Click on **OK** and the previously selected criteria are cleared and you may begin to select new criteria.

10.1.4.1 Selection of Custom Query Criteria

Each time you click on one of the high level criteria in the left panel of the Custom Query Builder, another window will appear on the right for you to specify your choices. When you have finished, you will be returned to the Query Builder page and offered an opportunity to choose additional criteria or to run your query.

Some criteria ***require*** selection of properties, for example, date. Selecting date as a criteria requires that exact dates be specified.

Other criteria have ***optional*** properties that you may select or not. Optional properties can be hidden, that is, considered in the query, but not shown in the output.

In general, if you choose none of the optional selections, then all properties will be considered in the query. If you choose one or more of the selections, then only those you have chosen will be part of the output. If you choose to exclude some data, it will still be considered in your query, but will not show in the output.

All data stored in the ATOS Data Repository can be related to one of the seven Systems (i.e., Activities belong to Records—Records are associated with an Element—Elements are related to Sub-Systems—Sub-Systems are related to Systems). If you ask for all systems, you are looking at the entire ATOS Data Repository. It is important to remember that selection of one criteria can limit the inclusion of other criteria, for example, selecting one system will produce results that include activities only if they are under that one system.

Every selection narrows down the data to just that information that is useful to you, that is, will answer your question. Ask yourself what you already know: Did the events…

- …take place in a certain time frame?
- …involve only one or two air carriers?
- …deal with a particular regulation?

Failure to specify criteria could result in thousands of pages of data!

10.1.4.1.1 Custom Query Criteria -- Date

Selection of "Date" from the list of Custom Query Criteria brings you Figure 10-42, Custom Query – Required Properties for Date screen:

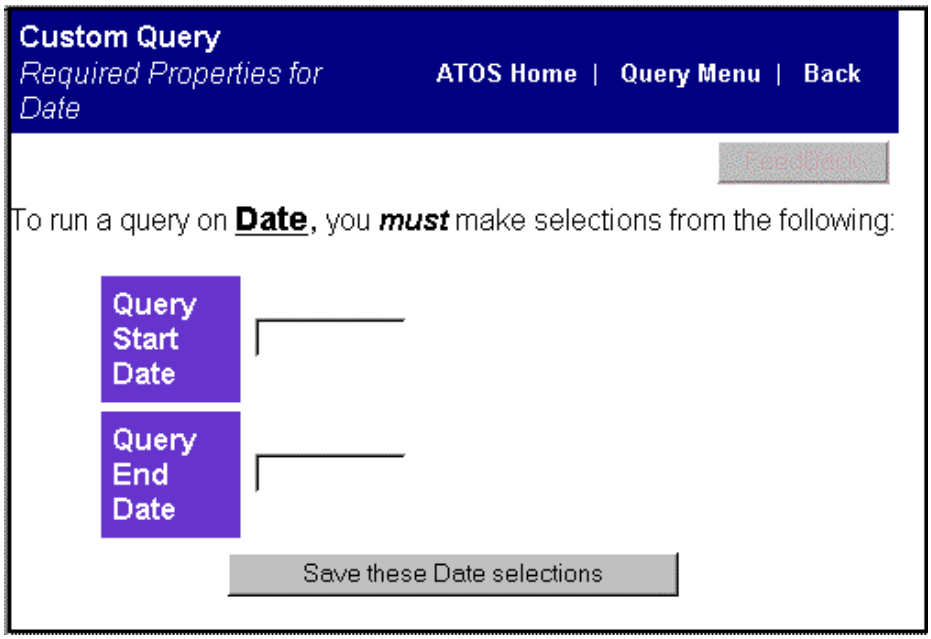


Figure 10-42: Custom Query – Required Properties for Date

When you click in the area to the right of the date label, a calendar will appear showing the current month and year.

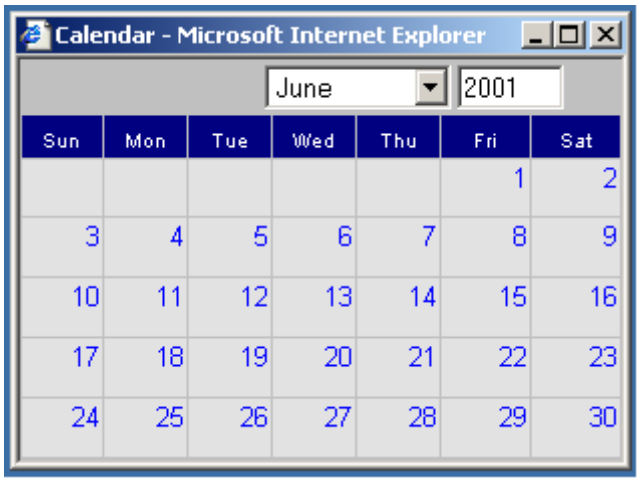


Figure 10-43: Calendar

When you click in the area to the right of the date label, a calendar, such as the one shown as Figure 10-43, will appear showing the current month and year. Overwrite the year, if necessary, by clicking in the year field and using the backspace and/or delete keys to make room for the year you want as a start or end date for your query. The calendar days change to match the month in the year that you have specified.

Next, change the month, if necessary, by clicking on the arrow to the right of the current month and selecting from the listing that pops up. The calendar numbers will change to match the month you have chosen.

Lastly, click on the day of the month that will start or end your query. The calendar window will go away and the date will appear in the box to the right of the start or end date.

If you do not specify a start date, all dates up through your end date will be included in the query. If you do not specify an end date, all dates from your start date through the current date will be included.

An example of completed date selection is shown as Figure 10-44:

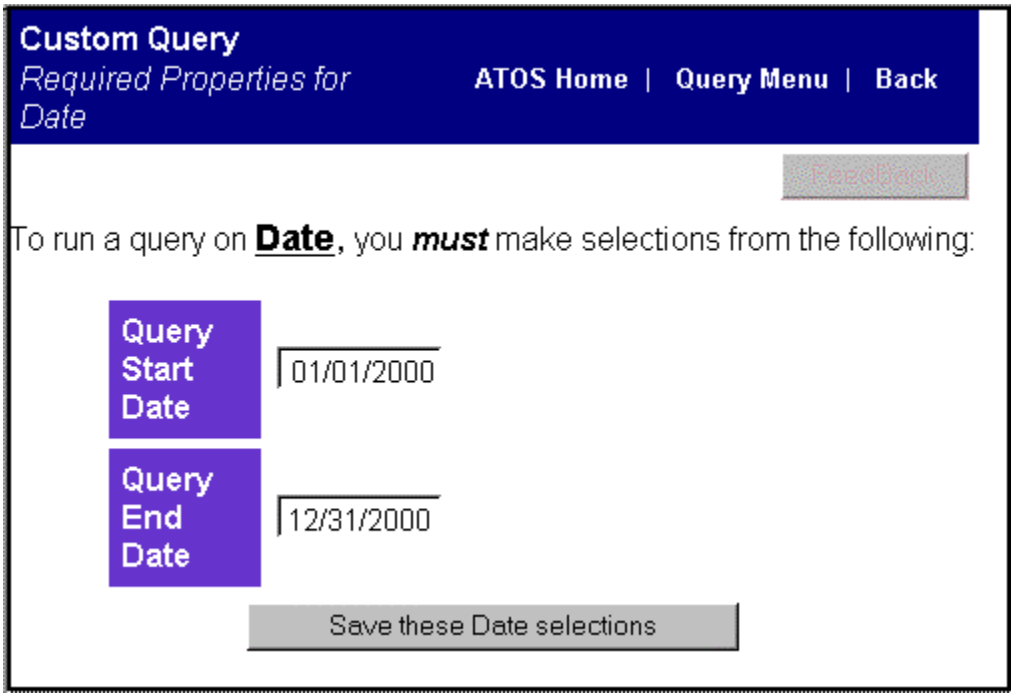


Figure 10-44: Custom Query Date Sample

When you have finished, click on **Save these Date selections** at the bottom of the screen. You will then see the "Date" criteria added after the phrase, "You asked about:" in the lower window of the Custom Query builder, as shown in Figure 10-45.

Figure 10-45: Custom Query Criteria – Date Selected

10.1.4.1.2 Custom Query Criteria -- Air Carrier

Selection of "Air Carrier" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for Air Carrier screen, Figure 10-46:

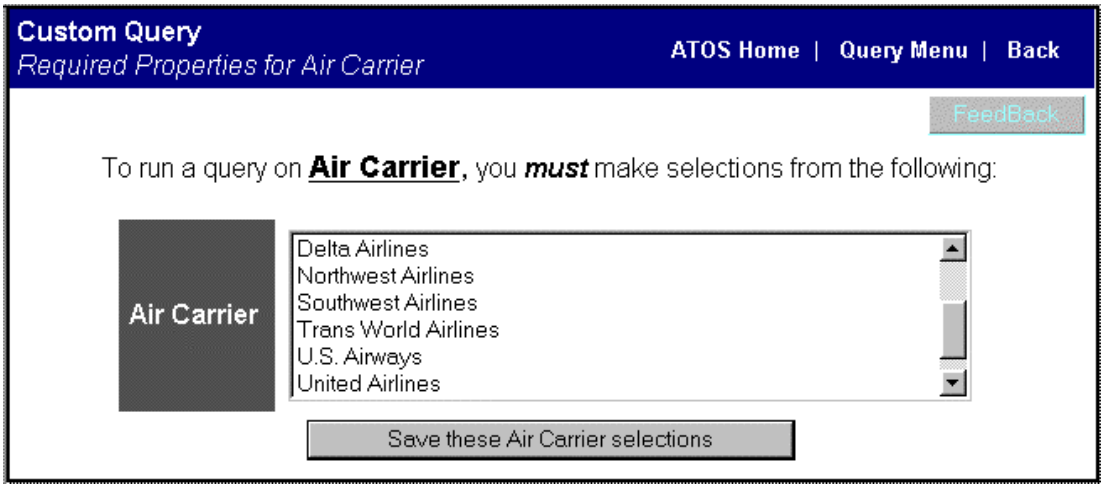


Figure 10-46: Custom Query – Required Properties for Air Carrier

Click on the airline(s) you want to include in the query. In Figure 10-47, one air carrier is selected. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

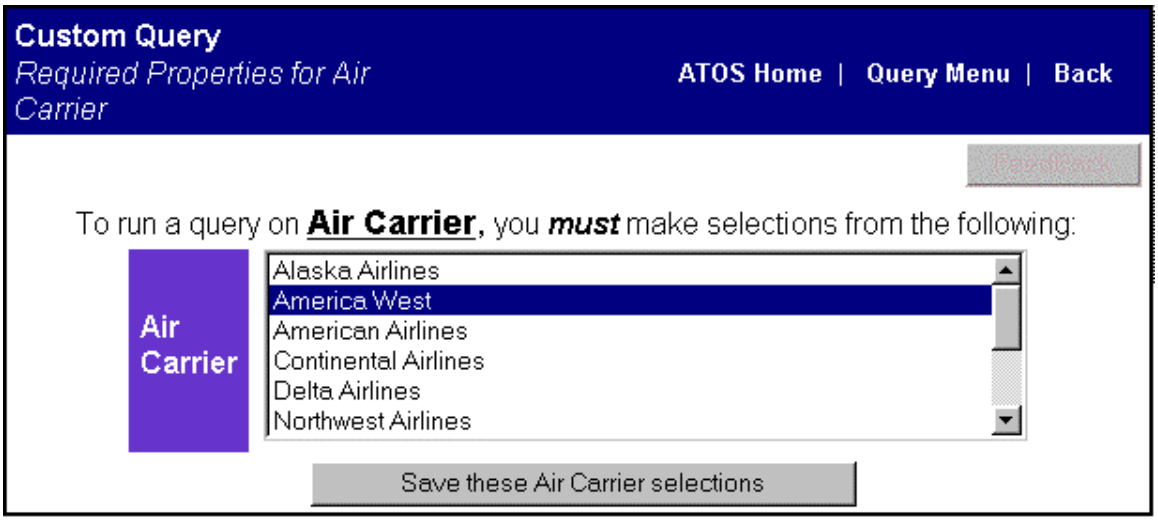


Figure 10-47: Custom Query – Selection of One Air Carrier

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these Air Carrier selections**. When you do so, you will see the "Air Carrier" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder, as shown in Figure 10-48:

Figure 10-48: Custom Query Criteria, Date and Air Carrier Selected

10.1.4.1.3 Custom Query Criteria -- Specialty

Selection of "Specialty" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for Specialty screen, Figure 10-49:

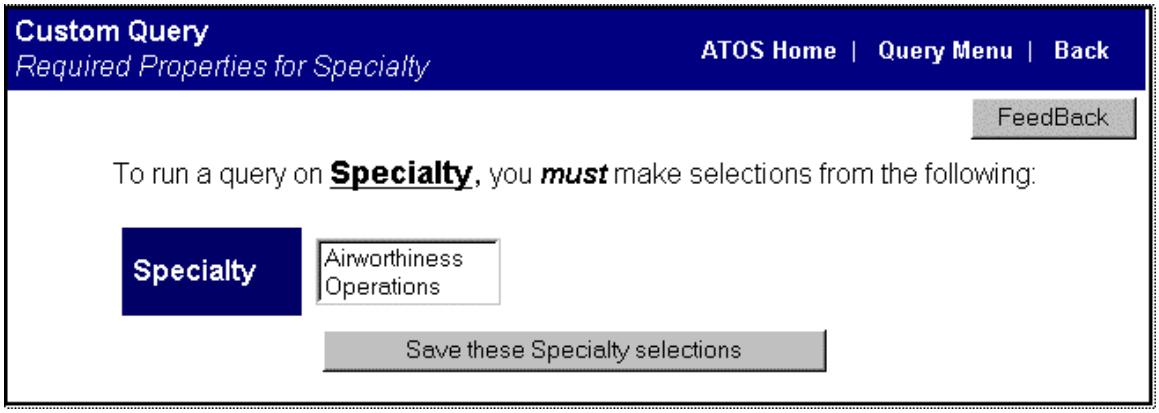


Figure 10-49: Custom Query – Required Properties for Specialty

Click on the Specialty or Specialties you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these Specialty selections**. When you do so, you will see the "Specialty" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, Specialty has not been chosen as a criteria; therefore, both Airworthiness and Operations will be included in the query results.

10.1.4.1.4 Custom Query Criteria -- Systems

Selection of "Systems" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for Systems screen, Figure 10-50:

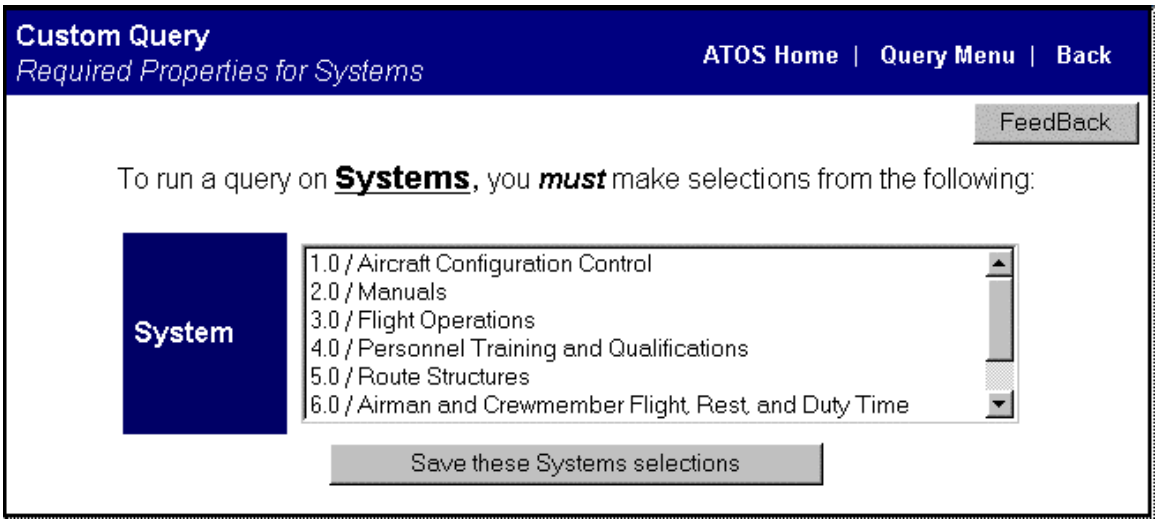


Figure 10-50: Custom Query – Required Properties for Systems

Click on the System(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

Do use caution when using Systems as a criteria, since all data stored in the ATOS Data Repository can be related to one of the seven Systems. Selecting one system will produce results that include activities only if they are under that system.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these Systems selections**. When you do so, you will see the "System" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* systems; therefore, none are specified as a criteria.

10.1.4.1.5 Custom Query Criteria -- Subsystems

Selection of "Subsystems" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for Subsystems screen, Figure 10-51:

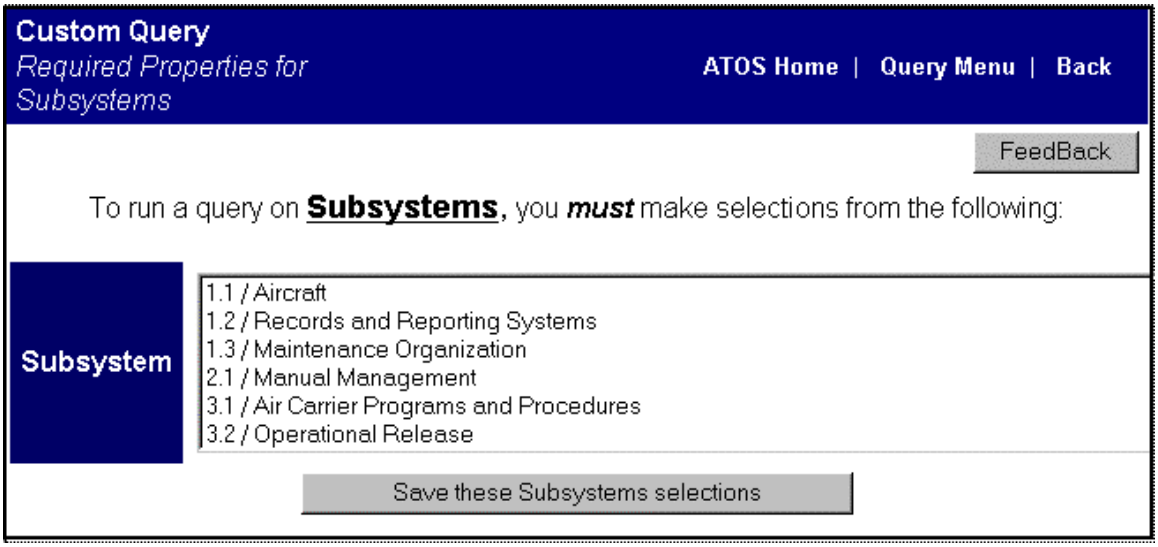


Figure 10-51: Custom Query – Required Properties for Subsystems

Click on the Subsystem(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these Subsystems selections**. When you do so, you will see the "Subsystem" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* subsystems; therefore, none are specified as a criteria.

10.1.4.1.6 Custom Query Criteria -- Elements

Selection of "Elements" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for Elements, Figure 10-52:

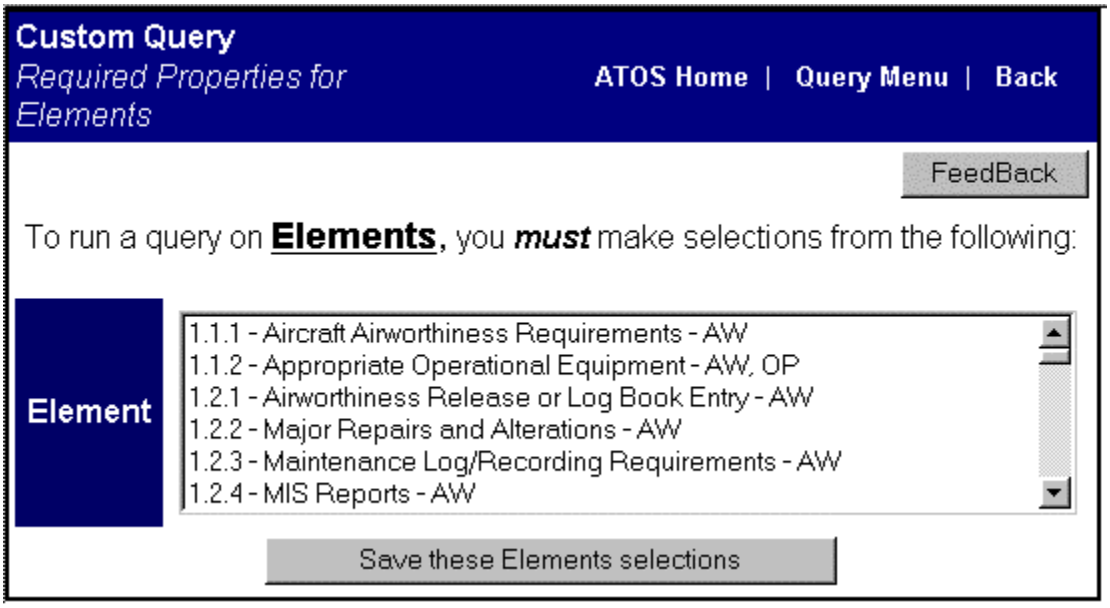


Figure 10-52: Custom Query – Required Properties for Elements

Click on the Element(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these Elements selections**. When you do so, you will see the "Element" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* elements; therefore, none are specified as a criteria.

10.1.4.1.7 Custom Query Criteria -- SSAT

Selection of "SSAT" from the list of Custom Query Criteria brings you to the Custom Query – Optional Properties for SSAT screen, Figure 10-53:

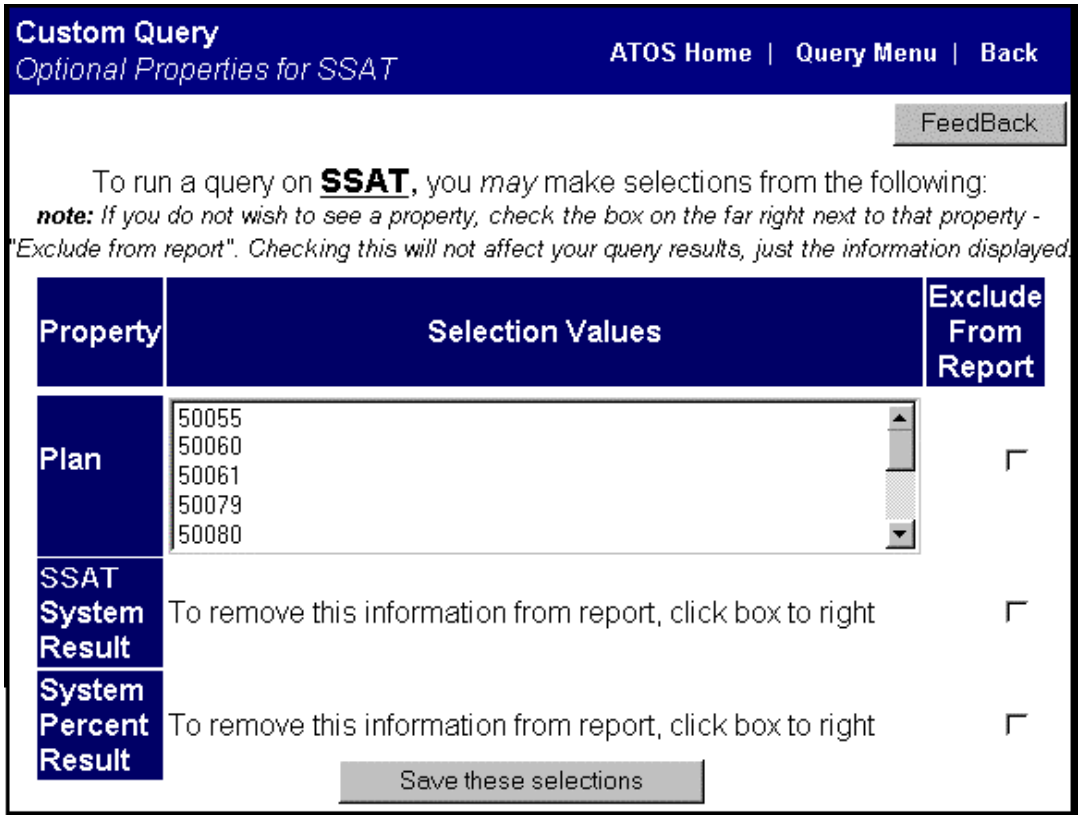


Figure 10-53: Custom Query – Optional Properties for SSAT

Click on the Plan(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

You have the option of excluding a property from your query results by clicking on a box under the header of "Exclude From Report." This will not affect your query – just the information that is displayed.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these selections**. When you do so, you will see the "SSAT" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* SSAT properties; therefore, none are specified as a criteria.

10.1.4.1.8 Custom Query Criteria -- ACAT

Selection of "ACAT" from the list of Custom Query Criteria brings you to the Custom Query – Optional Properties for ACAT screen, Figure 10-54:

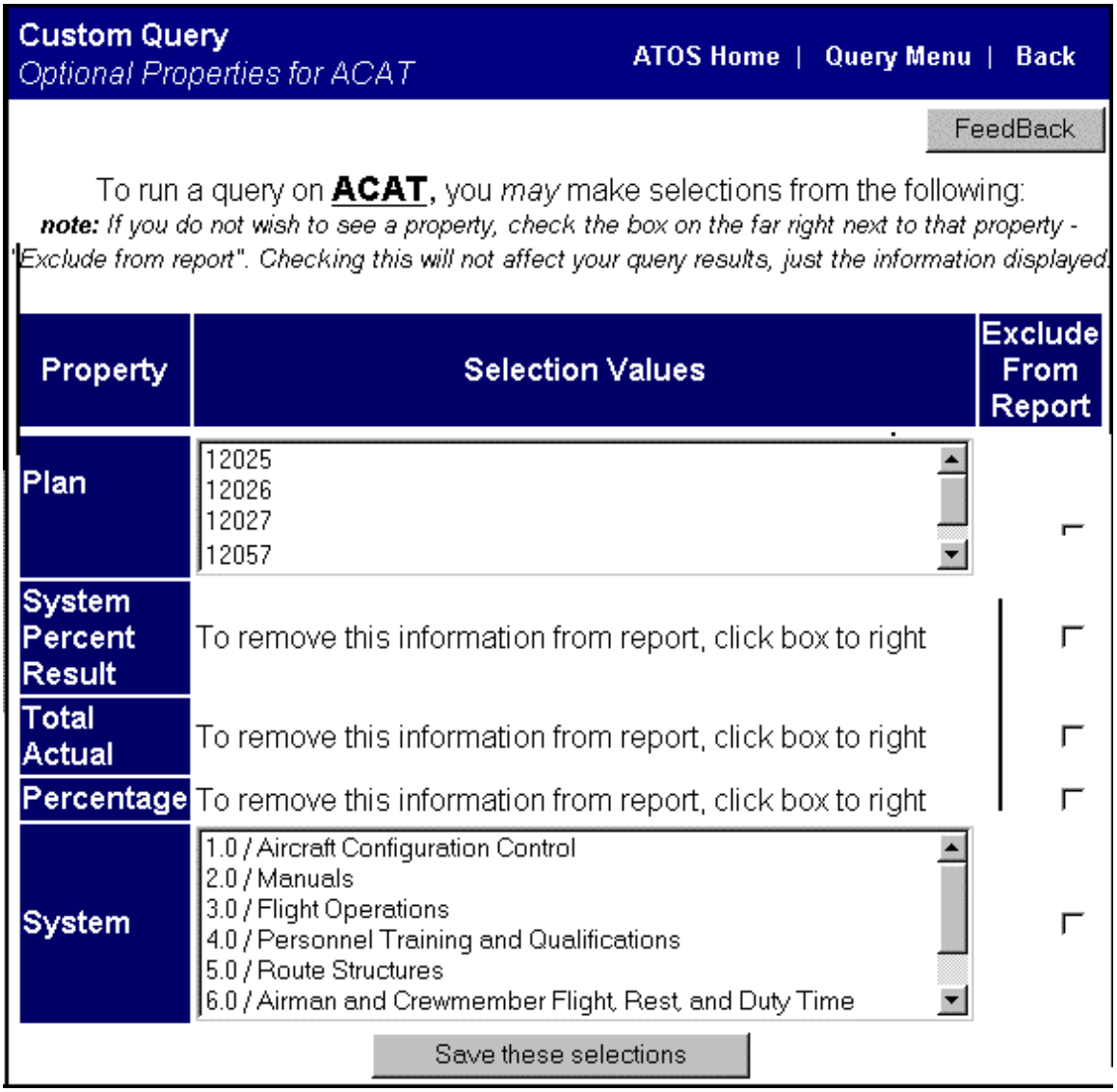


Figure 10-54: Custom Query – Optional Properties for ACAT

Click on the Plan(s) and System(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

You have the option of excluding a property from your query results by clicking on a box under the header of "Exclude From Report." This will not affect your query – just the information that is displayed.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these selections**. When you do so, you will see the "ACAT" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* ACAT properties; therefore, none are specified as a criteria.

10.1.4.1.9 Custom Query Criteria -- CSP Plans

Selection of "CSP Plans" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for CSP Plans, Figure 10-55:

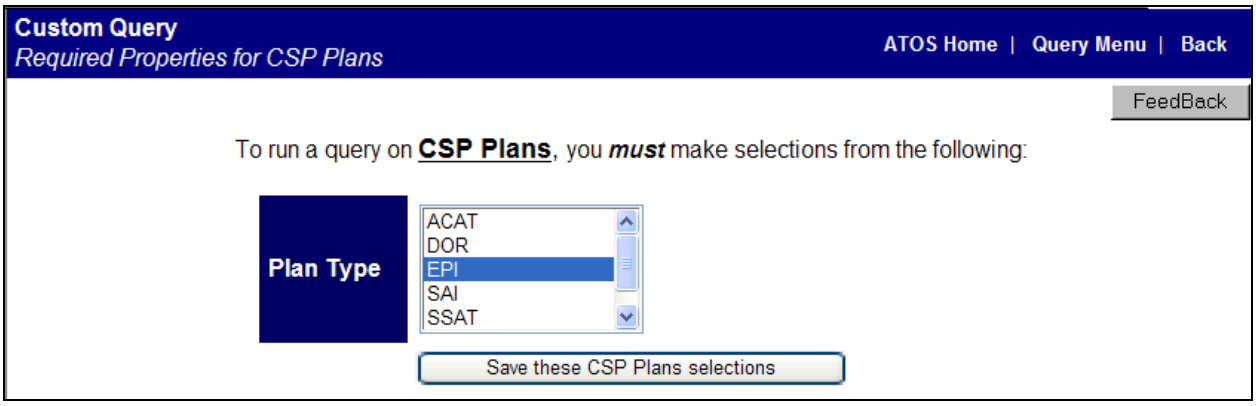


Figure 10-55: Custom Query – Required Properties for CSP Plans

Click on the Plan(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these CSP Plans selections**. When you do so, you will see the "CSP Plans" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, the EPI plan type is selected. Figure 10-56 illustrates that Date, Air Carrier, and CSP Plans have been selected as criteria

Figure 10-56: Custom Query Criteria – Date, Air Carrier, and CSP Plans Selected

10.1.4.1.10 Custom Query Criteria -- CSP Records

Selection of "CSP Records" from the list of Custom Query Criteria brings you to the Custom Query – Optional Properties for CSP Records screen, Figure 10-57:

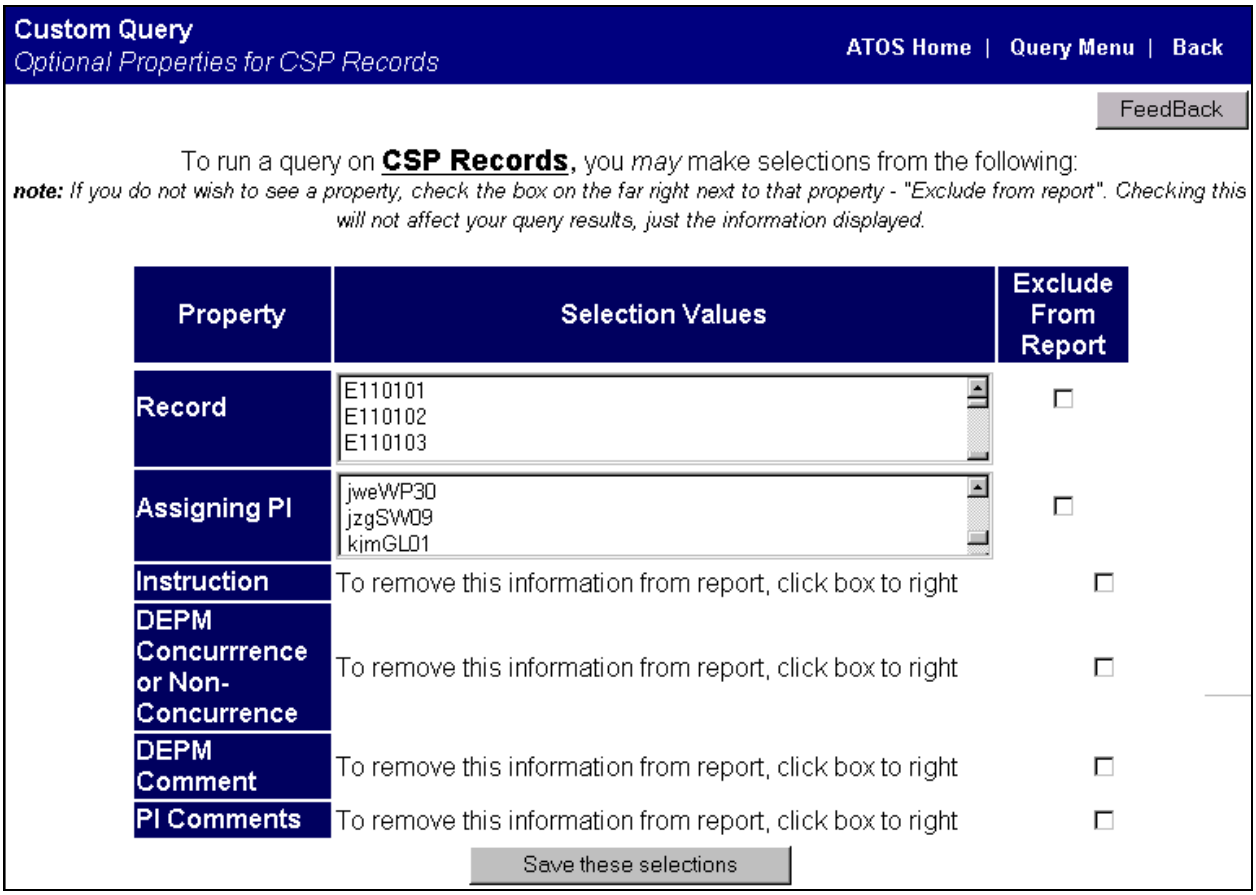


Figure 10-57: Custom Query – Optional Properties for CSP Records

Click on the Record(s) and Assigning PI(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

You have the option of excluding a property from your query results by clicking on a box under the header of "Exclude From Report." This will not affect your query – just the information that is displayed.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these selections**. When you do so, you will see the "CSP Records" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* CSP Records; therefore, none are specified as a criteria.

10.1.4.1.11 Custom Query Criteria -- CSP Activities

Selection of "CSP Activities" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for CSP Activities screen, Figure 10-58:

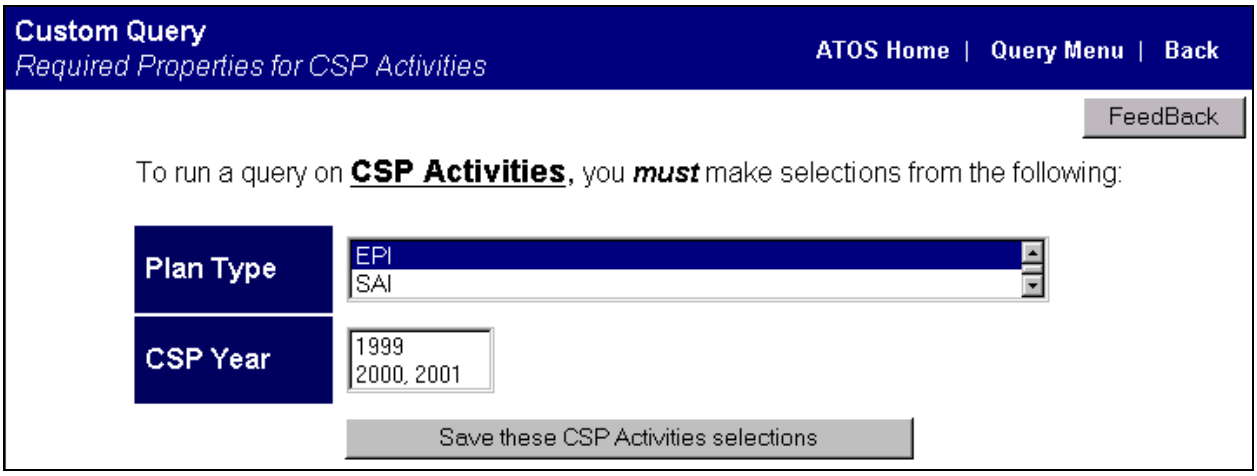


Figure 10-58: Custom Query – Required Properties for CSP Activities

Click on the Plan Type(s) and CSP Year(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these CSP Activities selections**. When you do so, you will have the opportunity to specify Optional Properties for CSP Activities. A portion of the Custom Query – Optional Properties for CSP Activities is shown in Figure 10-59 with "PDX" highlighted as a location/departure point.

Custom Query
Optional Properties for CSP Activities

To run a query on **CSP Activities**, you *may* make selections from the following:
note: *If you do not wish to see a property, check the box on the far right next to that property - "Exclude from report". Checking this will not affect your query results, just the information displayed.*

Property	Selection Values	Exclude From Report
Aircraft Registration Number	N138AW N149AW N150AW N151AW N154AW N155AW	☐
Flight Number	133 134 2116 2117 2182	☐
Location/Departure Point	ONT ORD PDX PHL PHX PSP	☐

Figure 10-59: Custom Query – Optional Properties for CSP Activities – Excerpt 1

In addition to the selection and/or exclusion of the optional properties listed, you may also query for specific questions. Figure 10-60 shows the very end of the complete Custom Query – Optional Properties for CSP Activities screen:

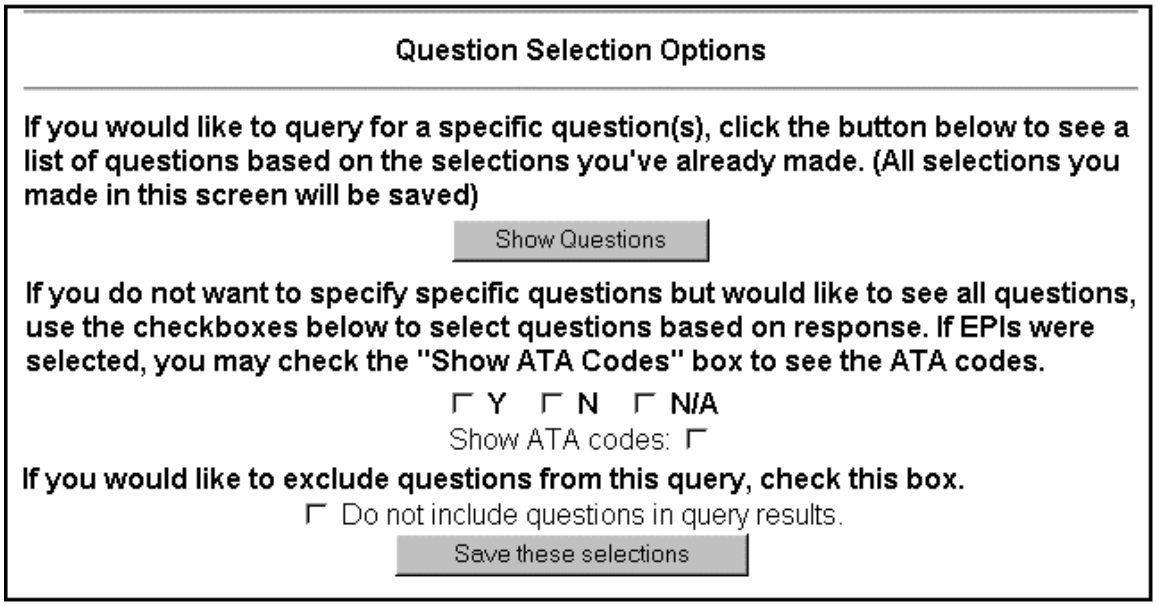


Figure 10-60: Custom Query – Optional Properties for CSP Activities – Excerpt 2

As noted under "Question Selection Options," you may further limit your query by specifying only certain questions, selecting all questions with a certain response, or choosing to exclude questions from your query results. Keep in mind that the list of questions you will see when you click on **Show Questions** will be limited to those based on the other criteria that you have already selected. Figure 10-61 shows the beginning of a list of questions shown when EPI and Airworthiness have been included as criteria.

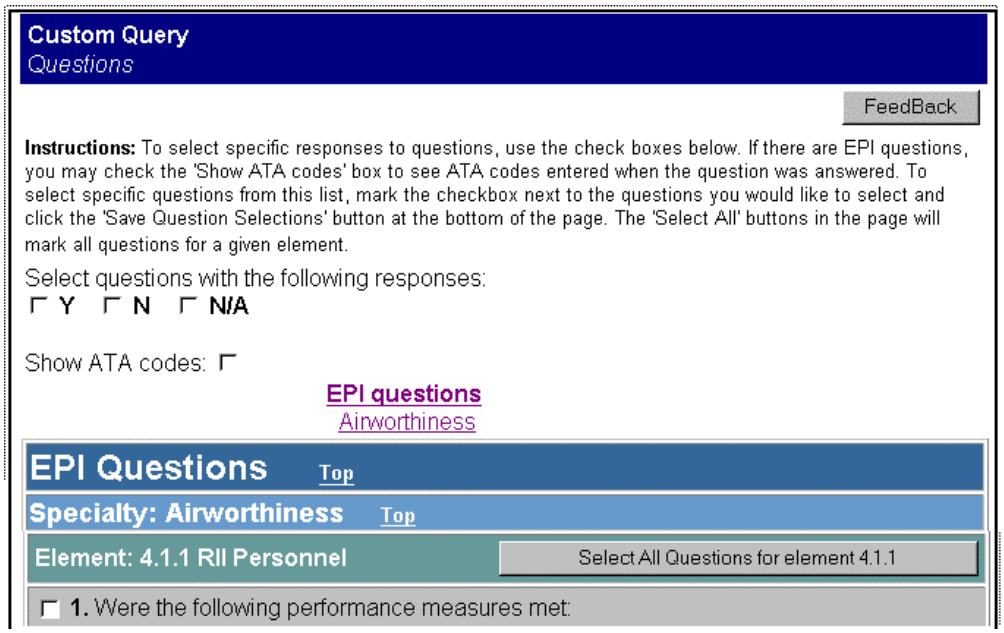


Figure 10-61: Custom Query – Excerpt 1 from "Show Questions"

The questions shown are arranged by first by plan type, then by specialty, then by element. All of the questions under a given element may be selected at one time by clicking on the phrase **Select All Questions for element…** or individual questions may be chosen by clicking in the square just to the left of the question number. If you use the "Select All…" option, you will see the "Select All…" phrase change to "Deselect all…" and clicking on it will remove all of the checkmarks in the boxes next to questions under that element.

Use the vertical scroll to move down the page of questions, selecting those you want included in your query. Figure 10-62 is an illustration of what you will see at the end of the list of questions.

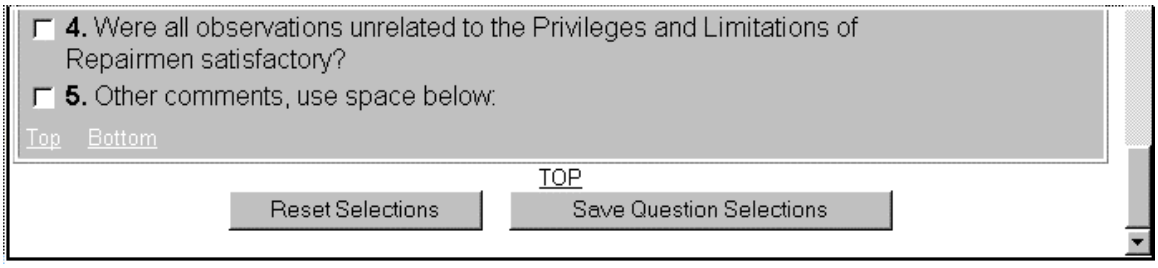


Figure 10-62: Custom Query – Excerpt 2 from "Show Questions"

At the bottom of the list of questions, you can click on **TOP** to return to the top of the page to review or make minor changes to your selections. For major changes, it is better to click on **Reset** Selections from the bottom of the page.

When you are satisfied with your selection of questions, click on **Save Question Selections** and you will be returned to the Custom Query builder window where you will see "CSP Activities" added to the list following the phrase "You asked about:" in the lower panel.

10.1.4.1.12 Custom Query Criteria -- CMT Members

Selection of "CMT Members" from the list of Custom Query Criteria brings you the Custom Query – Required Properties for CMT Members screen, Figure 10-63:

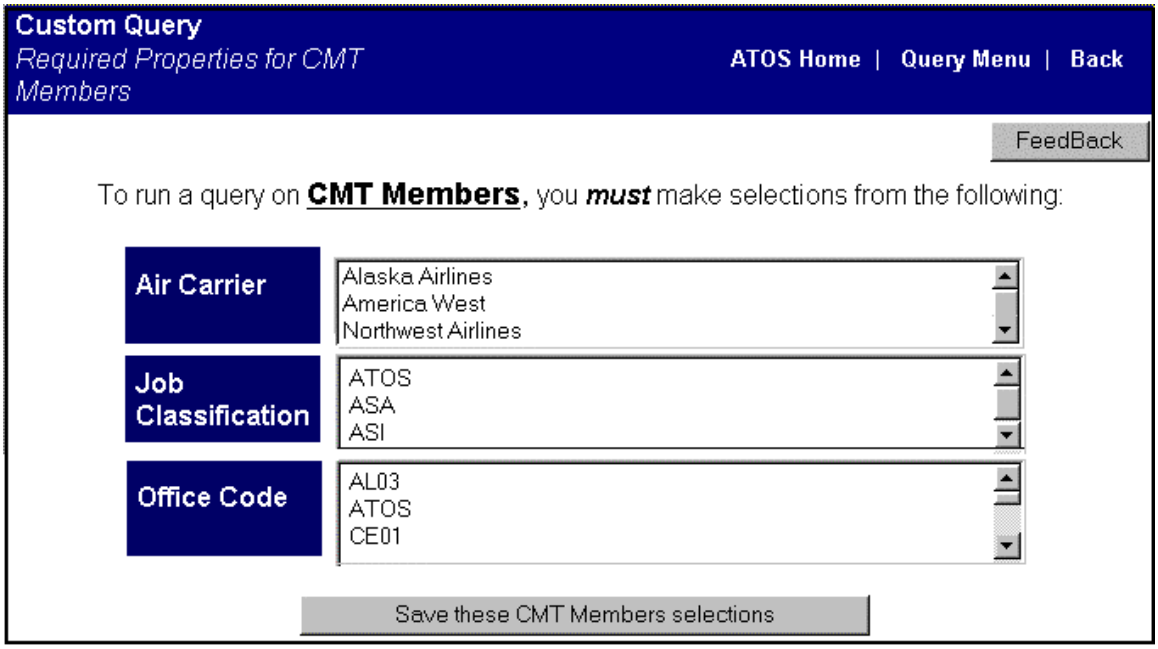


Figure 10-63: Custom Query – Required Properties for CMT Members

Click on the Air Carrier(s), Job Classification(s), and Office Code(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these CMT Members selections**. When you do so, you will see the "CMT Members" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* CMT Members; therefore, none are specified as a criteria.

10.1.4.1.13 Custom Query Criteria -- SRRs

Selection of "SRRs" from the list of Custom Query Criteria brings you to the Custom Query – Required Properties for SRRs screen, Figure 10-64:

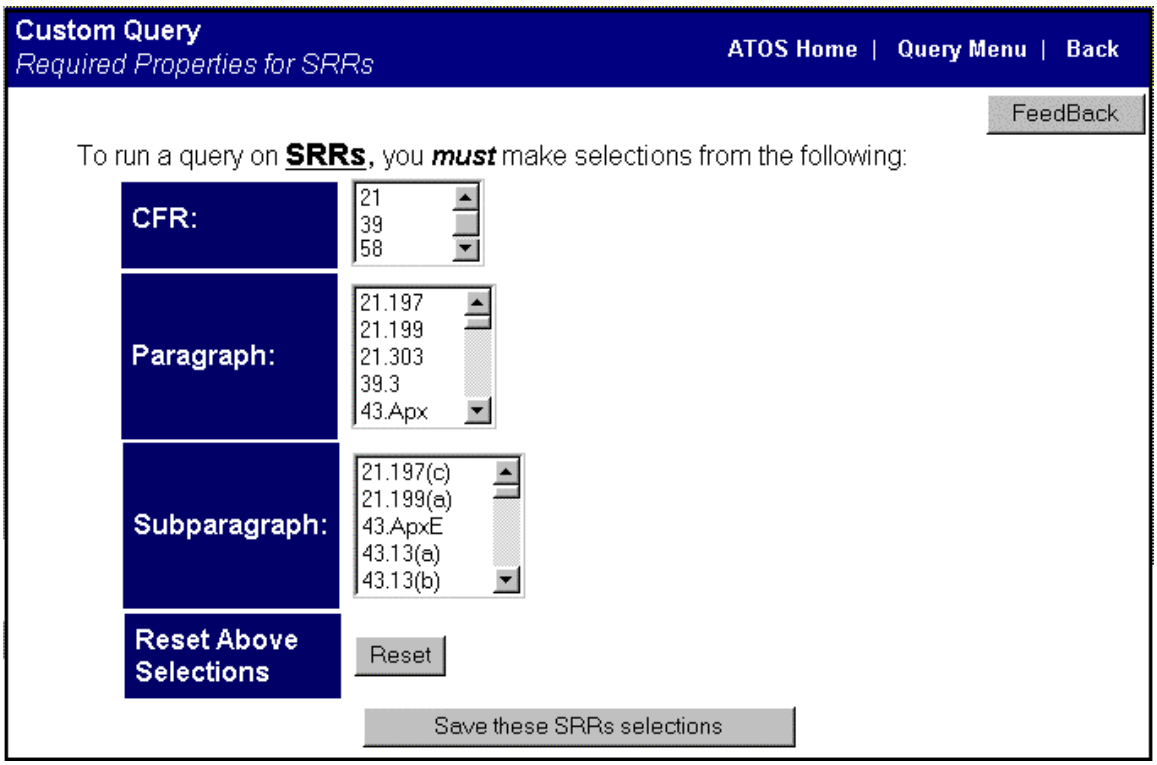


Figure 10-64: Custom Query – Required Properties for SRRs

Click on the CFR(s), Paragraph(s) and Subparagraph(s) you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item. You may also click on the "Reset" button to begin selection again.

When you are satisfied with your selections, click on the button at the bottom of the screen, **Save these SRRs selections**. When you do so, you will see the "SRRs" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* SRRs; therefore, none are specified as a criteria.

10.1.4.1.14 Custom Query Criteria -- DORs

Selection of "DORs" from the list of Custom Query Criteria brings you to the Custom Query – Optional Properties for DORs screen. The beginning of this screen is shown as Figure 10-65:

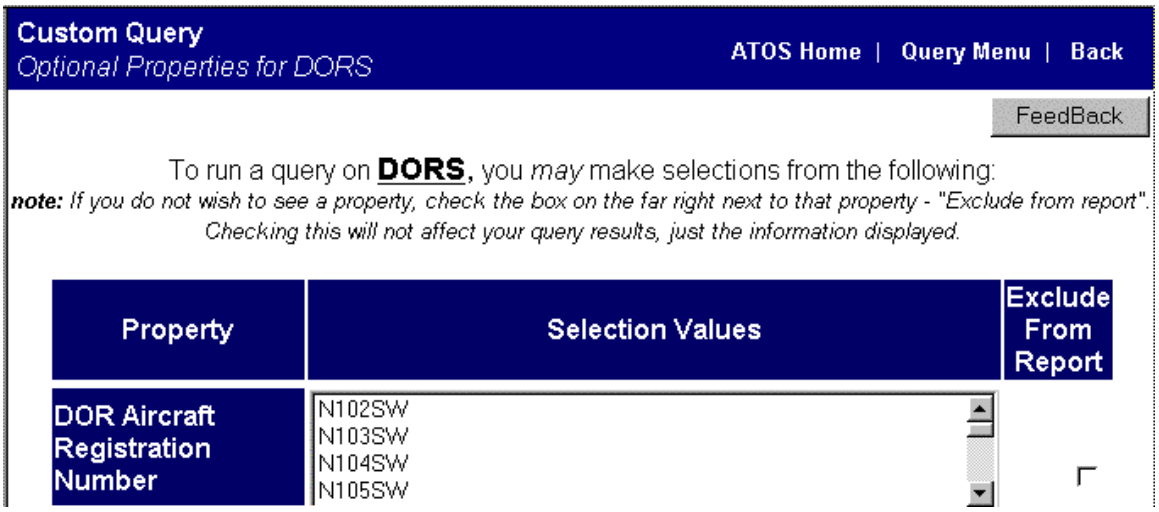


Figure 10-65:Custom Query – Optional Properties for DORs – Beginning

Click on each Property you want to include in the query. As with other multiple selections, consecutive entries may be selected by dragging the mouse from the first to the last while depressing the left mouse button. Alternatively, once the first selection is made, you may hold the Shift key and the down arrow to highlight consecutive lines. Non-consecutive entries may be selected by depressing the "Ctrl" (Control) key as you click on your selections.

If you change your mind about a selection, you may remove it from consideration by depressing the "Ctrl" key while clicking on the previously selected item.

You have the option of excluding a property from your query results by clicking on a box under the header of "Exclude From Report." This will not affect your query – just the information that is displayed.

When you are satisfied with your selections, move to the bottom of the screen to see where you are presented with Question Selection Options, as shown in Figure 10-66:

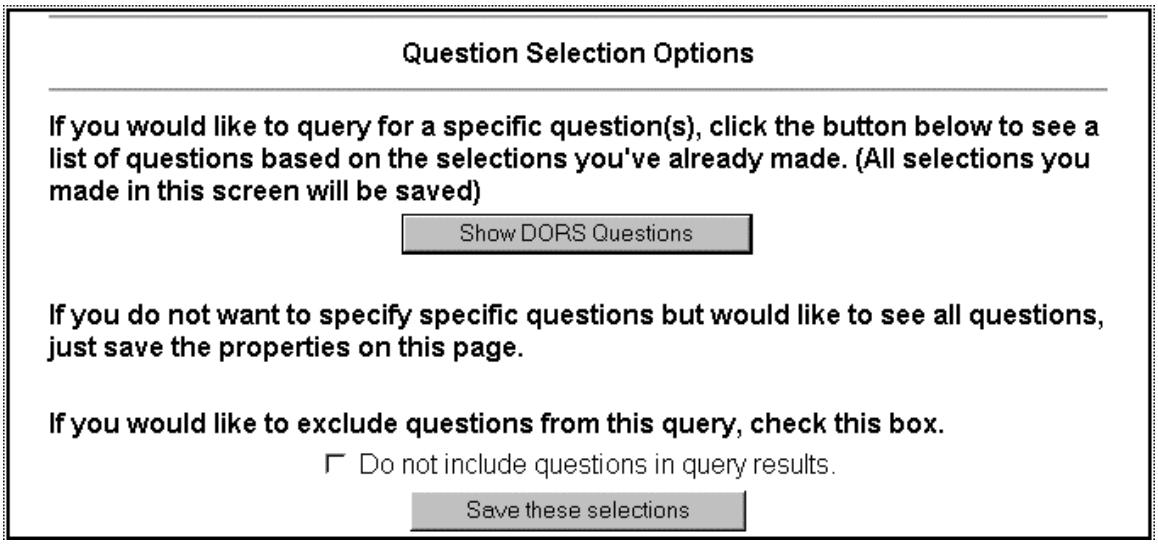


Figure 10-66: Custom Query – Optional Properties for DORs – Question Options

If you want to see all questions, instead of specifying certain ones, click on the bottom-most button, **Save these selections**.

You also have the option of excluding questions from the query by clicking on the box just to the left of "Do not include questions in query results."

If you do want to include specific questions in the DORs criteria. Click on **Show DORS Questions** to make these selections.

Figure 10-67 shows a portion of the screen from which you may select and/or exclude specific DORs Questions.

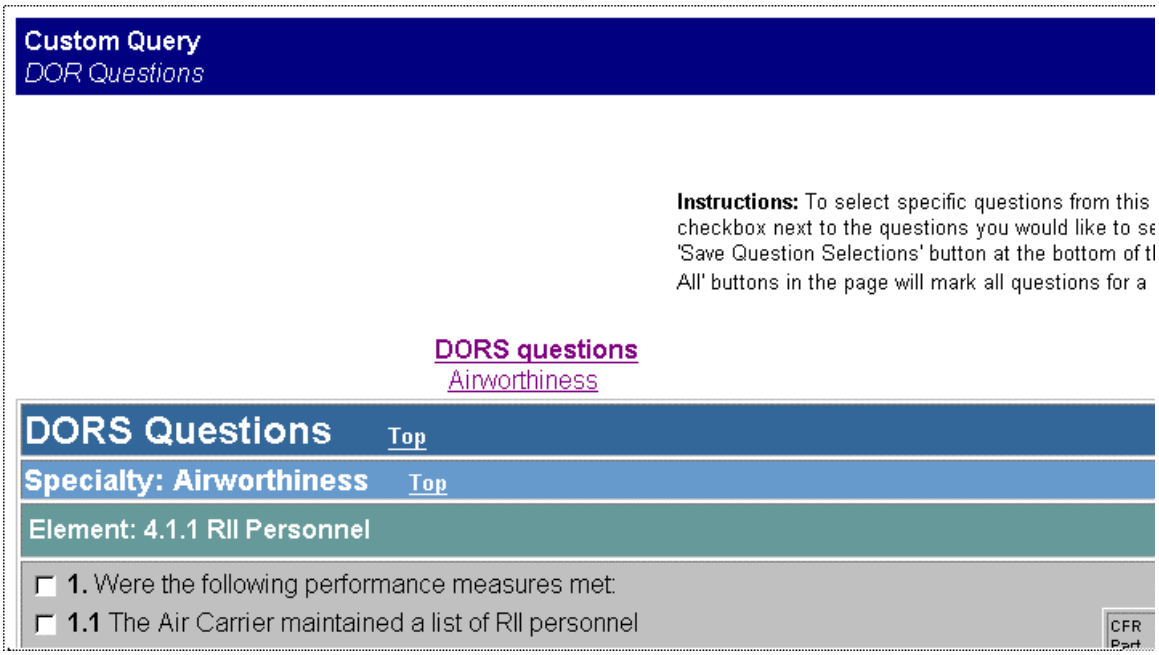
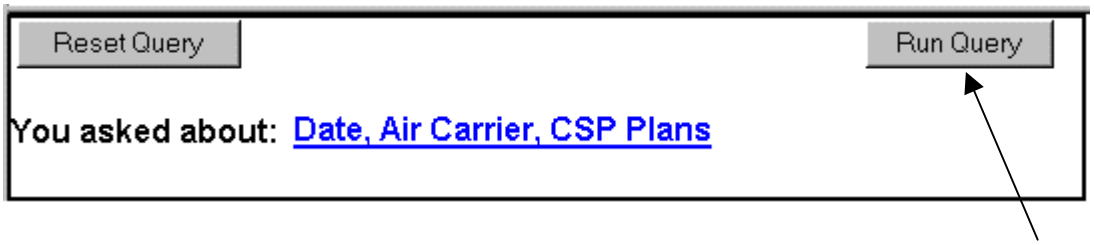


Figure 10-67: DORs Questions – Excerpt 1

When you are satisfied with your selections, click on the button at the bottom of the screen, "Save these selections." When you do so, you will see the "DORs" criteria added to the list following "You asked about:" in the lower window of the Custom Query builder.

In the sample query being built, we are interested in *all* properties for DORs; therefore, none are specified as a criteria.

10.1.4.2 Running and Saving Your Custom Built Query



When you have chosen all of the criteria you wish to include in your query, click on **Run Query**. When you do, you will be presented with a summary of your query, the results of your query, and an opportunity to save it for future use. A sample query summary, that is, the top of your query results page, is shown as Figure 10-68:

Custom Queries Save Query | Print | Back | Query Menu | ATOS Home

FeedBack

Jump to the CSP Records section

You have selected the following information from: CSP Records
Record Count: 929

Criteria	Selected Properties
Air Carrier	Southwest Airlines
Record	All
Assigning PI	All
Instruction	All
DEPM Concurrrence or Non-Concurrence	All
DEPM Comment	All
PI Comments	All

(Click here to create a comma delimited text file)

Figure 10-68: Custom Queries – Sample of Query Summary

Following the query summary is the link that will create a comma delimited text file that will allow you to work with the data in a database or spreadsheet format. Section 10.1.4.3, Presentation of Data, illustrates this procedure.

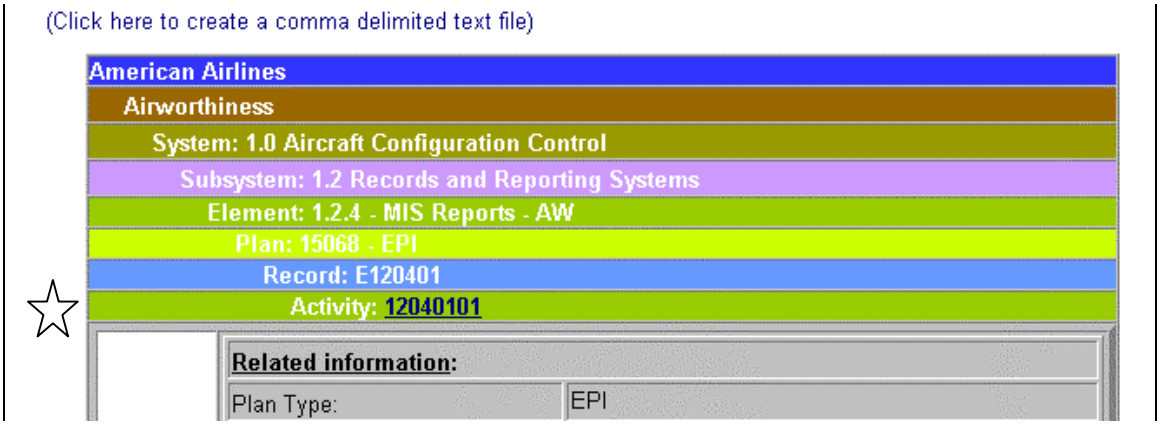


Figure 10-69: Custom Queries – Sample of Query Results - Banners

The results of your query are shown under colored banners that present the data in a hierarchy, as illustrated in Figure 10-69.

☆ Note that the **Activity** number is underlined to indicate a link to more information. Clicking on the Activity shown in the sample represented in Figure 10-69 would bring you the Activity detail shown in Figure 10-70.

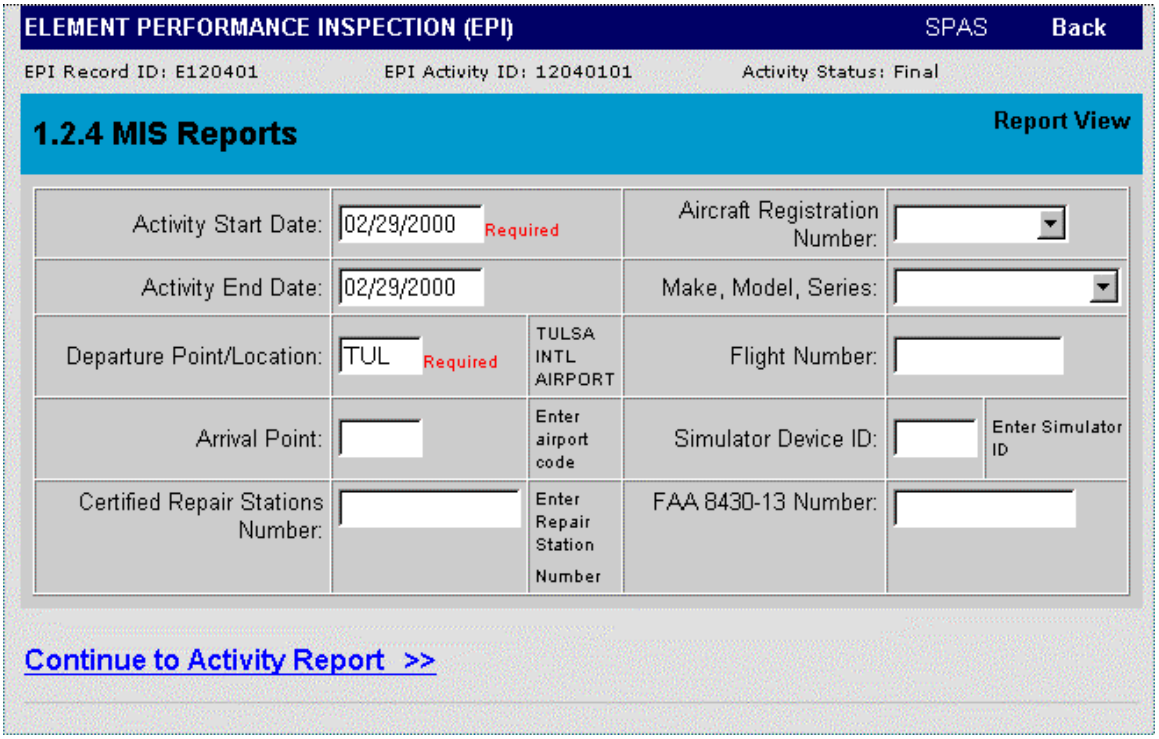


Figure 10-70: Custom Queries – Sample of Activity Link from Query Results

Clicking on the Continue to Activity Report >> link in the lower left corner of Figure 10-70 would bring you to more information, as illustrated in Figure 10-71:

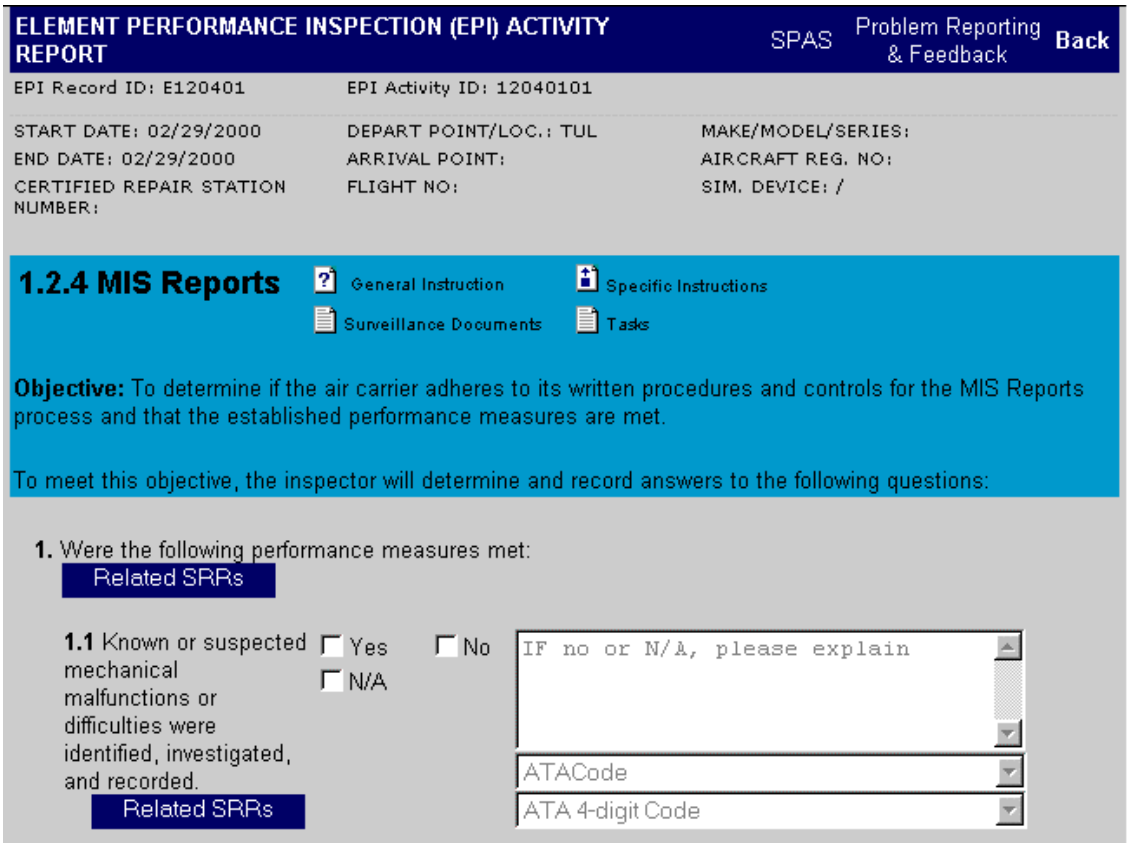


Figure 10-71: Custom Queries – Sample of Activity Link - Continued

Clicking on **Related SRRs** under 1.1 in Figure 10-71 would bring you information illustrated in Figure 10-72:

Click on **Close Window** to return to the Inspection Report.

Click on **Back** to return to your query results.

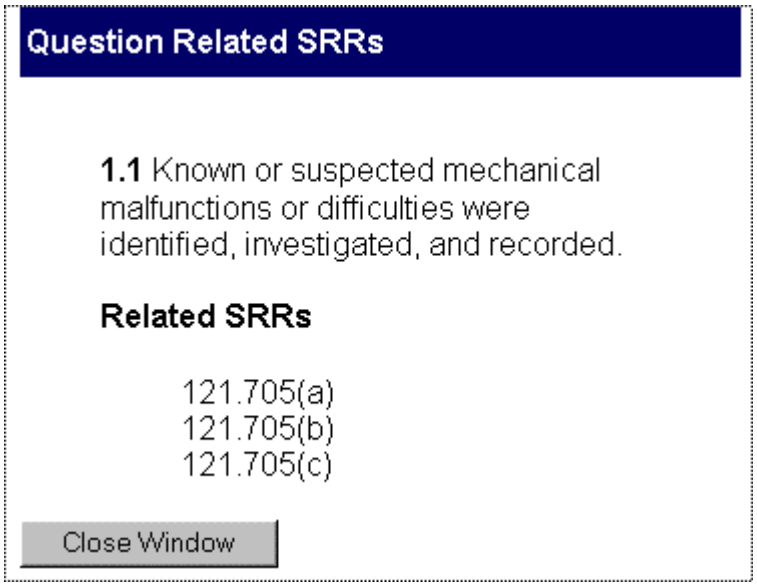
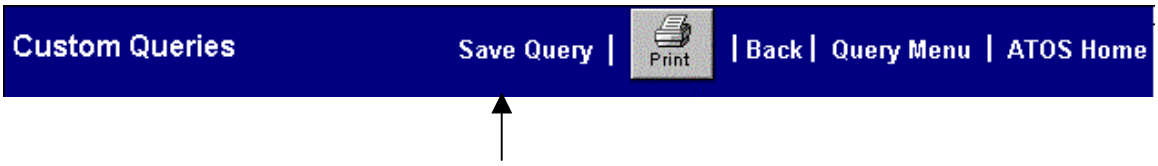
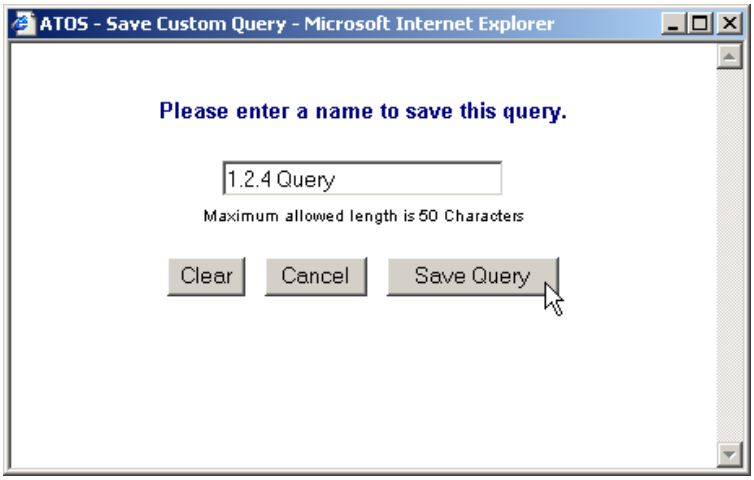


Figure 10-72: Activity Link to Question Related SRRs



If you are satisfied with the query as it is presented to you, click on the "Save Query" on the title bar of the window. This will bring up the "ATOS – Save Custom Query" window shown as Figure 10-73:



The cursor will be in the blank box, ready to accept your input.

After you enter a name for your query, click on **Save Query**.

If you click on **Save Query** before providing a name, an error message will prompt you to do so.

Figure 10-73: ATOS – Save Custom Query

If you make an error entering the name of your query, use the delete and/or backspace keys to make corrections. Clicking on **Clear** removes what you have typed and gives you a clear space to start over.

Click on **Cancel** to return to the previous page to review your selections again before saving the query

After your query is saved, you will be returned to the previous page where you reviewed your selections. At this point, you may make changes to your query. If you do make changes, and then save it with the same query name, the modified version will *replace* the query you were working with. This works the same way that making changes to a word processing document works, that is, saving changes with a "Save" command *replaces* the old file with the revised file.

If you wish to keep both your original query and a modified version, then you must use the "Save As" option. This works the same way as the "Save As" option works for a word processing document. Assigning a new name means you have created a new file.

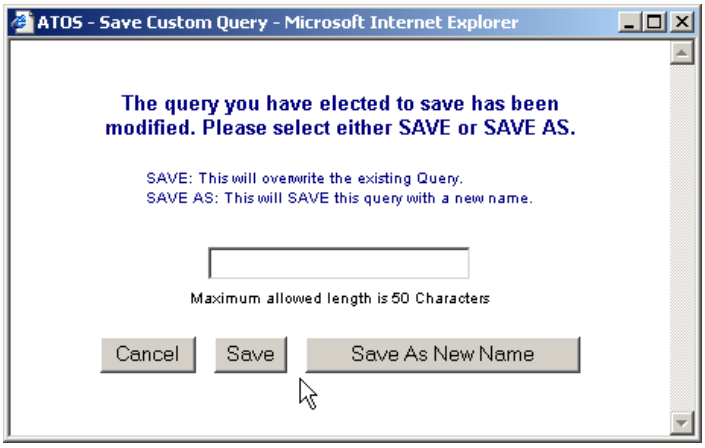


Figure 10-74: ATOS – Save or Save As Custom Query

A slightly different "Save" Window reminds you that you need to assign a new name to your changed query if you want to keep the earlier version as well. As noted on the screen, giving the same name will overwrite the previous version, in other words, the earlier version will be lost – replaced by the revised version.

Once you have saved your query, it will be listed as one of **Your Saved Queries**.

10.1.4.3 Presentation of Data

Your query may be narrow enough to provide you with output in a manageable format. If not, you have an opportunity to save the results of your query in a spreadsheet format so that you can rearrange it to facilitate your own analysis.

When you are presented with the results of your query, look for the phrase, Click here to create a comma delimited text file. Figure 10-75 represents the portion of results from a query that includes this phrase:

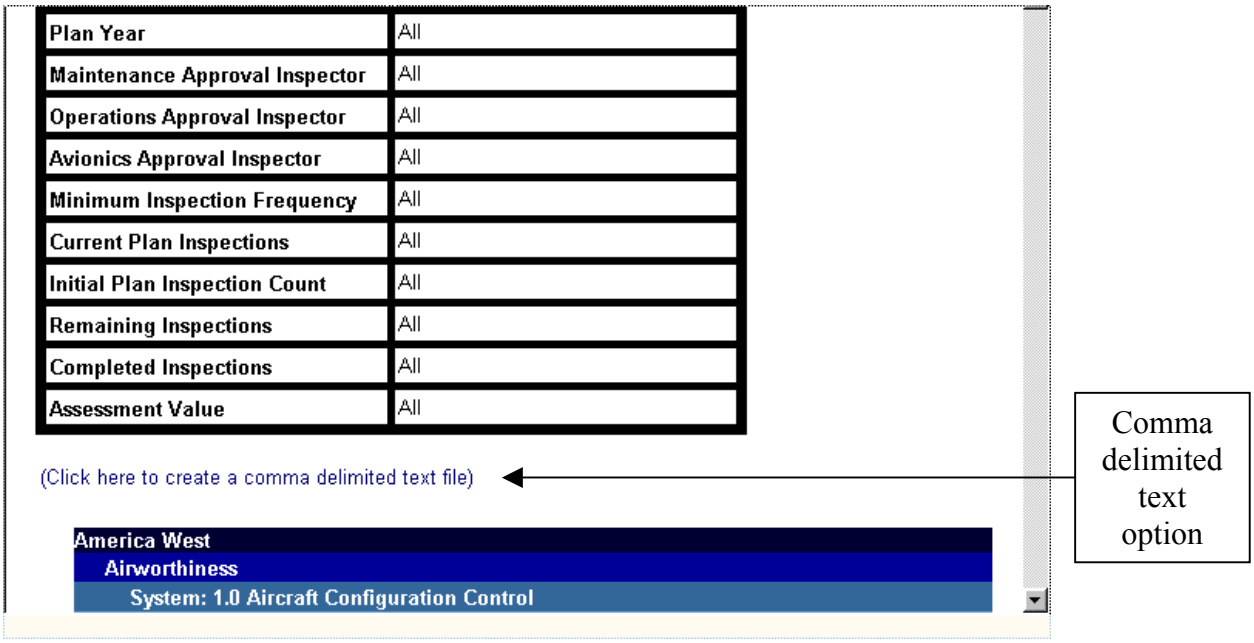
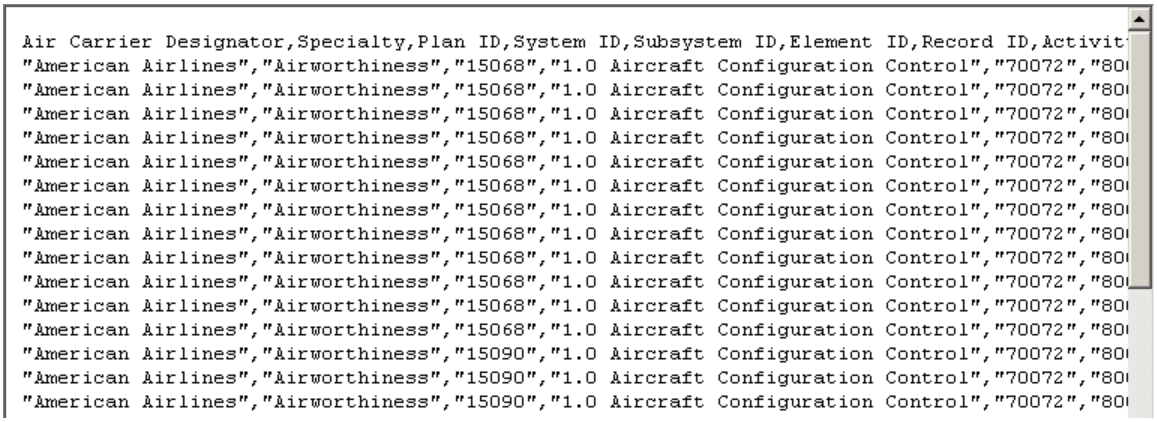


Figure 10-75: Custom Query – Excerpt from Results

Figure 10-76 is an illustration of a comma delimited text file:



```
Air Carrier Designator,Specialty,Plan ID,System ID,Subsystem ID,Element ID,Record ID,Activit
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15068","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15090","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15090","1.0 Aircraft Configuration Control","70072","80
"American Airlines","Airworthiness","15090","1.0 Aircraft Configuration Control","70072","80
```

Figure 10-76: Illustration of Comma Delimited Search Results

Click on **File** and chose **Save as**. The "Save Web Page" window (Figure 10-77) appears. Select the folder in which you want to save the file. Ensure that the "Save as type:" field shows **Text File (*.txt)**. Name the file and click on **Save**.

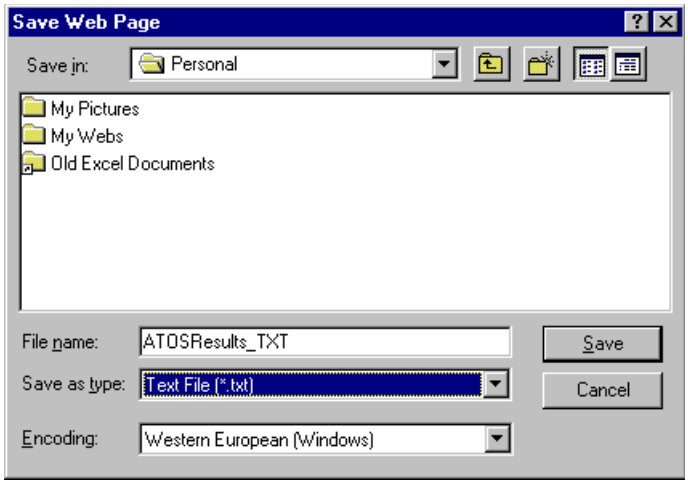


Figure 10-77: Save Web Page Window

Once the file is saved to your PC, it is available for import into a database tool such as Microsoft Access or a spreadsheet such as Microsoft Excel.

Import into Access

1. Start Access on your PC and follow the instructions to either open an existing database or create a new one.

2. From the Access Menu, go to File/Get External Data/Import
Access opens a file selection window that you can use to point the database to the comma delimited text file you have just created. Select "Files of Type: Text Files" from the pull-down list box at the bottom of the window and navigate through the folders on your PC until you see your text file.

3. After selecting the file, follow instructions and prompts to import it into your database. After completing the import, the data from your query will be available to you as a table in the Access database.

Import into Excel

1. Start Excel on your PC. Select File/Open from the main menu.
Excel opens a file selection window that you will use to point it to the comma delimited text file you have just created.

2. Select "Files of Type: Text Files" from the drop down box at the bottom of the window and navigate through the folders on your PC until you see your text file.

3. After selecting the file, follow instructions and prompts to open it as an Excel spreadsheet. Your query data will then be available to you to use as a spreadsheet

Note: For more details on importing text files into Access and Excel, refer to the user manuals for those programs or their online Help systems.

10.2 Element Query

The Element Query allows users to access the ATOS Data Repository at the element level. Queries can be defined by airline, date range, or EPI or SAI element. Results can be further refined by restriction to particular arrival or departure points or to a particular make/model/series of aircraft. Results displayed include counts of Yes, No, and N/A responses for each element queried, and the comments for No and N/A responses. The Element Query allows the user to access *all* ATOS air carriers.

Clicking the Query Help button (located in the upper right corner of both the query and the results screens and identified by a question mark) opens a window that provides on-screen instructions for using the query screen and reading the results screen.

10.2.1 Using the Element Query Screen

The Element Query screen (Figure 10-78) includes several unique features and is the most complicated of the ATOS Query screens. Constructing an Element Query requires selecting, at a minimum, all of the following:

- At least one specialty option
- At least one CSP Plan option
- At least one air carrier option
- At least one output option
- A date range
- At least one element option

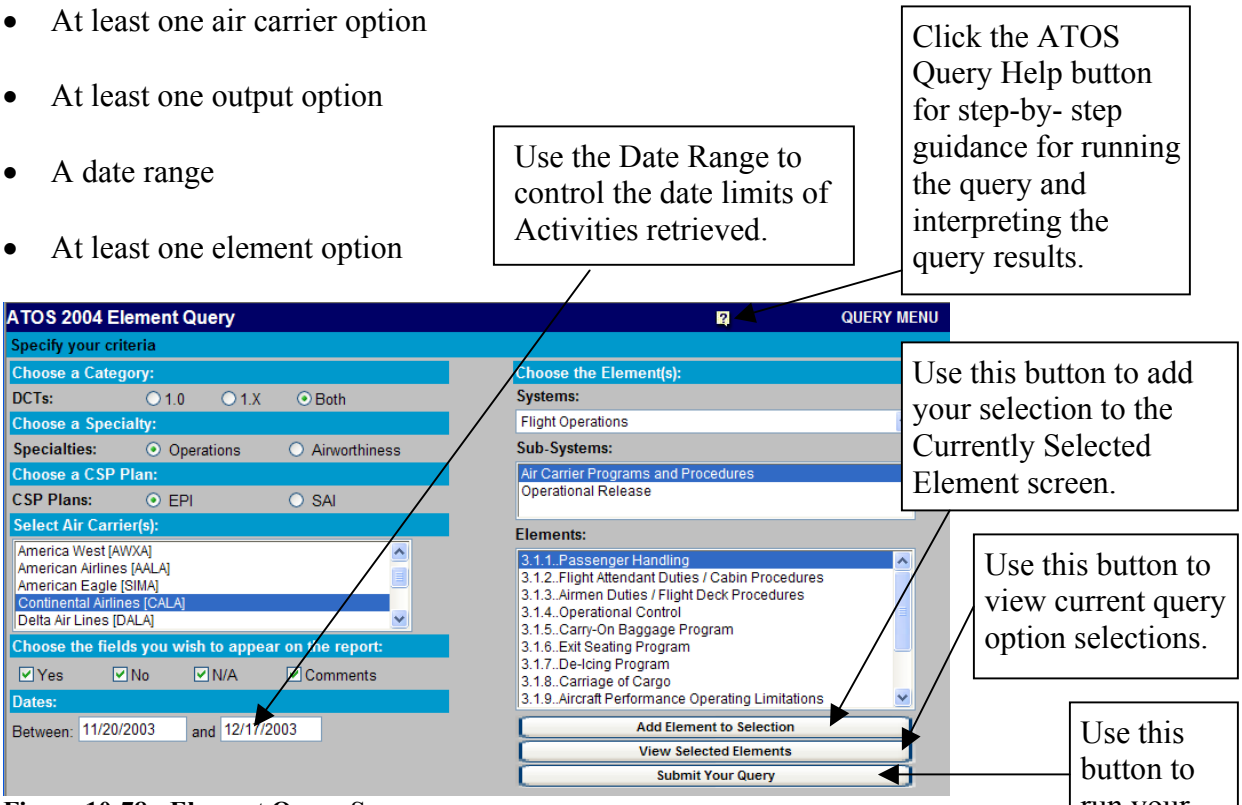


Figure 10-78: Element Query Screen

The **Add Element to Selection** button is used to finalize selection of a set of options. Click this button only after selecting a complete set of options. Multiple options can be selected. To add more options to your search (for instance to add the originally unselected specialty or CSP Plan option or to add another element), make the desired additions by clicking as appropriate and then again clicking the **Add Element to Selection** button. The adding options process can be repeated any number of times.

To use the Element Query Screen:

1. Select either the Operations or Airworthiness option button and either the EPI or SAI option button.

2. Select one or more air carriers from the Select Air Carriers menu list. Multiple air carriers can be selected at once. To select multiple carriers listed sequentially, click the first selection in the sequence and then press the Shift key while clicking the last selection. To select multiple carriers not listed sequentially, press the Ctrl key while clicking each desired selection.

3. To define the data retrieved by the query, select one of the combinations of the Yes, No, N/A, and Comments check boxes described below. You may select all of the check boxes, but you must choose at least one or you receive an error message when you submit your query. The selectability of the No and N/A check boxes depends on whether the Comments check box is checked. If Comments is checked both No and N/A are checked automatically and cannot be unchecked.

   - Use the automatically selected default combination of Yes, No, N/A, and Comments.

   - Select only Yes by unchecking Comments first, then unchecking both No and N/A.

   - Select only No by unchecking Yes and also unchecking first Comments then N/A.

   - Select only N/A by unchecking Yes and also unchecking first Comments then No.

   - Select these combinations:

     Yes and No
     Yes and N/A
     No and N/A
     Yes and No and N/A

     by first unchecking Comments and then unchecking the other check boxes as required to get the desired combination.

4. Select a date range. When querying FY04, the default range is from January 1, 2001, to the current date. Change the date range by clicking in either of the Dates boxes (Figure 10-79) to access the Calendar pop-up window (Figure 10-80).

Figure 10-79: Dates Boxes

Change either the beginning or end date by clicking it, which opens the pop-up Calendar window in which the new date can be selected.

Figure 10-80: Calendar

When you click in the area to the right of the date label, a calendar, such as the one shown as Figure 10-80, will appear showing the current month and year. Overwrite the year, if necessary, by clicking in the year field and using the backspace and/or delete keys to make room for the year you want as a start or end date for your query. The calendar days change to match the month in the year that you have specified.

Next, change the month, if necessary, by clicking on the arrow to the right of the current month and selecting from the listing that pops up. The calendar numbers will change to match the month you have chosen. Change the day by positioning your mouse cursor directly over the number of the desired day (the cursor changes from an arrow to a pointing finger when correctly positioned) and single clicking. This automatically closes the Calendar window and inserts the selected date in the appropriate box.

5. Select a system from the Systems drop-down list. This populates the Sub-system window.

6. Select a Sub-system from the Sub-system window. This populates the Element window.

7. Select an Element from the Element window.

8. Click the Add Element to Selection button.

9. To add more options to your search—for instance, to add the originally unselected specialty or CSP Plan option or to add another Element—make the desired additions by clicking options as appropriate and then again clicking the Add Element to Selection button. The adding options process can be repeated any number of times.

10. Press the View Selected Elements button to open the Currently Selected Elements screen and review the elements you have added (Figure 10-81). From here, click the Remove Element From Selection link to delete that element from your query. Use the Remove All Elements From Selection link to de-select every one of the elements shown. Click the Update Query and Close Window link to return to the ATOS Element Query screen.

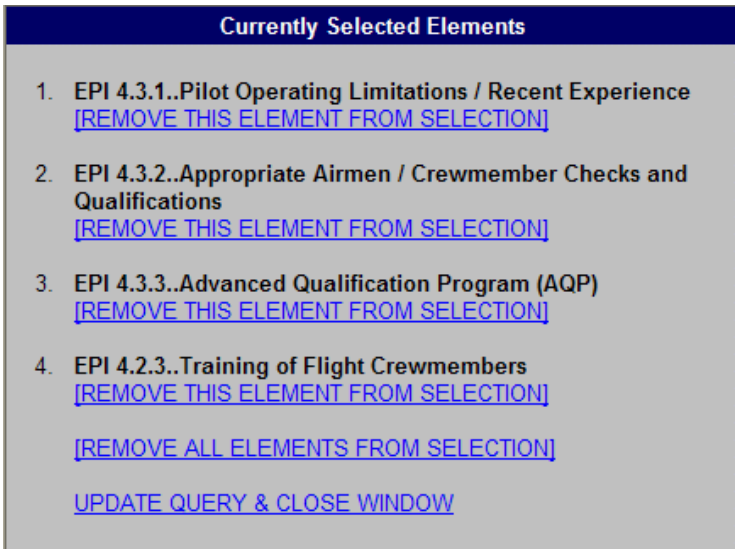


Figure 10-81: Currently Selected Elements Screen

11. On the Element Query Screen, click the Submit Your Query button to view the query results.

10.2.2 Element Query Results

The Element Query results screen (Figure 10-82) reports counts of Yes, No, and N/A responses for each element selected, with the text of Inspector Comments. Each Comment is linked to the complete SAI or EPI Activity Report. Query results can be further refined:

- Change the previously selected date range using the calendar pop-up window.
- Select a Departure Point/Location and/or an Arrival Point from the drop-down lists.
- Select one or more Make/Model/Series. (You can select multiple Make/Model/Series sequentially by holding down the Shift key while you select. You can select multiple Make/Model/Series non-sequentially by pressing the Ctrl key while you select. To deselect, press the Ctrl key and click.)

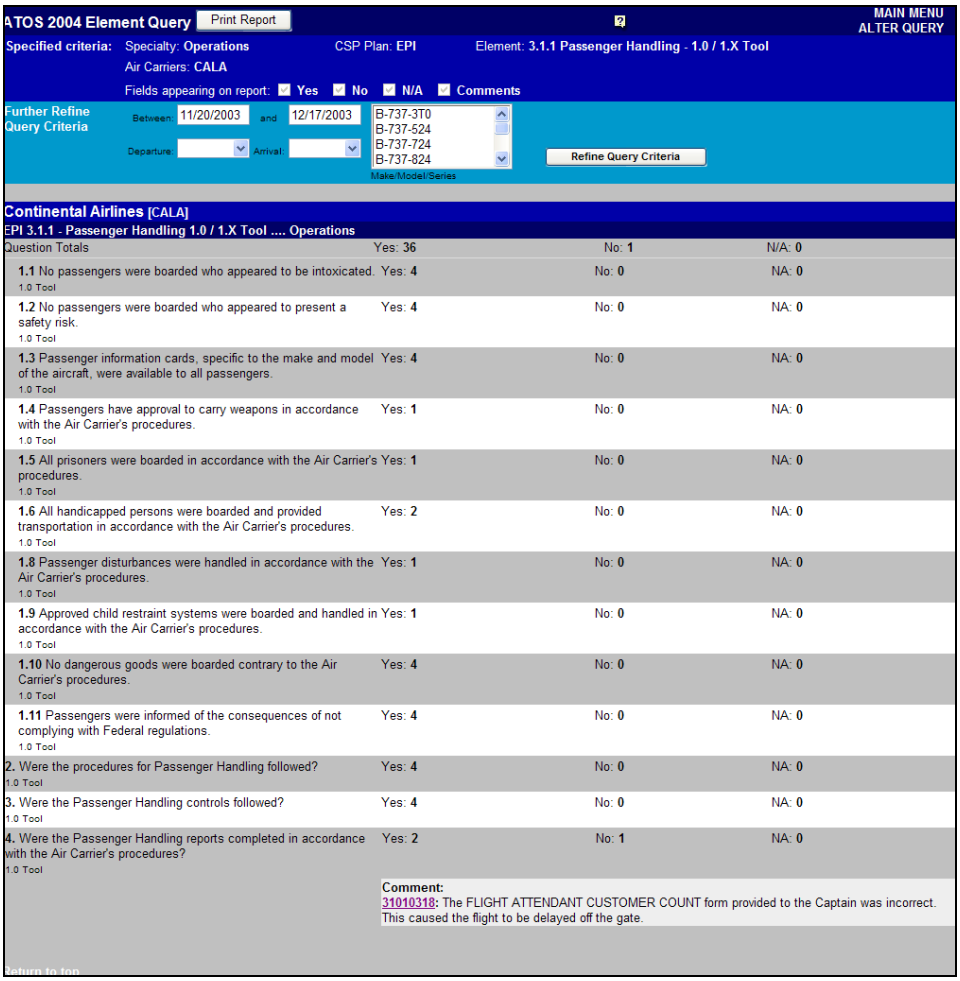


Figure 10-82: Element Query Results Screen

If desired, click on **Refine Query Criteria** to narrow the date range, specify a departure and/or arrival location, or limit the query to one of the listed aircraft. If you choose very specific criteria, you may see few or no Query results. If you wish to change the initial search criteria, click ALTER QUERY at the top of the screen to return.

10.3 ATOS Queries for Prior Fiscal Years

Clicking the ATOS <Prior Fiscal Year> Queries link accesses the ATOS Queries menu (Figure 10-83) that is used to query the ATOS data repository for records saved in the prior fiscal year. Data from earlier periods may be found using the Custom Query.

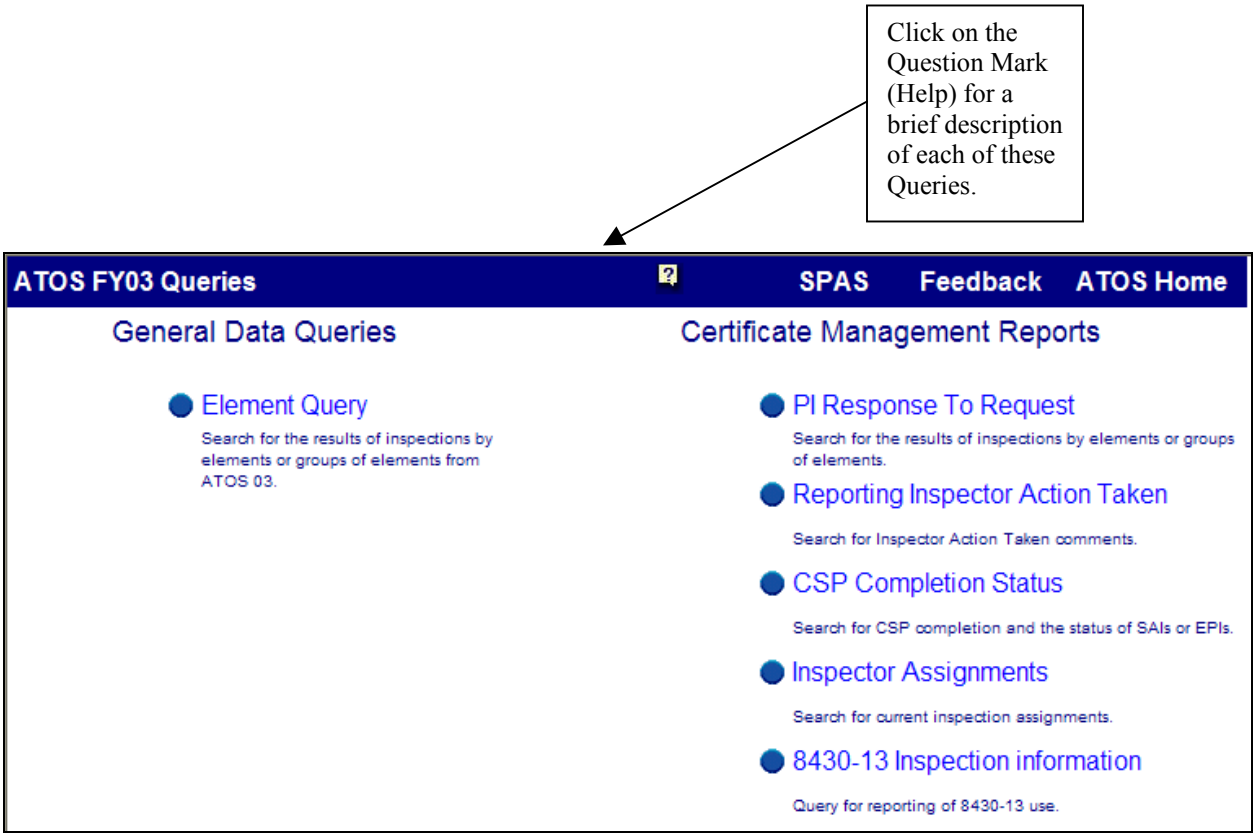


Figure 10-83: ATOS FY00 and FY01 Queries Menu

10.4 PI Response to Request Query

This query retrieves the text of PI responses to ASI requests for PI comments. Users can only access their own CMT with this query.

Clicking the Query Help button (located in the upper right corner of both the query and the results screens and identified by a question mark) opens a window that provides on-screen instructions for using the query screen and reading the results screen.

10.4.1 Using the PI Response to Request Query Screen

To use the PI Response Query screen (Figure 10-84):

1. Check either the Operations or Airworthiness check box or both.

2. Check either the EPI or SAI check box, or both.

3. Select a date range using the calendar pop-up window. Default dates reflect the dates of information available for the planning cycle being queried. Change the year first, if necessary, and then select the month from the drop-down menu. Finally, select the day. This automatically closes the calendar and inserts the selected date in the appropriate box.

4. Choose either a Specific User from the drop-down list or an Entire Roster.

5. Click the Submit Query button to view the query results.

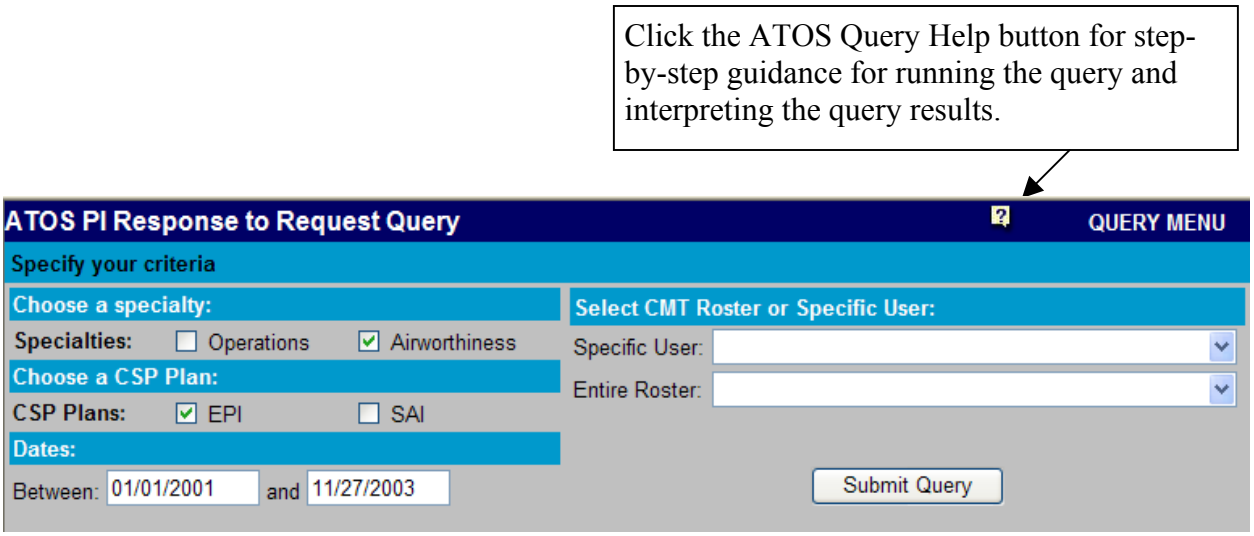


Figure 10-84: PI Response to Request Query

10.4.2 PI Response to Request Query Results

The PI Response to Request Query results screen (Figure 10-85) displays the Record ID, Activity ID (hyperlinked to the Record), the Assigning PI, and any PI Comments. If you want to change the initial search criteria, click ALTER QUERY link in the upper right corner of the screen to return to the ATOS PI Response to Request Query main screen.

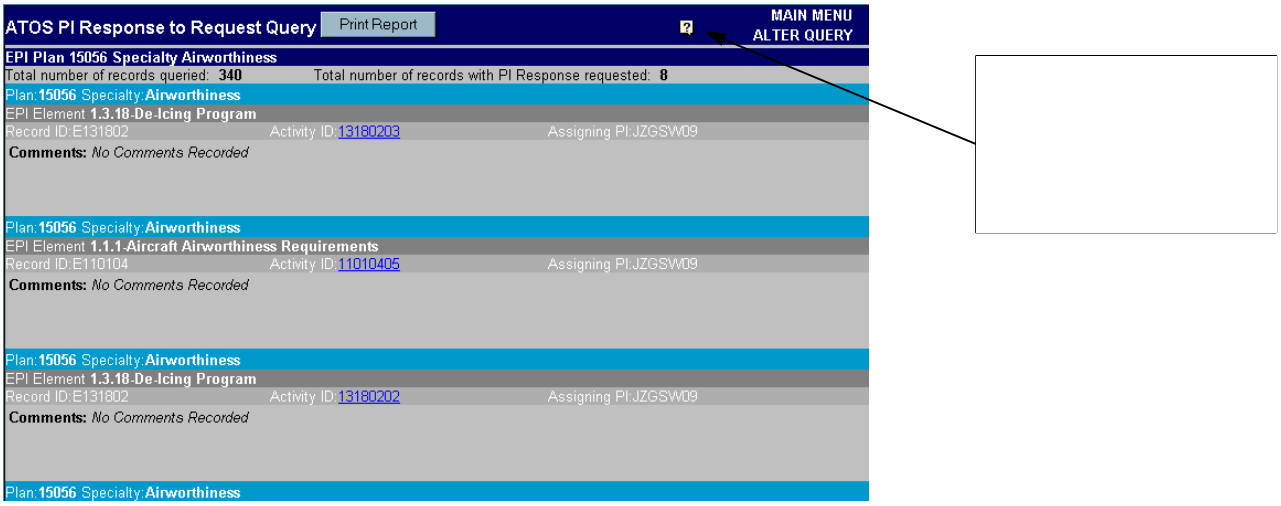


Figure 10-85: PI Response to Request Query Results Screen

10.5 Reporting Inspector Action Taken Query

This query retrieves the text of Inspector Action Taken comments. Users can only access their own CMT with this query.

Clicking the Query Help button (located in the upper right corner of both the query and the results screens and identified by a question mark) opens a window that provides on-screen instructions for using the query screen and reading the results screen.

10.5.1 Using the Reporting Inspector Action Taken Query Screen

To use the Reporting Inspector Action Taken Query (Figure 10-86):

1. Select either or both of the Operations or Airworthiness check boxes.

2. Select either or both of the EPI or SAI check boxes.

3. Select a date range using the calendar pop-up window. Default dates reflect the dates of information available for the planning cycle being queried. Change the year first, if necessary, and then select the month from the drop-down menu. Finally, select the day. This automatically closes the calendar and inserts the selected date in the appropriate box.

4. Choose a Specific User from the drop-down list, or an Entire Roster.

5. Click the Submit Query button to view the query results.

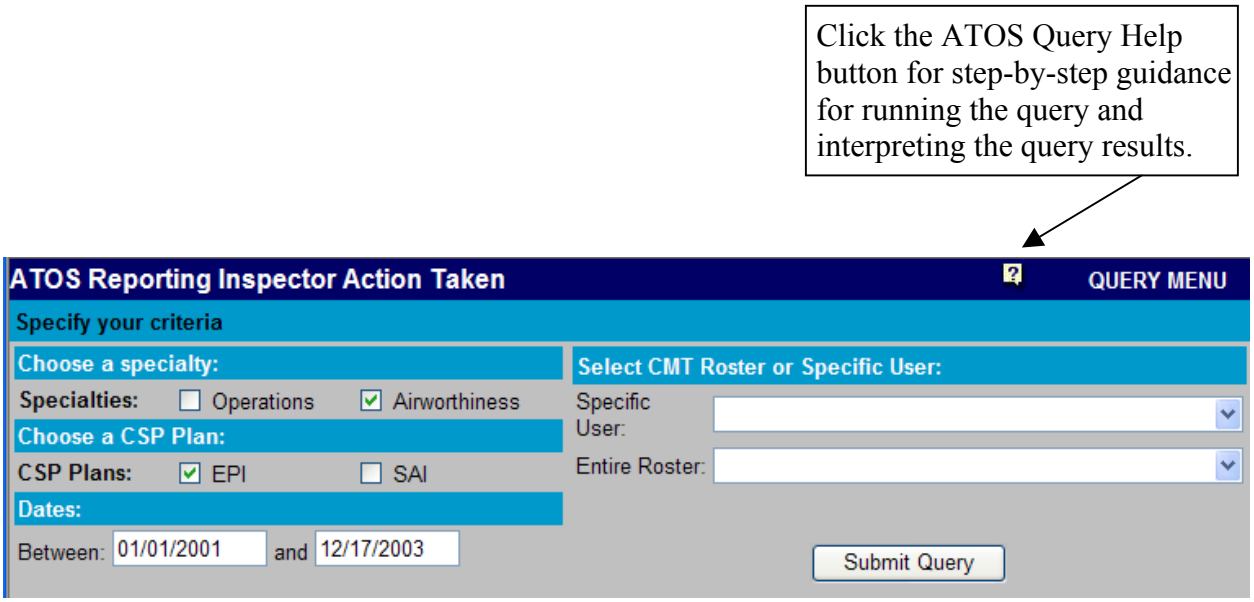


Figure 10-86: Reporting Inspector Action Taken Query

10.5.2 Reporting Inspector Action Taken Query Results

The ATOS Reporting Inspector Action Taken Query results screen (Figure 10-87) displays the Record ID, Activity ID (hyperlinked to the Record), Assigning PI, Reporting Inspector, and any Actions Taken. If you want to change the initial search criteria, click ALTER QUERY from the top of the screen to return to the ATOS Reporting Inspector Action Taken Query main screen.

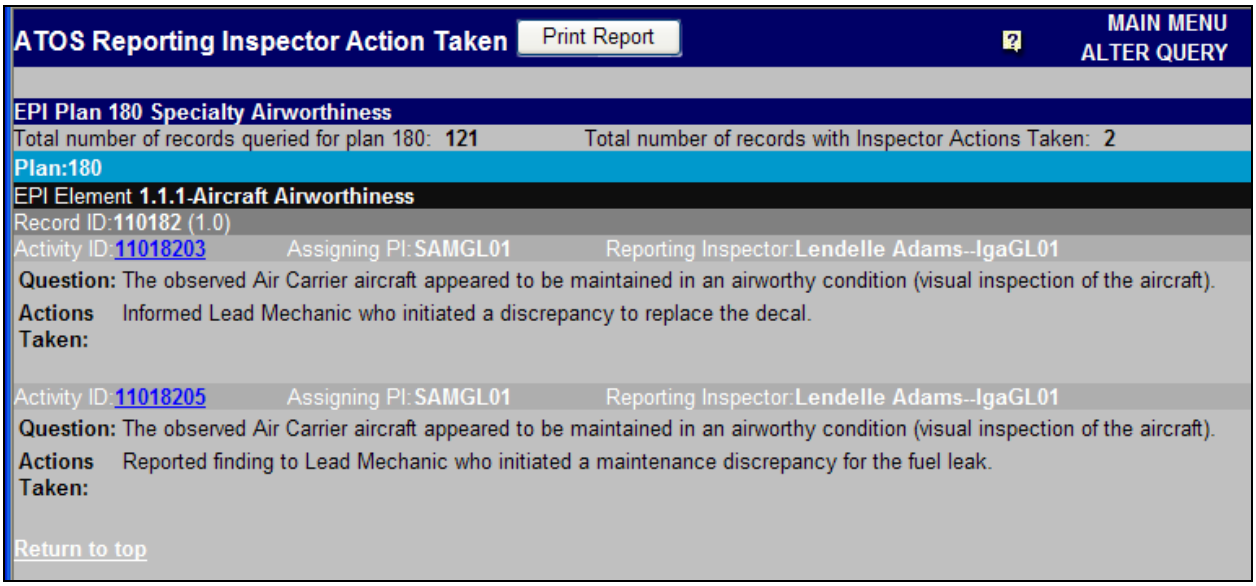


Figure 10-87: Reporting Inspector Action Taken Query Results Screen

10.6 CSP Completion Status Query

This query is used to retrieve current CSP assignments, including assigning PI and the assigned ASI or the Team Number for SAIs. Records already saved to the ATOS Data Repository are hyperlinked for direct access. Users can only access their own CMT with this query.

Clicking the Query Help button (located in the upper right corner of both the query and the results screens and identified by a question mark) opens a window that provides on-screen instructions for using the query screen and reading the results screen.

10.6.1 Using the CSP Completion Status Query Screen

To use the CSP Completion Status Query screen (Figure 10-88):

1. Select either or both of the Operations or Airworthiness check boxes.

2. Select either or both of the EPI or SAI check boxes.

3. Select a date range using the calendar pop-up window. Default dates reflect the dates of information available for the planning cycle being queried.

4. Choose a Specific User from the drop-down list, or an Entire Roster (Airline CMT).

5. Click the Submit Query button to view the query results.

Click the ATOS Query Help button for step-by-step guidance for running the query and interpreting the query results.

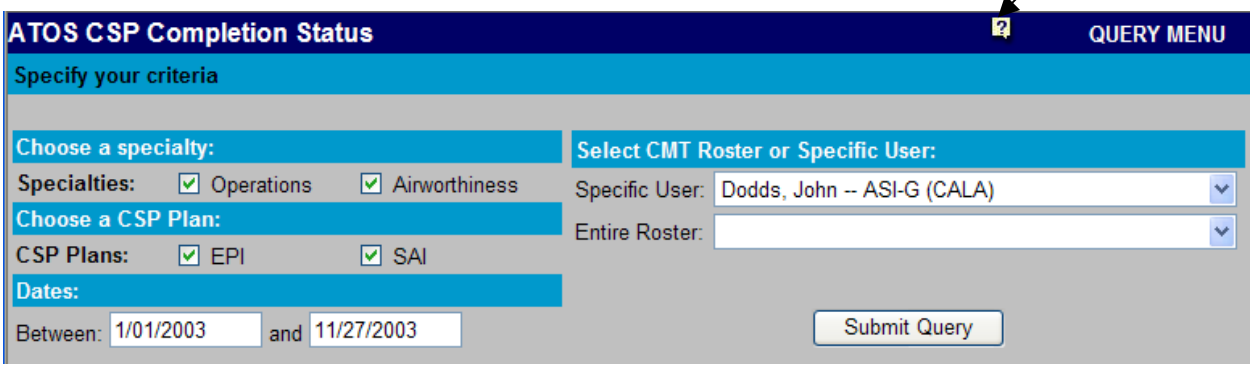


Figure 10-88: CSP Completion Status Query Screen

10.6.2 CSP Completion Status Query Results

The CSP Completion Status Query results screen (Figure 10-89) displays the SAI or EPI Plan Number, Specialty, and CMT name followed by a breakout of individual elements. Under each Element are listed Record IDs (hyperlinked to the Record if it is Final), SAI or EPI status (Work-in-Progress, Draft, or Final), the Assigning PI, and the Assigned Team or ASI. If you want to change the initial search criteria, click ALTER QUERY from the top of the screen to return to the ATOS CSP Completion Status Query screen.

Click the ATOS Query Help button for step-by-step guidance for running the query and interpreting the query results.

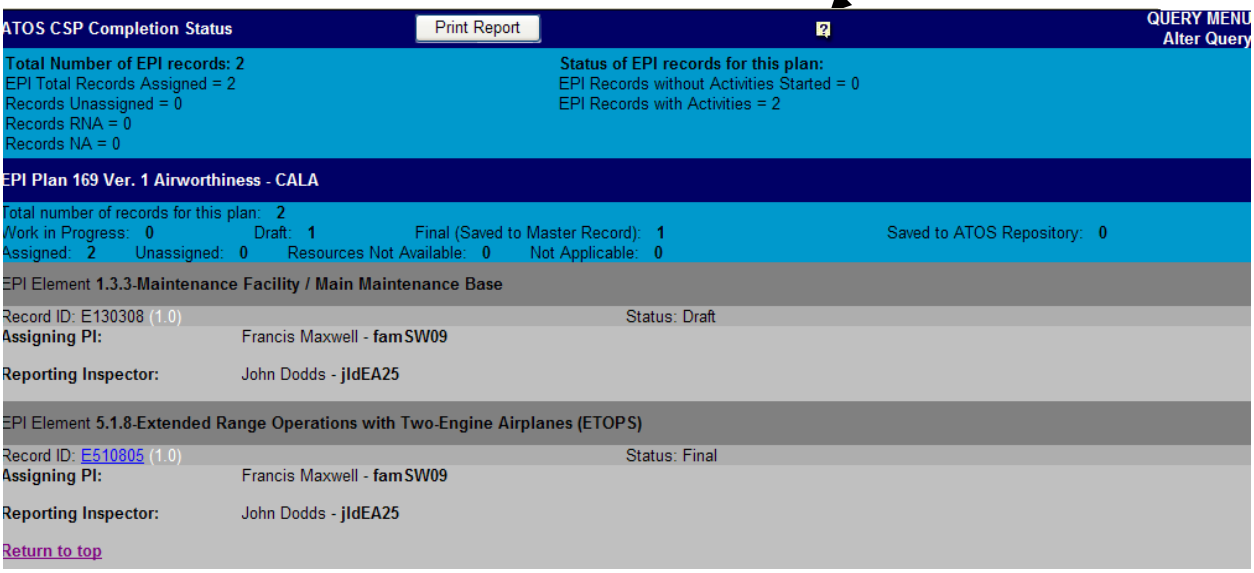


Figure 10-89: CSP Completion Status Query Results Screen

10.7 Inspector Assignments Query

This query is used to view current inspection assignments. The Inspector Assignments screen is operational for all ATOS Automation users, but users identified as PIs have access to functionalities not available to other users. Non-PI users can retrieve assignments for the entire roster assigned to the air carrier he or she is assigned to, and the query can be further refined to one or the other of SAIs or EPIs, or Operations or Airworthiness inspections.

PIs can retrieve assignments for individual ASIs assigned to the PI's air carrier or for the entire roster assigned to the air carrier, and the query can be further refined to one or the other of SAIs or EPIs, or Operations or Airworthiness inspections.

Clicking the Query Help button (located in the upper right corner of both the query and the results screens and identified by a question mark) opens a window that provides on-screen

instructions for using the query screen and reading the results screen. Users can access only their own CMT with this query.

10.7.1 Using the Inspector Assignments Query Screen

To use the Inspector Assignments Query screen (Figure 10-90):

1. Select either or both of the Operations or Airworthiness check boxes.

2. Select either or both of the EPI or SAI check boxes.

3. Select a date range using the calendar pop-up window. Default dates reflect the dates of information available for the planning cycle being queried.

4. Choose a Specific User from the drop-down list, or select the entire Roster.

5. Click the Submit Query button to view the query results.

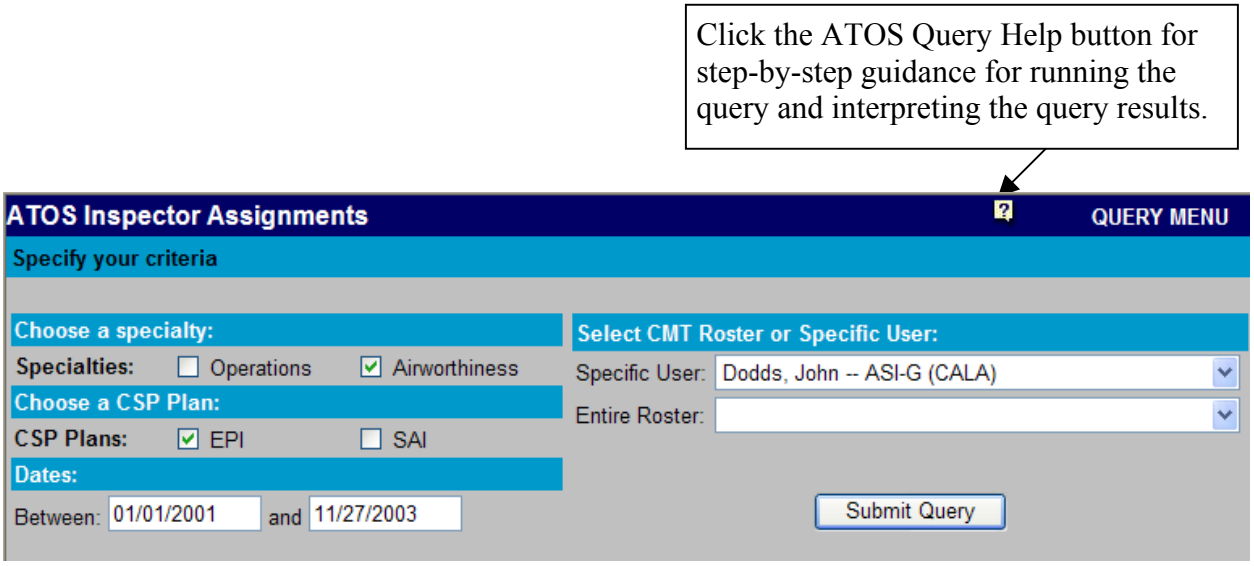


Figure 10-90: Inspector Assignments Query Screen

10.7.2 Inspector Assignments Query Results

The Inspector Assignments Query Results screen (Figure 10-91) lists the Record ID and status of each element assigned to each inspector. Click Alter Query in the top right corner of the screen to return to the Inspector Assignments Query screen.

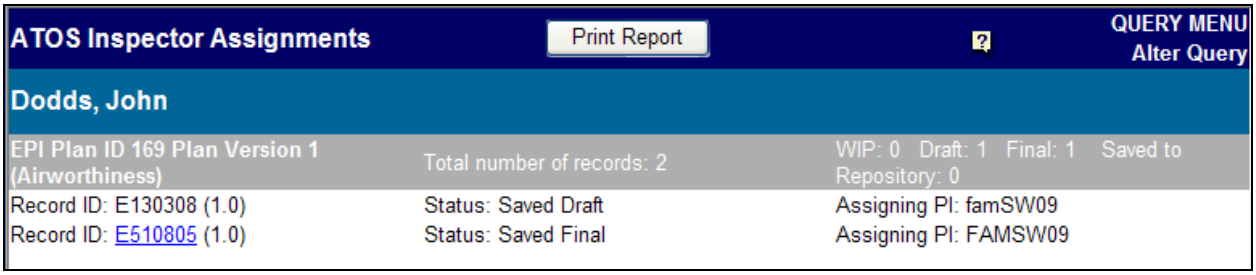


Figure 10-91: Inspector Assignments Query Results Screen

10.8 Form 8430-13 Inspection Query

This query reports 8430-13 Number and associated information. Manager and Supervisor users can view individual or entire roster assignments of staff assigned to them. Other users can view either individual or entire roster assignments of staff that are assigned to the specialty and airline to which they are assigned. A sort function is available on the actual 8430-13 number to make it easy to find a specific 8430-13 value.

Clicking the Query Help button (located in the upper right corner of both the query and the results screens and identified by a question mark) opens a window that provides on-screen instructions for using the query screen and reading the results screen.

10.8.1 Using the Form 8430-13 Inspection Query Screen

To use the 8430-13 Inspection Query screen (Figure 10-92):

1. Select a date range using the calendar pop-up window. Default dates reflect the dates of information available for the planning cycle being queried.

2. Chose a specific user from the drop-down list, or select the entire Office or Roster. (Options vary by user.)

3. Click the Search button to view the query results.

Click the ATOS Query Help button for step-by-step guidance for running the query and interpreting the query results.

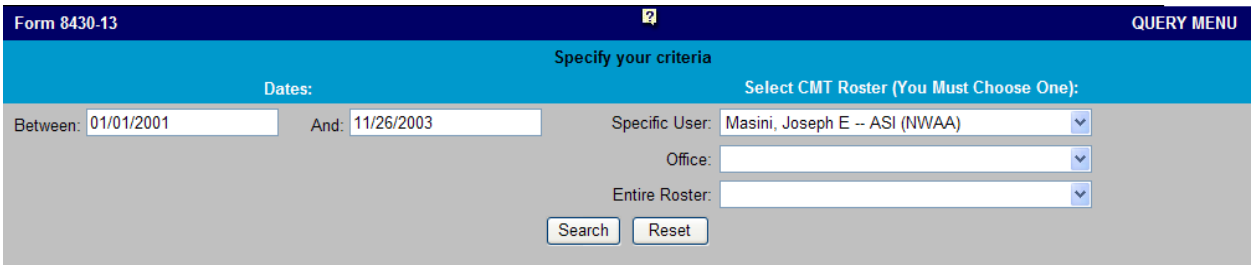


Figure 10-92: Form 8430-13 Inspection Query Screen

10.8.2 Form 8430-13 Inspection Query Results

The 8430-13 Inspection Query results screen (Figure 10-93) displays the following data, arranged in columns:

- Inspector Name
- Activity ID or DOR ID
- 8430-13 Number
- Start Date
- End Date
- Flight Number
- Air Carrier
- Departure Point
- Arrival Point
- Office Code

Any 8430-13s reported via DORs or ConDORs that meet the query criteria are included in the output, following the Activities. The "Activity Report" banner and "DOR Report" banner each have a link to the other. For longer reports, you may click on the "Skip to DOR Report" instead of scrolling through the Activities listed. Similarly, you may quickly return to the Activities section by clicking on the "Skip to Activity Report" link on the banner that heads the "DOR Report" section.

The results of the query are presented in columns that can be sorted by any of the column heads. Click on a column header and the data is sorted by that column, either alphabetically or numerically depending on the column values. To change the initial search criteria, click **ALTER QUERY** from the top of the screen to return to the 8430-13 Inspection Query screen.

Form 8430-13 | Print Report | Query Menu | Alter Query

Activity Report | Skip To DOR Report

Results from FY04

Inspector Name	ActivityID	8430-13 Number	Start Date	End Date	Flight Number	Air Carrier	Departure Point	Arrival Point	Office Code
Masini, Joseph E	31035405 1.0	1008518	06/07/03	06/07/03	569	NWAA	MIA	MSP	GL01
Masini, Joseph E	31035403 1.0	1008519	06/19/03	06/19/03	570	NWAA	MSP	MIA	GL01
Masini, Joseph E	31035402 1.0	1008520	06/21/03	06/21/03	569	NWAA	MIA	MSP	GL01
Masini, Joseph E	31035401 1.0	1008521	06/26/03	06/26/03	570	NWAA	MSP	MIA	GL01
Masini, Joseph E	31035404 1.0	1071092	06/28/03	06/28/03	569	NWAA	MIA	MSP	GL01
Masini, Joseph E	31035406 1.0	1071094	07/06/03	07/07/03	42	NWAA	MSP	EHAM	GL01
Masini, Joseph E	31035407 1.0	1071095	07/24/03	07/24/03	772	NWAA	MSP	DTW	GL01
Masini, Joseph E	31035408 1.0	1071096	08/02/03	08/02/03	772	NWAA	MSP	DTW	GL01

DOR Report | Skip To Activity Report

Inspector Name	DOR ID	8430-13 Number	Start Date	End Date	Flight Number	Air Carrier	Departure Point	Arrival Point	Office Code
Masini, Joseph E	2305	870576	09/18/01	09/25/01	570	NWAA	MSP	MIA	GL01
Masini, Joseph E	2337	870577	09/18/01	09/28/01	573	NWAA	MIA	MSP	GL01
Masini, Joseph E	4879	1020734	08/08/02	08/08/02	351	NWAA	MSP	SFO	GL01

Figure 10-93: Form 8430-13 Inspection Query Results Screen

10.9 ATOS Query Matrix

The following table provides a quick reference to basic information regarding each of the ATOS queries, which are listed in the order in which they appear on the ATOS Query Menu.

Query Name	Basic Description	Access Controls	Data Retrieved	Data Format
Element Query	The Element Query displays inspection responses, listed by element. Counts of "Yes," "No," and "N/A" responses are displayed for each element, and the text of the explanatory comment required for each No or N/A response is also displayed. A hyperlink to the appropriate Activity Report is provided for each No or N/A response.	Fully accessible by all users.	ATOS Data Repository data (Saved Final data reviewed by DEPM). User selects: Specialty SAI / EPI Plan Air Carrier Fields Date Range Elements	Element names are grouped within CSP plans; plans are grouped within air carriers. Elements with an associated comment are identified by Activity ID, which is a link to the Activity Report.

Query Name	Basic Description	Access Controls	Data Retrieved	Data Format
PI Response to Request	ASIs can request PI response to their comments, which PIs can provide any time between saving a CSP as final and DEPM concurrence/nonconcurrence. Query reports PI responses to ASIs Requests for Comments.	For users with an assigned technical specialty, their assignment determines the default Airworthiness/ Operations selection. Users can override the default selection by clicking the Airworthiness or Operations button. Users not assigned a technical specialty are defaulted to Airworthiness, which they can override. For users assigned to an air carrier, the Specific User drop down menu is populated with other users assigned to the same air carrier. The Entire Roster selection defaults to the user's assigned air carrier. For users not assigned to a specific air carrier, the Specific User drop down menu is populated with the complete list of users and the Entire Roster menu is populated with the complete list of air carriers.	Current SAI and EPI Plans. User selects: Specialty SAI/EPI Plan Date Range Specific User/Roster	Activities are grouped in descending date order within Elements; Elements are grouped within CSP Plans. Elements with an associated Request for Comment are identified by Activity ID, which is a link to the Activity Report.

Query Name	Basic Description	Access Controls	Data Retrieved	Data Format
Reporting Inspector Action Taken	ASIs optionally enter Action Taken comments in addition to Yes/No/Not App. responses. Query reports ASI's Action Taken comments.	For users with an assigned technical specialty, their assignment determines the default Airworthiness/ Operations selection. Users can override the default selection by clicking the Airworthiness or Operations button. Users not assigned a technical specialty are defaulted to Airworthiness, which they can override. For users assigned to an air carrier, the Specific User drop down menu is populated with other users assigned to the same air carrier. The Entire Roster selection defaults to the user's assigned air carrier. For users not assigned to a specific air carrier, the Specific User drop down menu is populated with the complete list of users and the Entire Roster menu is populated with the complete list of air carriers.	Current SAI and EPI Plans. User selects: Specialty SAI/EPI Plan Date Range Specific User/Roster	Activities are grouped in descending date order within Elements; Elements are grouped within CSP Plans. Elements with an associated Action Taken Comment are identified by Activity ID, which is a link to the Activity Report.

Query Name	Basic Description	Access Controls	Data Retrieved	Data Format
CSP Completion Status	Query reports current CSP assignments, including assigned ASIs, assigning PI, and Record IDs.	For users with an assigned technical specialty, their assignment determines the default Airworthiness/ Operations selection. Users can override the default selection by clicking the Airworthiness or Operations button. Users not assigned a technical specialty are defaulted to Airworthiness, which they can override. For users assigned to an air carrier, the Specific User drop down menu is populated with other users assigned to the same air carrier. The Entire Roster selection defaults to the user's assigned air carrier. For users not assigned to a specific air carrier, the Specific User drop down menu is populated with the complete list of users and the Entire Roster menu is populated with the complete list of air carriers.	Current SAI and EPI Plans. User selects: Specialty SAI/EPI Plan Date Range Specific User/Roster	Assigning PI, assigned ASI, and current status for each Record ID are grouped within Elements; Elements are grouped within CSP Plan. Links to CSPs in Saved, Final status are provided.

Query Name	Basic Description	Access Controls	Data Retrieved	Data Format
Inspector Assignments	Query reports ASI assigned for each CSP Record, and status (Work in Progress, Draft, Saved, Saved Final) of each CSP Record.	For users with an assigned technical specialty, their assignment determines the default Airworthiness/ Operations selection. Users can override the default selection by clicking the Airworthiness or Operations button. Users not assigned a technical specialty are defaulted to Airworthiness, which they can override. ASI users can view only the Entire Roster of the air carrier to which they are assigned. DEPM, PI, Manager, and Supervisor users can view individual or entire roster assignments of staff assigned to them.	Current SAI and EPI Plans. User selects: Specialty SAI/EPI Plan Date Range Specific User/Roster	Assigning PI and current status for each Record ID are grouped within Element; Elements are grouped within ASI; ASIs are grouped within CSP Plan. Links to CSPs in Saved, Final status are provided.

Query Name	Basic Description	Access Controls	Data Retrieved	Data Format
8430-13 Inspection Information	Query reports 8430-13 Number and associated information.	For users with an assigned technical specialty, their assignment determines the default Airworthiness/ Operations selection. Users can override the default selection by clicking the Airworthiness or Operations button. Users not assigned a technical specialty are defaulted to Airworthiness, which they can override. Manager, Supervisor, and DEPM users can view individual or entire roster assignments of staff assigned to them. Other users can view individual or entire roster assignments of staff assigned to the specialty and airline they are assigned to themselves.	Current SAI and EPI Plans. User selects: Date Range Specific User/Office or Specific User/Roster	Data retrieved is displayed in sortable columns: Inspector Name 8430-13 Number Start Date End Date Flight Number Air Carrier Departure Point Arrival Point

11 Risk Management

The purpose of the Flight Standards Service's Risk Management Process is to provide Certificate Management Teams (CMTs) with an effective means to oversee the certificate holder's management of identified hazards and the risk posed by those hazards.

The Service's Risk Management Process has six major steps, as illustrated in Figure 11-1, and briefly described below:

- **When to Use the Risk Management Process**

You may use the Risk Management Process to address any hazard that the Principal Inspector (PI) decides is significant enough to justify intensive analysis and tracking. Systemic hazards are often good candidates for this process. The PI determines when it is appropriate to use the Risk Management Process to address an identified hazard.

- **Risk Management Process Description**

The paragraphs below briefly describe each of the six steps and how those steps support the Risk Management Process. The remainder of this document describes in detail how to carry out each step.

- **Step 1: Hazard Identification**

The purpose of hazard identification is to describe "What's wrong" with the certificate holder's operation. To complete the hazard identification step, CMT members must describe the conditions or circumstances in the certificate holder's operating environment or in its operating systems that could lead to an unplanned or undesired event. CMT members must also identify the potential consequences that could result if the hazard were not addressed.

- **Step 2: Risk Analysis**

CMT members must identify the factors that are causing or contributing to the hazard's occurrence. The risk factors identify what must later be fixed or controlled in order to reduce the level of risk. Risk analysis answers the question "How likely is it to happen and bad would it be if it did happen." CMT members determine the severity of the potential consequence, the likelihood of that consequence occurring if the hazard is left alone.

- **Step 3: Risk Assessment**

CMT members use the information from Risk Analysis to determine the overall level of risk. The overall level of risk is one consideration in determining how much of a priority should be placed on ensuring the certificate holder addresses the hazard and its risk factors.

- **Step 4: Decision Making**

Decision making answers the question "What's to be done about it." To complete the decision making step, CMT members must decide: if action needs to be taken to eliminate the hazard to reduce the level of risk; if the certificate just needs to be monitored, or; if the responsibility for getting the hazard mitigated needs to be transferred to some other Flight Standards or FAA organization.

- **Step 5: Implementation**

Implementation answers the question "Who will do what, when and how." To complete the implementation step, CMT members must identify the actions they need to take to effectively oversee the certificate holder's mitigation of the hazard. They then, of course, must carry out these oversight actions.

- **Step 6: Validation**

Validation answers the question "Did it work." To complete the validation step, CMT members review the current status of the hazard and verify that the certificate holder addressed the risk factors that contributed to or caused the hazard to occur and/or be encountered. CMT members also verify that the level of risk posed by the hazard was reduced. Using this assessment of the current level of risk, CMT members decide whether to close the risk management process for this risk hazard, or whether more implementation actions are required.

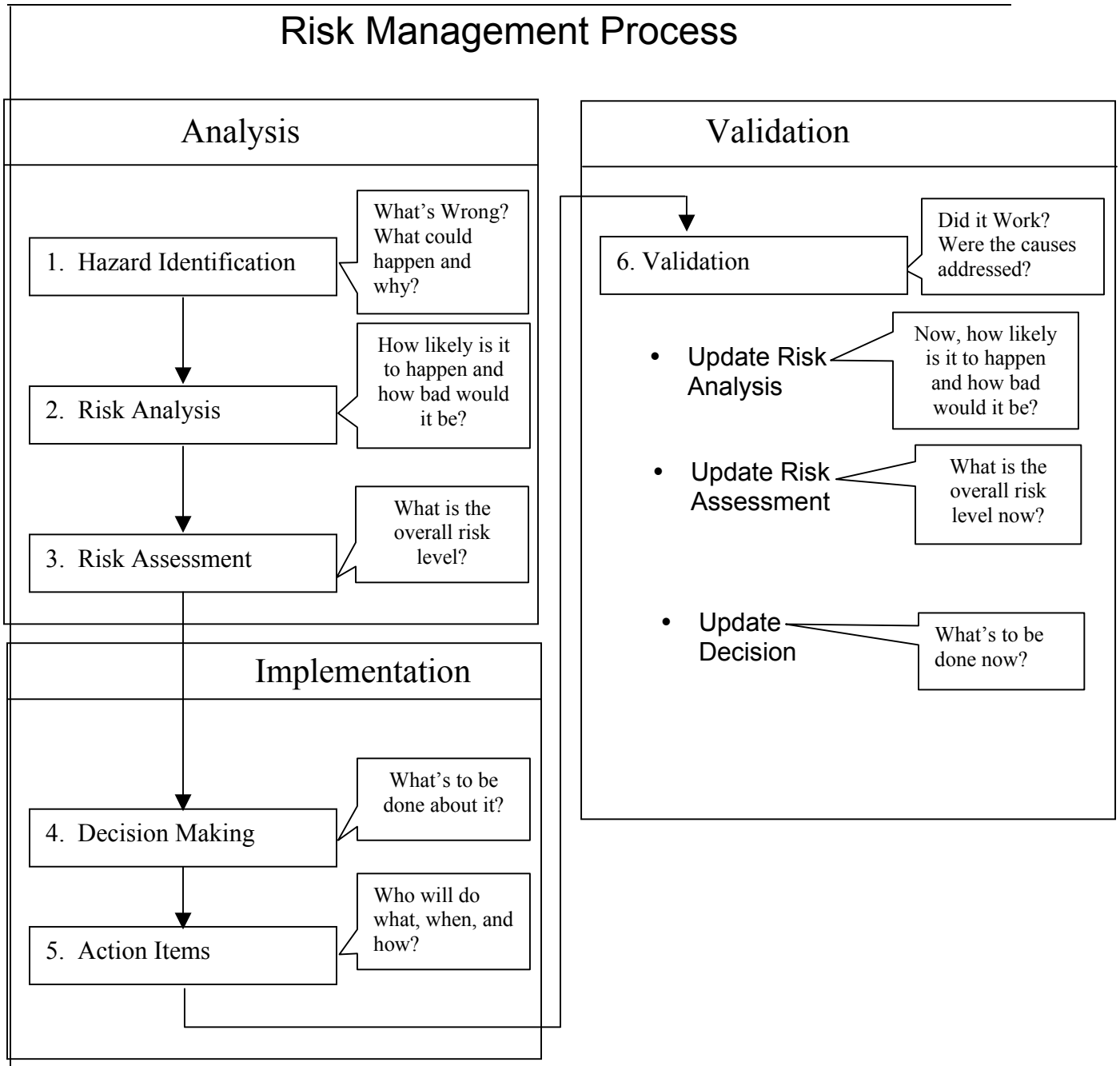


Figure 11-1: Risk Management Process Flow

Begin by choosing "Risk Management" from your ATOS Home Page, Figure 11-2.

Figure 11-2 ATOS Home Page

Clicking the circled plus sign just left of **RISK MANAGEMENT PROCESS** on the ATOS Home Page reveals two options for a Principal Inspector. Click Identify a Hazard to name a new Hazard and assign it to someone. Click Hazard List to work on a previously named and assigned Hazard.

11.1 Hazard Identification

The purpose of hazard identification is to describe "What's wrong" with the certificate holder's operation. In particular, the purpose is to describe what's wrong with the certificate holder's systems. To complete the hazard identification step, CMT members must describe the conditions or circumstances that could lead to an unplanned or undesired event.

11.1.1 Name a New Hazard and Designate a Person

From the ATOS Home Page (Figure 11-2), click on the first of the two links, Identify a Hazard, to name a new hazard and designate a person to complete the risk management process. The New Hazard window (Figure 11-3) may also be reached from the "New Hazard" tab on the Hazard List screen (Figure 11-5).

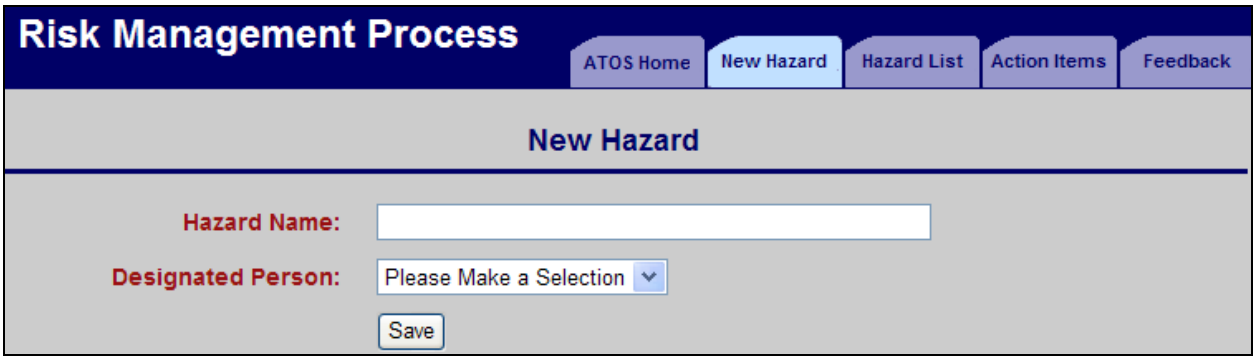


Figure 11-3: Risk Management Process, New Hazard Tab

Write a brief phrase that summarizes the condition, event, or circumstance of concern. The hazard name provides a shorthand phrase to use when referring to the hazard.

The PI can complete the risk management process for the hazard or designate someone within the same classification within the CMT to complete the process. Please refer to Figure 11-4 for the various cases in which a person is designated.

*The **Feedback** tab that appears on the New Hazard screen, as well as on others used in the Risk Management Process (RMP), will open the familiar **Problem Reporting & Feedback** window, accessible throughout ATOS.*

If the PI designates…	***And…***	***Then…***
Him/herself	*Is a supervisor*	• *The PI selects his/her name AND* • *Completes the risk management process for the hazard.* • The selection triggers the ATOS IWP process where the PI's supervisor or manager assigns the work.
Someone within his/her classification within the CMT	The PI ***is*** a supervisory PI	• The selection triggers the ATOS IWP process where the DP's supervisor or manager assigns the work. • The PI uses local procedures to notify the designated person (DP) of his/her assignment AND • The DP goes to the hazard list and completes the risk management process for the assigned hazard.
	The PI ***is not*** a supervisory PI	• The selection triggers the ATOS IWP process where the DP's supervisor or manager assigns the work. • Then the PI uses local procedures to notify the DP of his/her assignment once made AND • The DP goes to the hazard list and completes the risk management process for the assigned hazard.

Figure 11-4: Designation of a Person to Risk Management

Click on the **Save** button to open the Analysis page (Figure 11-6) and continue the risk management process.

If the Hazard Name you attempt to Save already exists in the database, you will be presented with an opportunity to edit the name or confirm the Save of the duplicate name.

When the PI has designated someone else to complete the risk management process, he or she may use the **ATOS Home** tab to exit the process at any time. Re-entry is from the Hazard List link on the homepage.

11.1.2 Hazard List

From the ATOS Home Page (Figure 11-2), click on the second of the two links, Hazard List, to display all of the Hazards previously named and assigned.

Figure 11-5: Risk Management Process, Hazard List Tab

In the Hazard List, Figure 11-5, you have the option of clicking on a column label to present the list sorted by that column.

Click on a Designee's name to get roster information on that person.

Click on the square just left of a Hazard Name to select it for deletion. Click on the **Delete Selected Hazard** button to complete the deletion process. The list will refresh and the deleted hazard(s) will not be shown.

Click on a Hazard Name link to work on a previously named Hazard. Click on the "New Hazard" tab to name a new Hazard.

Clicking on a Hazard Name from the Hazard List (Figure 11-5) opens the Analysis panel, a portion of which is shown in Figure 11-6.

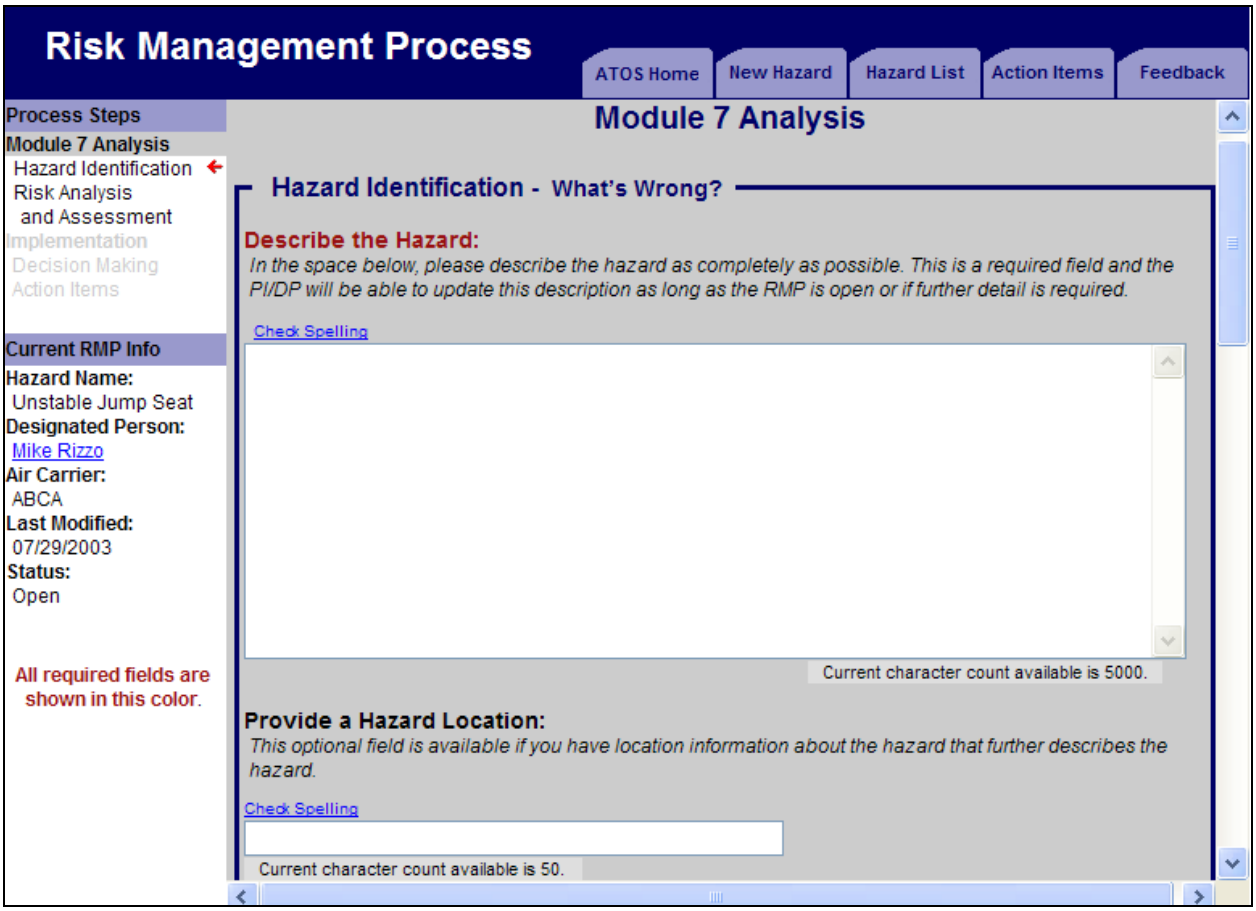


Figure 11-6: Risk Management Process, Top of Analysis Panel

11.1.2.1 Describe the Hazard

A hazard is defined as a "condition, event, or circumstance that could lead to or contribute to an unplanned or undesired event." Write a description of the hazard in a narrative format that includes the relevant facts such as who, what, how often, and where. The descriptive information will be used later to evaluate the effectiveness of action taken to mitigate the risk associated with the hazard.

11.1.2.2 Provide a Hazard Location

A separate field is provided for the location of the hazard. The location of the hazard may be stated as a type of location such as maintenance stations or hangar facilities, or a specific location such as "LGA maintenance station". If the hazard is not related to any particular location, then skip this data field.

11.1.2.3 Hazard Description Related Items

One or more of the five following types of information about the hazard may be appropriate to add to the narrative description at this point. This optional information helps to describe the hazard further in terms of how it affects the certificate holder's system so it can be analyzed in terms of its risk. This information also provides a means to identify trends to help guide CSP planning

Type of Information	What to do
Identify Affected Make/Model/Series	• Select the make/model/series number(s) of aircraft affected by the hazard. • If the hazard isn't related to any particular make/model/series, skip this data field.
Identify Related Regulation(s)	• If there are regulations related to the hazard, select them from the list. • If the hazard isn't related to any regulation, skip this data field.
Identify Related ACAT Risk Indicator(s)	• If the hazard is related to one or more Air Carrier Assessment Tool (ACAT) risk indicator, select the related ACAT risk indicator(s). • If the hazard isn't related to an ACAT risk indicator, skip this data field.
Identify Affected System/Sub-System/Element(s):	• *Select the ATOS system(s), sub-system(s), or element(s) affected by the hazard. Select the system or sub-system only if the hazard affects every element in it.* • *If the hazard isn't related to any System, Sub-System or Element, skip this data field.*

Figure 11-7: Additional Information to Describe a Hazard

The sections that immediately follow the field for the hazard location are shown in Figure 11-8.

Hazard Description Related Items:

The following fields allow you to reference other data and information from ATOS that helps describe the hazard. The following fields (M/M/S, SRR, ACAT Risk Indicators & Sys/Sub/Element) are optional

M/M/S	SRR	ACAT Risk Indicators	System/Subsystem/Element
Add/Edit	Add/Edit	Add/Edit	Add/Edit

Figure 11-8: Risk Management Process, Hazard Description Related Items

The **Add/Edit** link at the end of any column opens a window where options are listed for selection.

11.1.2.3.1 Add/Edit Affected Make/Model/Series (M/M/S)

Click on the **Add/Edit** link at the bottom of the **M/M/S** field to select any make/model/series number(s) of aircraft that may be affected by the hazard. The working screen presented, Figure 11-9, will list the M/M/S numbers available for selection on the left.

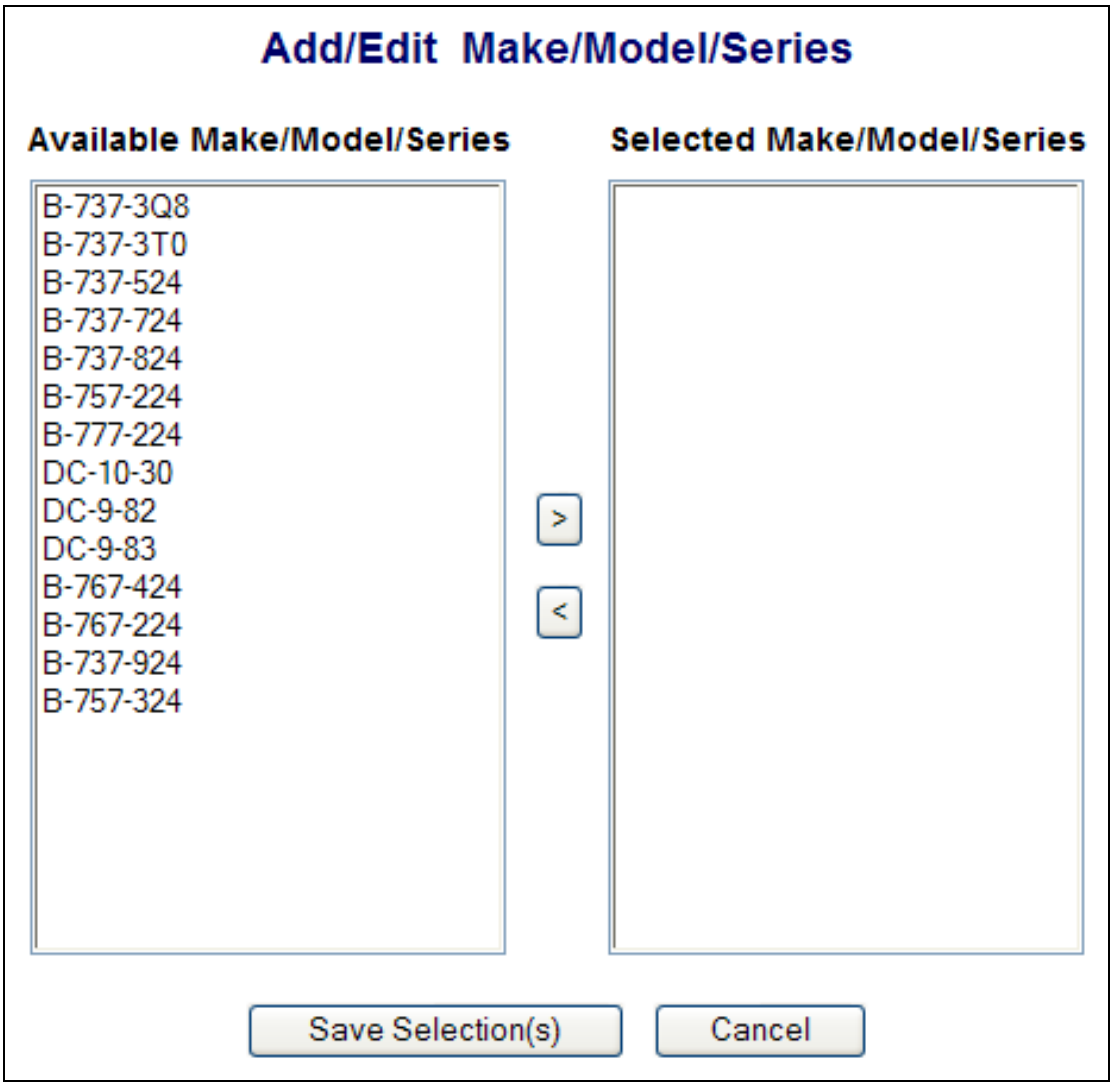


Figure 11-9: Add Make/Model/Series Number to Hazard Identification

Move a Make/Model/Series designation from one column to the other by highlighting it, then clicking a direction arrow to move it to the other side. When you have made your selection(s), clicking the **Save Selected Make/Model/Series** button will return you to the Analysis section of the Risk Management Process page and you will see your choice(s) listed. Click the **Cancel** button to return without making any change to the **M/M/S** field.

11.1.2.3.2 Add/Edit Related Regulations

Click on the **Add/Edit** link at the bottom of the **SRR** field to select any regulations related to the hazard. The working screen presented, Figure 11-10 will list Code of Federal Regulation (CFR) options from which to choose. Clicking on a CFR will show choices in the paragraph window. Clicking on a paragraph number will fill the window below with the SRR designations available for selection on the left.

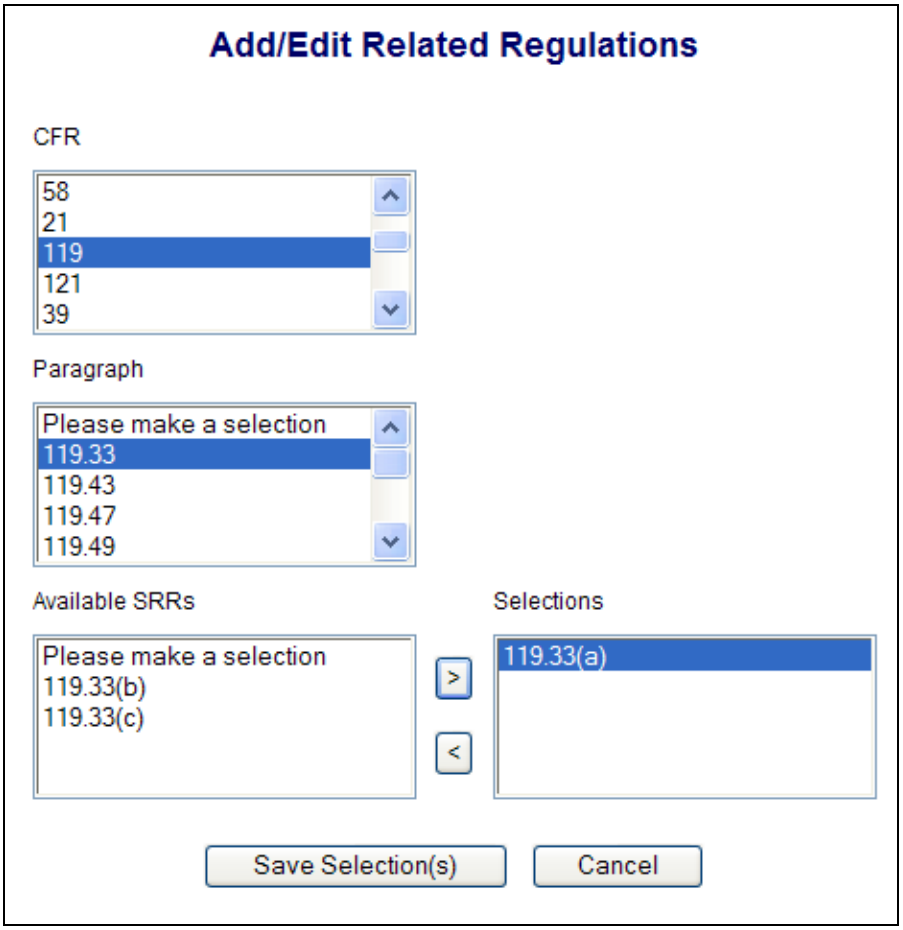


Figure 11-10: Add SRRs to Hazard Identification

Move an SRR designation from one column to the other by highlighting it, then clicking a direction arrow to move it to the other side. When you have made your selection(s), clicking the **Save Selection(s)** button will return you to the Analysis section of the Risk Management Process page and you will see your choice(s) listed. Click the **Cancel** button to return without making any change to the **SRR** field.

11.1.2.3.3 Add/Edit Related ACAT Risk Indicators

Click on the **Add/Edit** link at the bottom of the **ACAT Risk Indicators** field to relate ACAT Risk Indicators to the hazard. The working screen presented, Figure 11-11 will list the ACAT Risk Indicators available for selection in the upper panel.

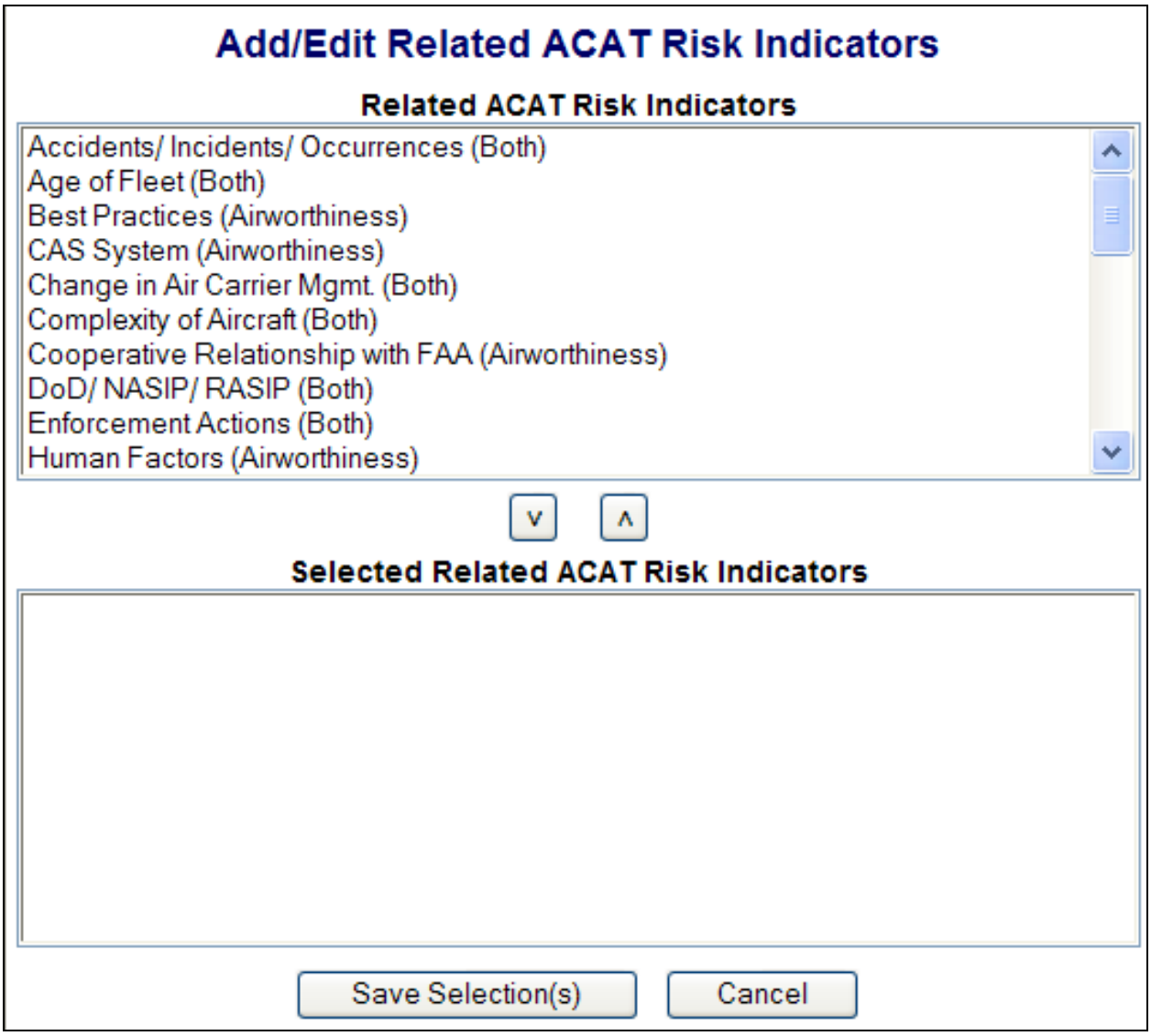


Figure 11-11: Add ACAT Risk Indicators to Hazard Identification

Move a Risk Indicator from one field to the other by highlighting it, then clicking a direction arrow to move it to the other side. Click on the **Save Selected Risk Indicators** button to save your selections return to the Analysis section of the Risk Management Process page to see your choice(s) listed. Click the **Cancel** button to return without making any change to the **ACAT Risk Indicators** field.

11.1.2.3.4 Add/Edit Affected Systems, Subsystems, or Elements

Click on the **Add/Edit** link at the bottom of the **System/Subsystem/Element** field to relate specific systems, subsystems, or elements to the hazard. The working screen presented, Figure 11-12 will list the systems available for selection.

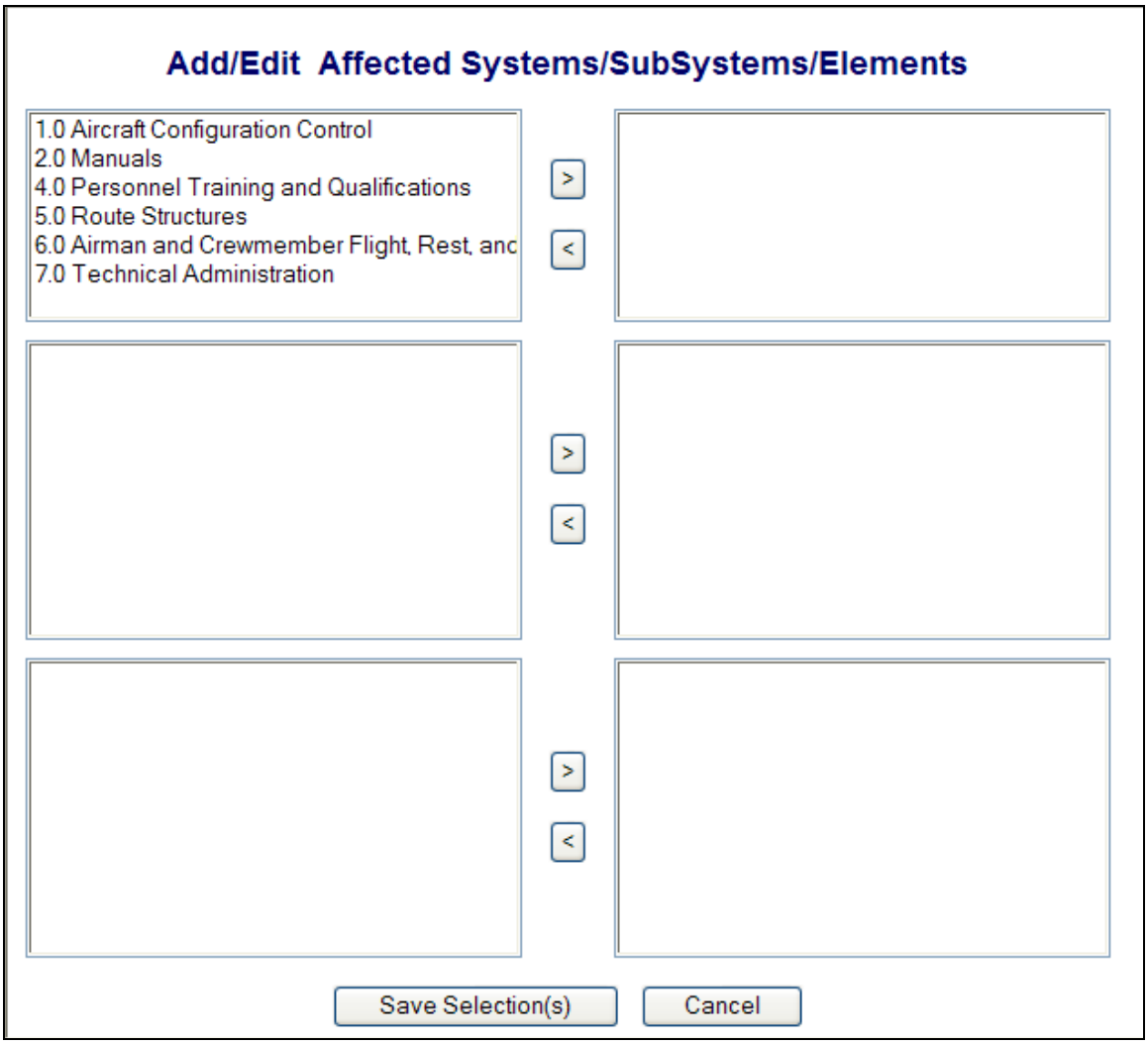


Figure 11-12: Add Systems, Subsystems, and Elements to Hazard Identification

When you highlight (click on) a system, the associated subsystems appear in the next box down. Likewise, when you highlight a subsystem, the associated elements appear in the box below that. In each case, using the directional arrows after highlighting your choice will move that line to the right column as selected for inclusion in the hazard record. Do ***not*** move a system or subsystem to the right column unless ***all*** the elements in the system or subsystem are related to the hazard. Click on the **Save Selection(s)** button to add the chosen elements to the hazard identification and return to the Analysis section of the Risk Management Process page to see your choice(s) listed. Click the **Cancel** button to return without making any change to the **System/ Subsystem/ Element** field.

11.1.2.4 Associate Items

The next section of the Analysis panel has the header of "Associate Items" and contains those items shown in Figure 11-13. These optional items may be used to provide additional details about how the hazard affects the certificate holder's system.

Associate Items

This is optional information that will further help describe the hazard.

DORs	Activities	Source Documents
Add/Edit	Add/Edit	Add

Figure 11-13: Risk Management Process, Associate Items

The link at the end of any column opens a window where options are listed for selection.

11.1.2.4.1 Add/Edit Related DORs

Click on the **Add/Edit** link at the bottom of the **DORs** field to associate specific Dynamic Observation Reports to the hazard. The working screen presented, Figure 11-14, will list the DORs available for selection.

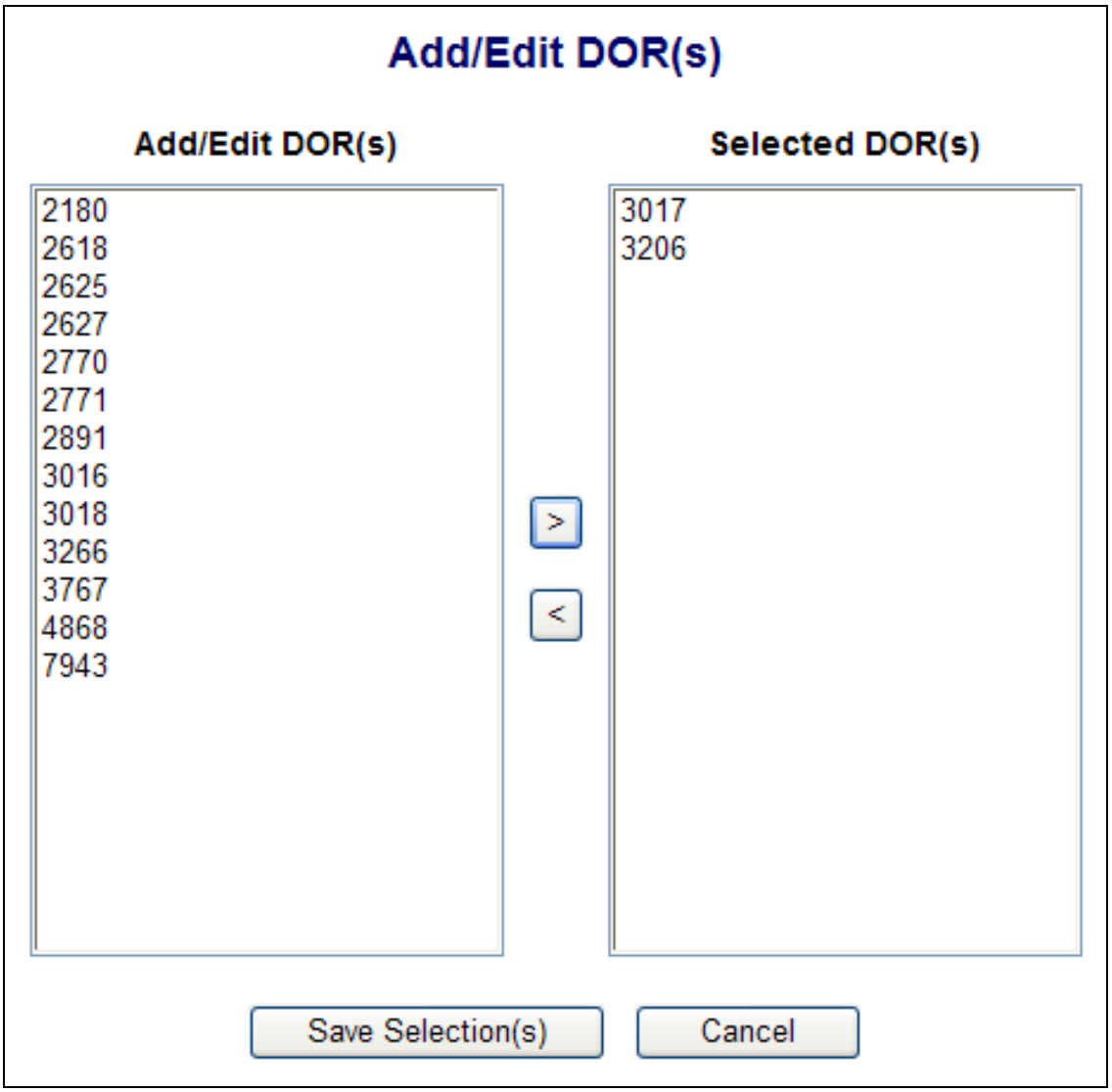


Figure 11-14: Add DOR to Hazard Identification

Move a DOR number from one column to the other by highlighting it, then clicking a direction arrow to move it to the other side. Click on the **Save Selection(s)** button to save your selections return to the Analysis section of the Risk Management Process page to see your choice(s) listed. Click the **Cancel** button to return without making any change to the **DOR** field.

11.1.2.4.2 Add/Edit Related Activities

Click on the **Add/Edit** link at the bottom of the **Activities** field to associate specific Activities to the hazard. The first screen presented, Figure 11-15, will allow you to specify, from a drop down menu, the EPI or SAI Plan from which records will be chosen.

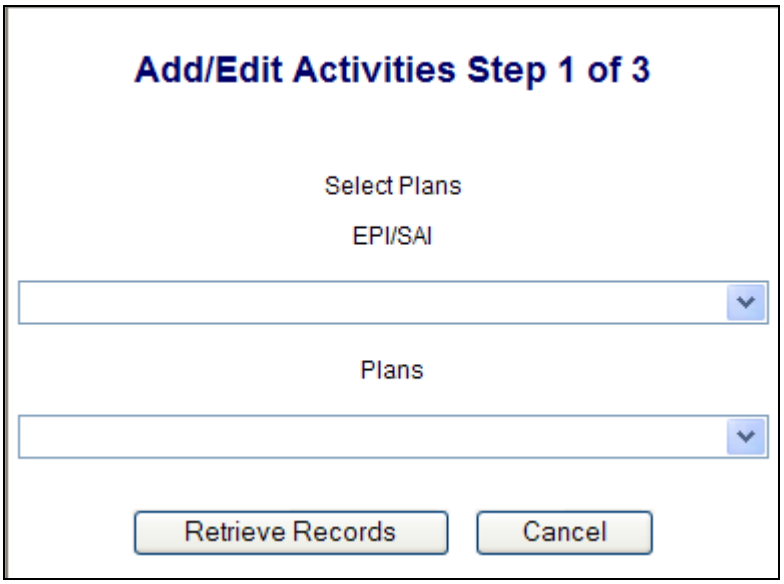


Figure 11-15: Select a Plan to Identify Activities to Add to Hazard Identification

When you click on the **Retrieve Records** button, the next screen will allow you to specify the system, subsystem, element, and record from which to retrieve activities, as shown in the example of Figure 11-16.

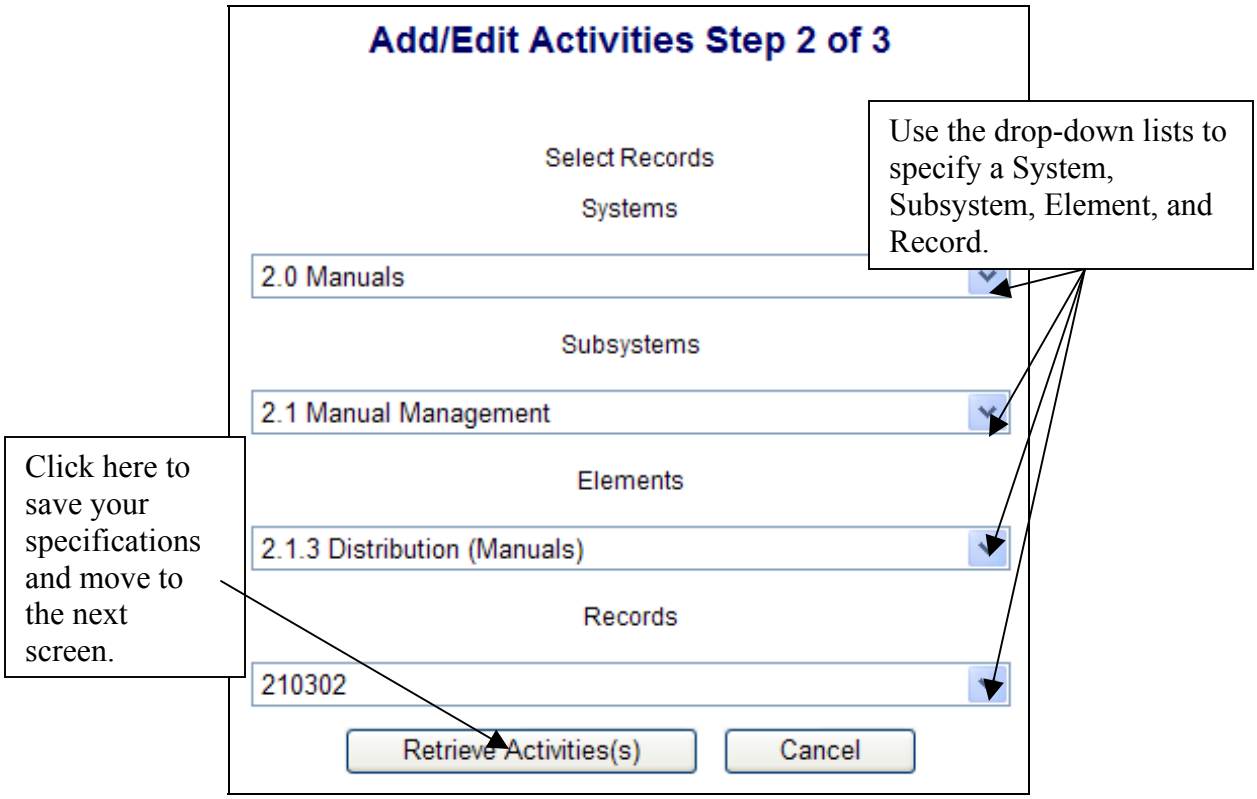


Figure 11-16: Select Records to Identify Activities to Add to Hazard Identification

Click on the **Retrieve Activities(s)** button to move to the next screen, where you will actually select the activities to add to the hazard record.

Figure 11-17 is an illustration of a case where four activities were retrieved and presented as available for selection. In the case shown, one activity has been selected. Another activity may be selected by highlighting it, then clicking on a directional arrow to move it to the "Selected" column. To un-select an activity, highlight it, then click on the direction arrow to put it back in the "Available" column.

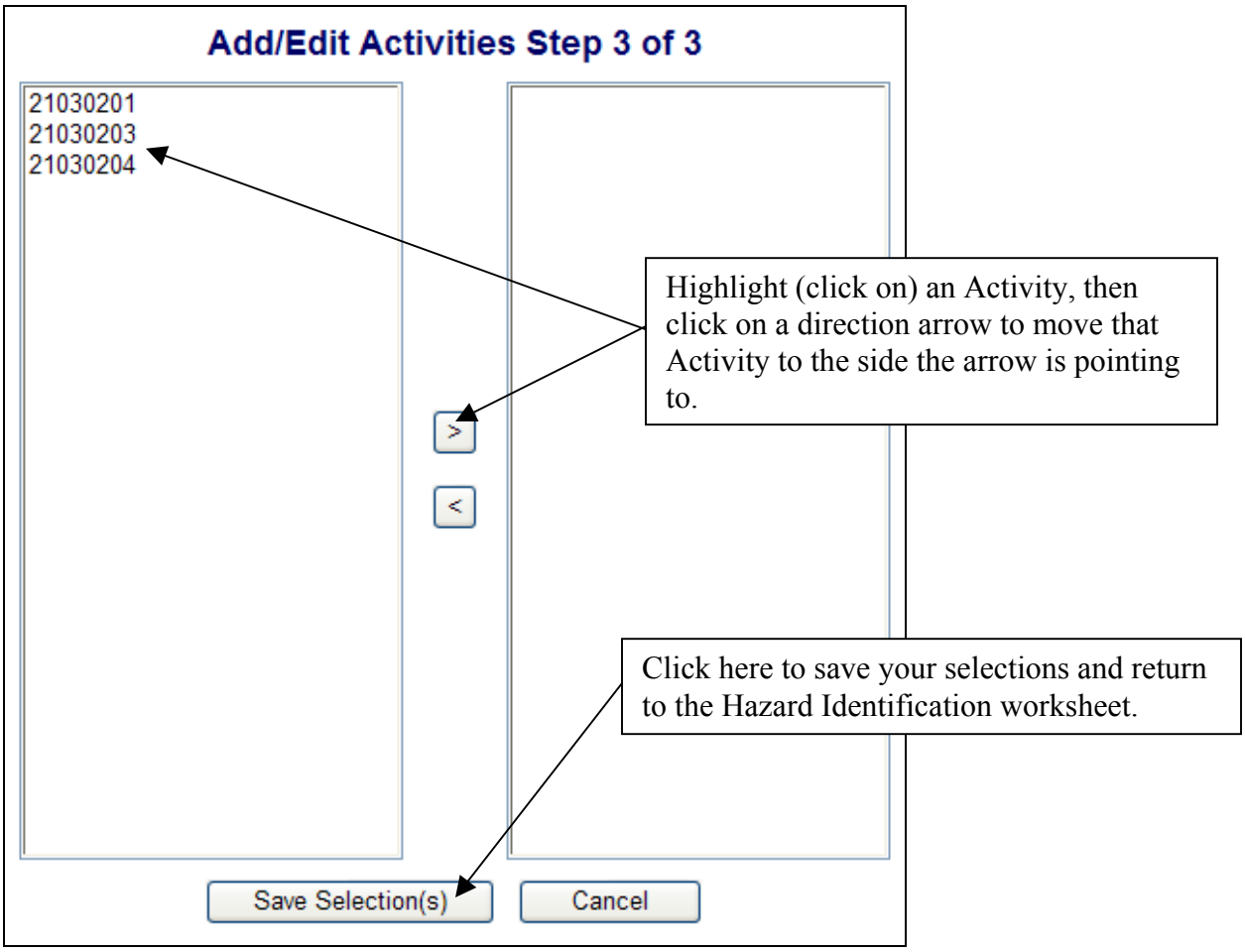


Figure 11-17: Activities Available for Selection

Click the **Save Activities(s)** button to return to the "Associate Items" section of the Analysis panel and see the newly selected activity listed with any others previously selected. Click the **Cancel** button to return without adding an activity.

11.1.2.4.3 Attach Hazard Data Source(s)

Hazard data sources include records and documents. Attaching hazard data source(s) will provide a way to track the data for trending and comparison to any changes produced by oversight actions. Click on the **Add** link at the bottom of the **Source Documents** field to open the "Add Source Document" window (Figure 11-18) that will allow you to attach any documents that contain relevant information about the hazard.

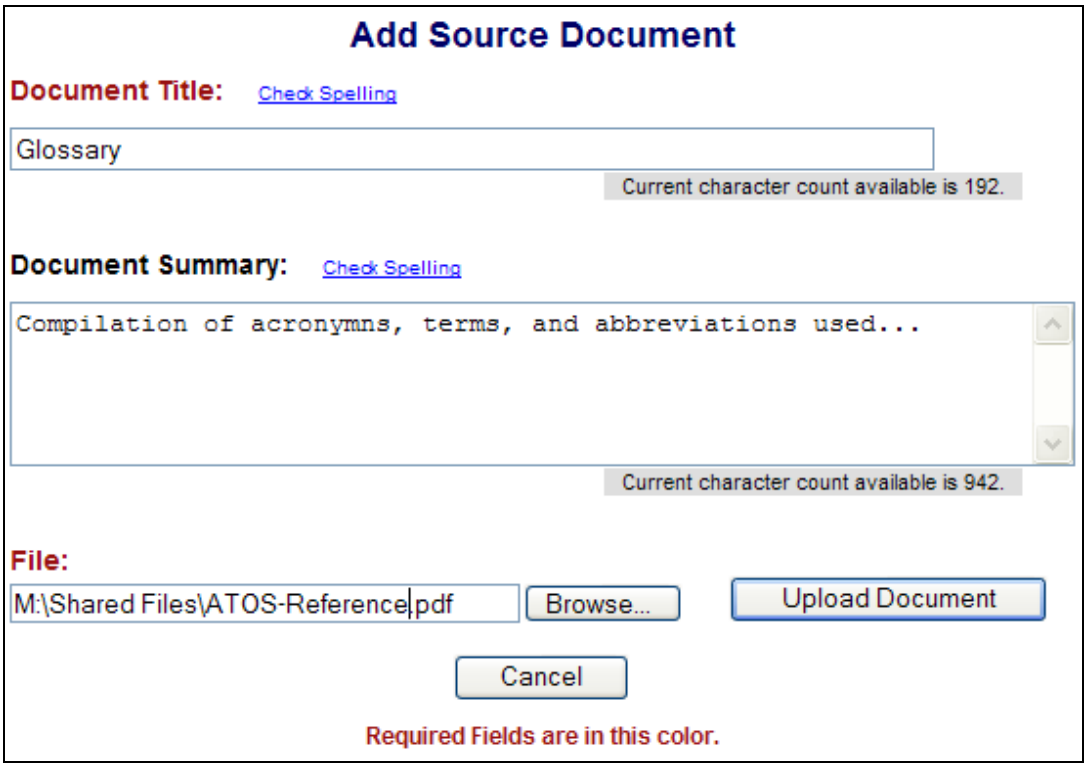


Figure 11-18: Attach Source Document to Hazard Identification

Enter a title for the document and a brief summary of its contents.

Enter the filename, including path, in the "File" field. Alternatively, you may use the "Browse" button to open a window from which you may select a file to upload to the Hazard record. Once you have selected a file, click the "Upload" button. This will complete the process of attaching a source document and return you to the Analysis page.

Clicking the "Cancel" button will return you to the Analysis page without attaching a source document.

11.1.3 Select the Potential Consequence(s)

The purpose of hazard identification is to determine "Why are things going wrong" with the certificate holder's operation, especially its systems. To complete the hazard identification step, CMT members must identify the potential consequences that could result if the hazard were not addressed.

The potential consequence is the key possible negative outcome(s) that could result if the hazard is left alone. The potential consequence will guide you when you select the severity value of the risk associated with the hazard. To identify the potential consequence, select from the displayed list (Figure 11-19) all those that apply to the hazard.

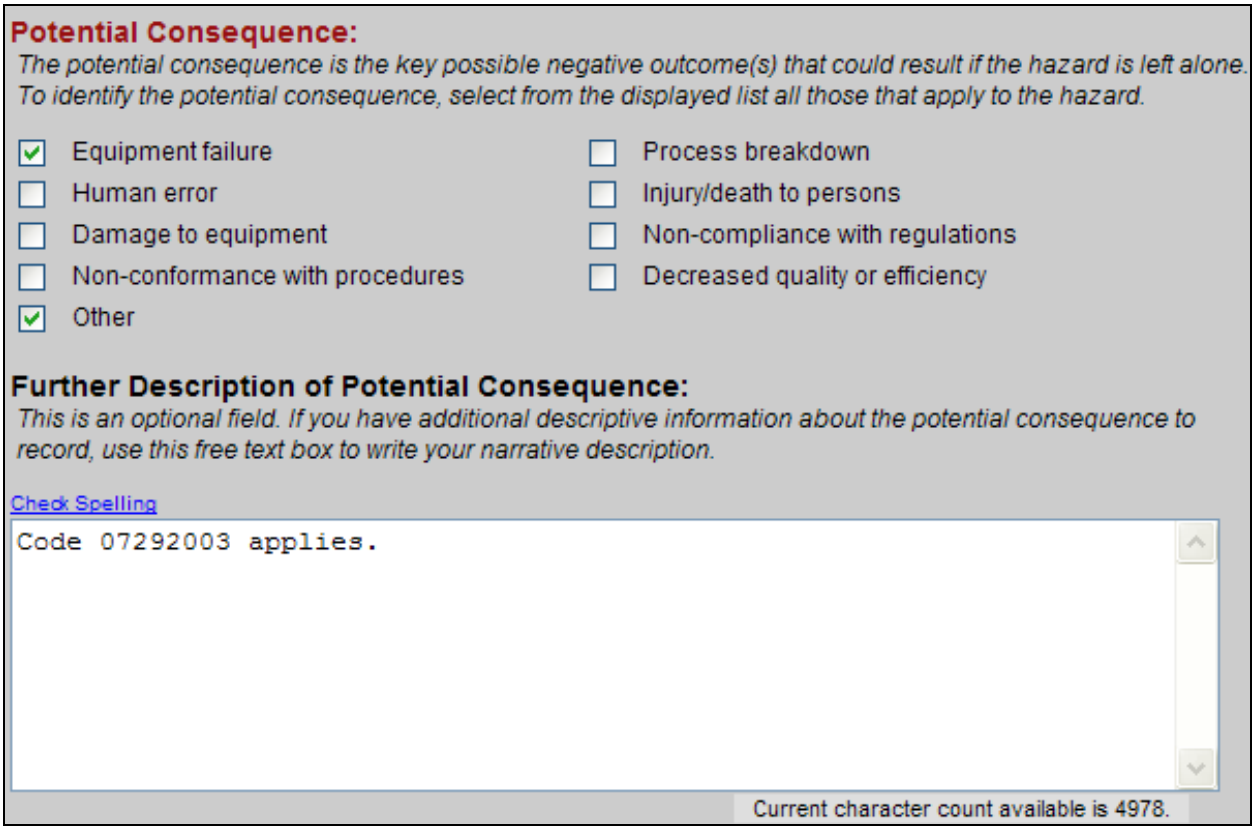


Figure 11-19: Hazard Identification, Potential Consequences

Click the square just left of each consequence you wish to associate with this hazard. If you have additional descriptive information about the potential consequence to record, use the free text box to write your narrative description.

11.2 Risk Analysis

CMT members identify the factors that are causing or contributing to the hazard's occurrence. The risk factors identify what must later be fixed or controlled in order to reduce the level of risk.

11.2.1 Identify Risk Factors

Risk factors are what cause or contribute to the occurrence of the hazard and make the hazard more likely to result in the selected consequence(s). They will be used to help determine the "Likelihood" value. In the Implementation step, the CMT will want to create action items to ensure that the certificate holder has addressed the risk factors.

Figure 11-20 illustrates the **Risk Factors** section of the Analysis panel.

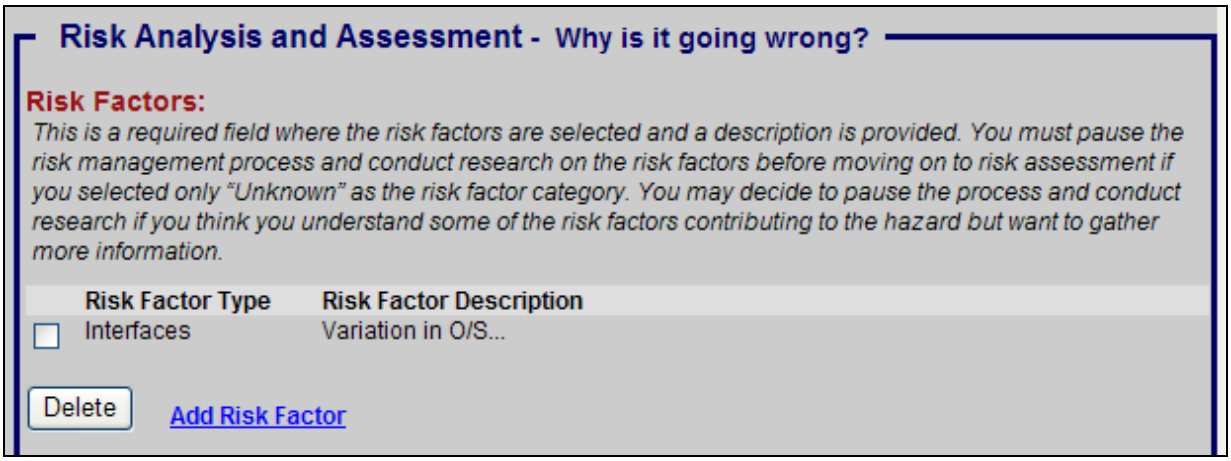


Figure 11-20: Add a Risk Factor to Hazard Identification

Click the **Add Risk Factor** link to open the working screen (Figure 11-21) to select and describe the risk factor(s) associated with the hazard being identified.

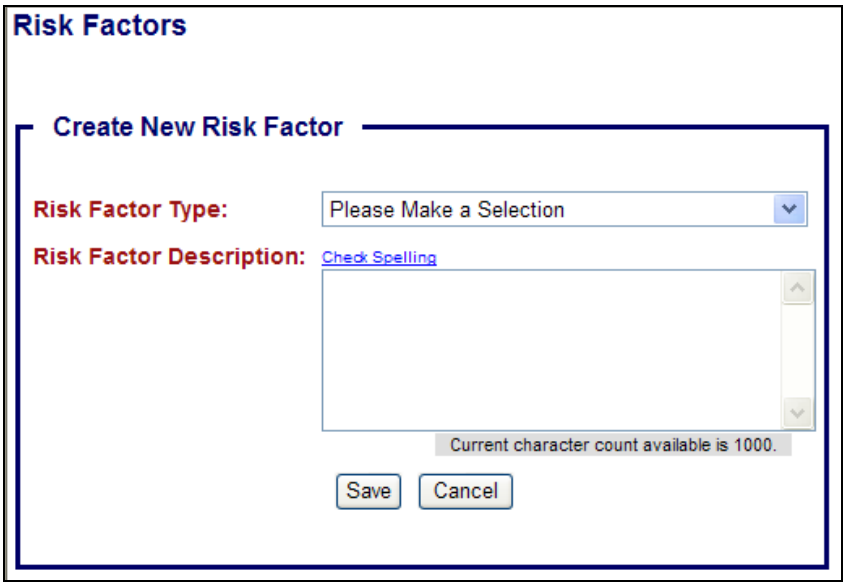


Figure 11-21: Risk Factor Selection and Description

In selecting risk factor types, consider the guidance provided as Figure 11-22.

If …	Then Select…
• There are missing or inadequate procedures OR • The procedures are not understood or adhered to by personnel	Procedures
• There are missing or inadequate controls OR • The controls are not understood or adhered to by personnel	Control
• There are inadequate or missing interfaces OR • The interfaces are not understood or adhered to by personnel	Interface
• There are inadequate or missing process measures OR • The process measures not understood or adhered to by personnel	Process Measure
• The designation of a responsible person is inadequate or missing OR • The person responsible does not understand or use responsibility as intended	Responsibility
• The designation of an authority person is inadequate or missing OR • The person in authority does not understand or use authority as intended	Authority
• The physical environment is a risk factor (weather, terrain, etc.) OR • The operational environment is a risk factor (task being performed, personnel, demographics, equipment being used, workload, available resources, etc.)	Situation
• No other category fits for the risk factor	Other
• You are not sure what any of the risk factors are	Unknown AND • Pause the risk management process • Conduct research on the risk factors • Return to identify the risk factors.

Figure 11-22: Selection of Risk Factors - Guidance

You must pause the risk management process and conduct research on the risk factors before moving on to risk assessment if you selected only "Unknown" as the risk factor category. (You need to understand the risk factors to determine a "Likelihood Value" in Risk Analysis.) You may decide to pause the process and conduct research if you think you understand some of the risk factors contributing to the hazard but want to gather more information.

To conduct research on the risk factors, consider using tools and processes from other ATOS modules, such as ConDORs, SAIs, EPIs, or System Analysis Team (SAT).

When you complete your research return to the Risk Analysis step

11.3 Risk Analysis and Assessment

Risk Analysis answers the question "How bad might it get and how likely is it to happen?". In the Risk Assessment step, CMT members use the information from the Risk Analysis to determine the overall level of risk. The overall level of risk is one consideration in determining how much of a priority should be placed on ensuring the certificate holder addresses the hazard and its risk factors. Figure 11-23 shows the working area of the Analysis panel that is used for Risk Analysis and Risk Assessment.

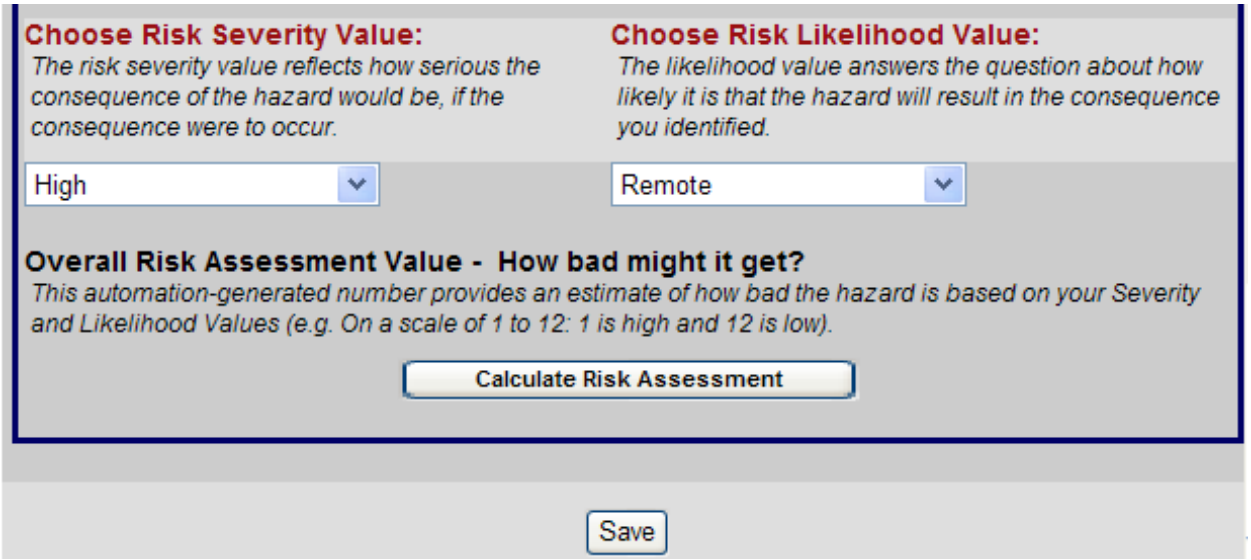


Figure 11-23: Risk Analysis and Risk Assessment

After choosing a Risk Severity value and a Risk Likelihood value from the drop-down lists, click on the **Calculate Risk Assessment** button. The automation-generated number will replace the button. Click the **Save** button to continue to Decision Making.

11.3.1 Choose Severity Value

The severity value reflects how serious the consequence(s) of the risk occurring would be. It is used with likelihood to provide an overall risk assessment value. Use the consequence categories selected, along with any narrative description you developed, to estimate the severity of the risk associated with the hazard. Figure 11-24 details this action.

Action	Comment
Review the selected categories of consequences and any further descriptions.	Review the selected categories and any further descriptions and base your selection on which consequences are the most reasonably likely to occur given the current status of the hazard and its causes
Select one of the severity value options below. • High- Loss (or breakdown) of an entire system or sub-system, accident, or serious incident. • Medium - Moderate damage to an aircraft, partial breakdown of a certificate holder system, violation of regulations or company rules. • Low- Poor certificate holder performance or disruption to the certificate holder.	Select the level of severity that best fits based on your expert opinion after reviewing the selected categories and any further descriptions of the hazard's consequences.

Figure 11-24: Choose Severity Value Actions

11.3.2 Choose Likelihood Value

The likelihood value answers the question about how likely it is that the hazard will result in the consequence you identified. It is used with severity value to provide an overall risk assessment value.

To choose a likelihood value, complete the actions shown in Figure 11-25.

Action	Comment
Review your information about the hazard.	Review the hazard description and the risk factor information. Both of these will help you judge how likely the hazard is to occur and lead to the categories of potential consequences you selected.
Select one of the likelihood value options below. • Frequent- Continuously experienced • Probable- Will occur often • Occasional- Will occur several times • Remote- Unlikely, but can reasonably be Expected to occur	If you estimate that if the hazard occurs 1000 times and but would rarely lead to the consequence(s) you selected, the likelihood of the risk could be remote. If a hazard occurs 3 times and could lead to consequence(s) each time in your experience, the likelihood could be considered frequent.

Figure 11-25: Choose Likelihood Value Actions

11.3.3 RISK ASSESSMENT - Overall Risk Assessment Value

The automation will select the overall risk value (both number and color) using the likelihood and severity values you determined, as shown in Figure 11-26. You will use the overall risk value to help provide an initial estimate of how bad the hazard is compared to any improvements that may occur after the certificate holder takes action to mitigate the risk associated with the hazard.

Risk Matrix			
	Severity		
Likelihood	**High**	**Medium**	**Low**
Frequent	**1**	**3**	**5**
Probable	**2**	**6**	**8**
Occasional	**4**	**9**	**11**
Remote	**7**	**10**	**12**

Overall Risk Assessment Legend:
1– 3 (Red) = High Overall Risk
4 – 9 (Yellow) = Medium Overall Risk
10 – 12 (Blue) = Low Overall Risk

Figure 11-26: Overall Risk Matrix

11.4 Decision Making

Decision making answers the question "What's to be done about it." To complete the decision making step, CMT members must decide: if action needs to be taken to mitigate the hazard to reduce the level of risk; if the certificate just needs to be monitored, or; if the responsibility for getting the hazard mitigated needs to be transferred to some other Flight Standards or FAA organization.

Click the **Decision Making** link on the navigation panel to begin the Implementation phase of the Risk Management Process. Figure 11-27 represents the top portion of the Implementation panel. (The remainder of the Implementation page is not shown until the Decision Making section is saved.)

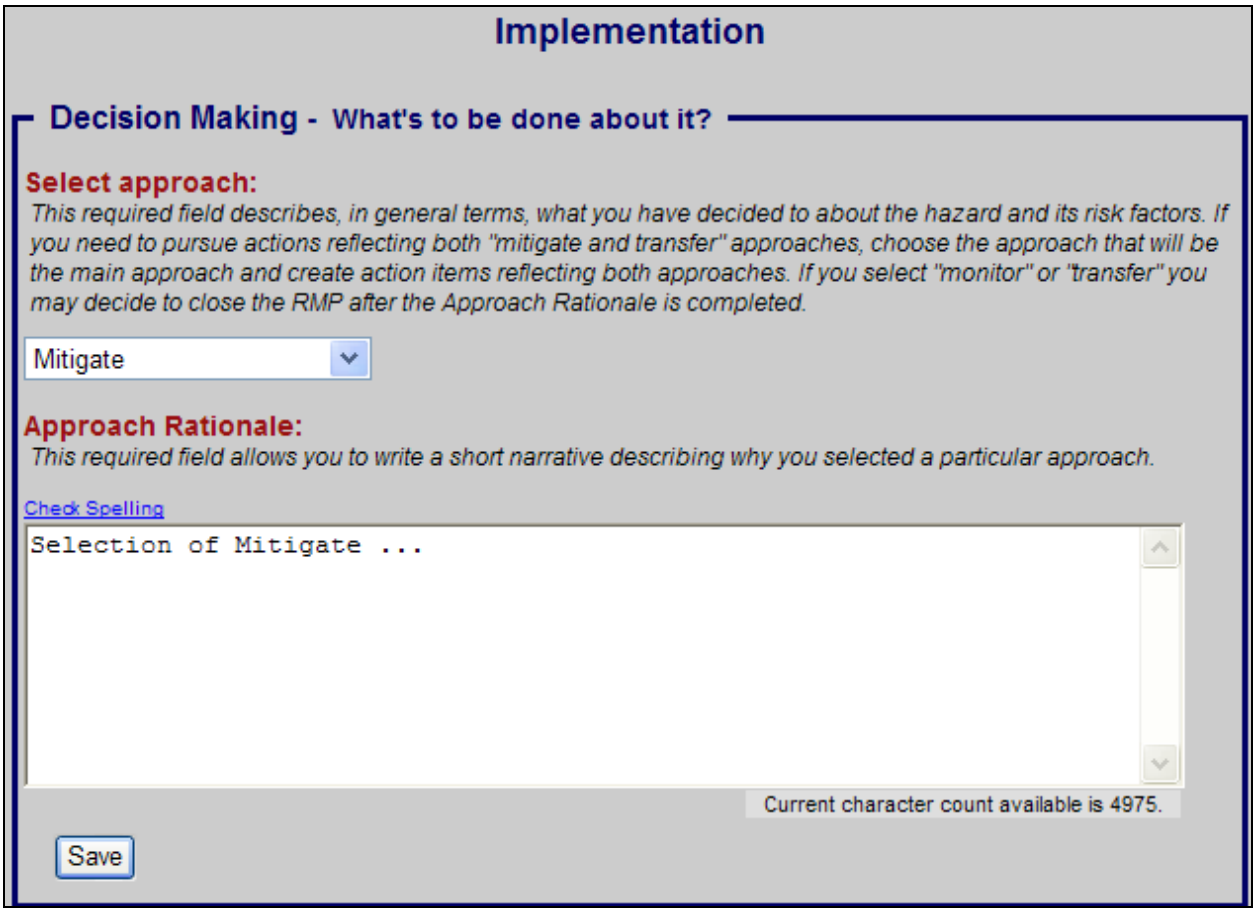


Figure 11-27: Decision Making, Implementation Phase, Risk Management Process

11.4.1 Select an Approach

The selected approach describes, in general terms, what you have decided to do about the hazard, and its risk factors. If you select "Monitor" or "Transfer" you can decide to close the risk management process for this hazard after you document the rationale for your approach. Figure 11-28 provides guidance in selecting your approach.

Approach	When to Use	Examples
Mitigate	Use mitigate as an approach when actions are needed to reduce or eliminate the level of risk. • Mitigation is usually carried out by the certificate holder with CMT oversight. • Sometimes, the CMT may use mitigation strategies that do not involve the certificate holder such as reevaluating certificate holder programs approvals, authorizations, deviations and exemptions, or amending or revoking the certificate holder's authority to conduct all or part of an operation, or initiating an enforcement action). • Mitigation can also be carried out in partnership, as with a System Analysis Team (SAT).	*Certificate Holder Example: With CMT oversight, the certificate holder adds control procedures that will reduce the likelihood of improperly loaded cargo.* *CMT Example: CMT removes the ETOPS provision from the OPSPEC of an unprepared certificate holder to prohibit extended over-water operation, thus eliminating the possibility of the hazard occurring. . NOTE: In this instance, the CMT action has eliminated the hazard and reduced the risk of the consequence occurring to zero.*
Monitor	Use monitor as an approach when • The risk level is within normally expected limits and • No surveillance is required beyond that normally conducted under the Comprehensive Surveillance Plan.	*Current data indicate the cargo is being loaded at the proper height often enough that the overall level of risk associated with the hazard is low and requires only normal continued surveillance.*
Transfer	Use transfer as an approach when corrective action for the hazard is beyond the CMT's authority. In transfer, the CMT allocates authority, responsibility, and accountability for taking action to another AFS or FAA organization.	*Request that AFS-300 issue an Airworthiness Directive (AD) that prohibits or requires some action by a certificate holder.* ***NOTE**: Since a CMT can't create an AD, you "transfer" responsibility for taking action to AFS-300.*

Figure 11-28: Guidance for Selecting an Approach

Note: You may need to pursue actions reflecting both the mitigate and transfer approaches. In such a case, choose the approach that will be the main approach and then go ahead with any actions reflecting the other approach.

11.4.2 Record the Rationale for Selected Approach

This data field provides you with an opportunity to write a short narrative describing why you selected a particular approach. You may also use the "Source Documents" button to attach any documents that contain relevant data or otherwise explain the reason for your selected approach.

Consider the guidance provided in Figure 11-29:

If the selected approach is …	Then describe why you think …
Mitigate	• The action needs to be taken to mitigate the risk associated with the hazard.
Monitor	• It is appropriate to monitor this hazard's level of risk through normal ATOS surveillance.
Transfer	• It is appropriate to transfer the action for addressing the hazard to another AFS or FAA organization.

Figure 11-29: Rationale for Selected Approach

11.5 Action Items

Implementation answers the question "Who will do what, when and how." To complete the implementation step, CMT members must identify the actions they need to take to effectively oversee the certificate holder's mitigation of the hazard. They then, of course, must carry out these oversight actions.

Figure 11-30 illustrates the **Action Items** section of the Implementation panel.

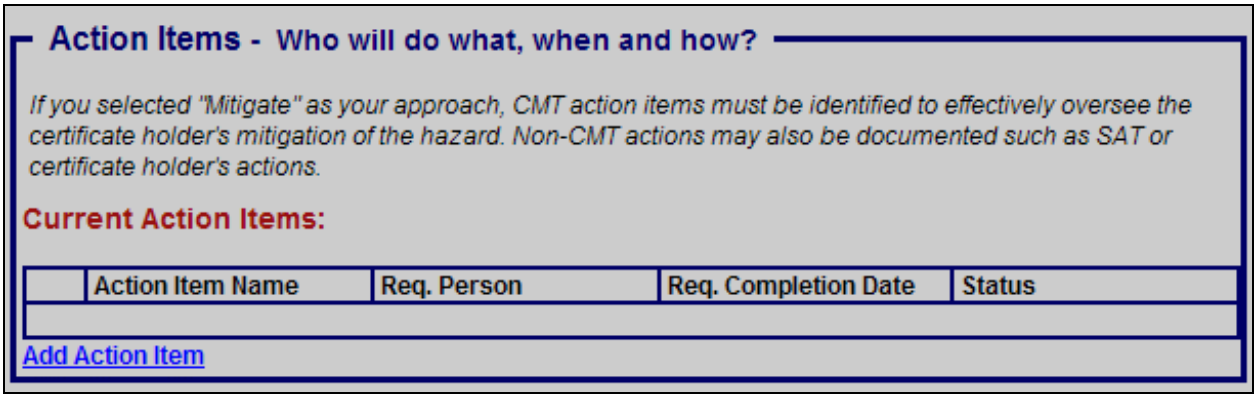


Figure 11-30: Action Items, Implementation Phase, Risk Management Process

11.5.1 Create Action Items

Create action items when you have selected "Mitigate" as the approach. The action items describe what to do to ensure that the certificate holder addresses the hazard. Click the **Add Action Item** link (see Figure 11-30) to open the window that will allow you to create and assign an action item for the identified hazard. This working window is shown as Figure 11-31.

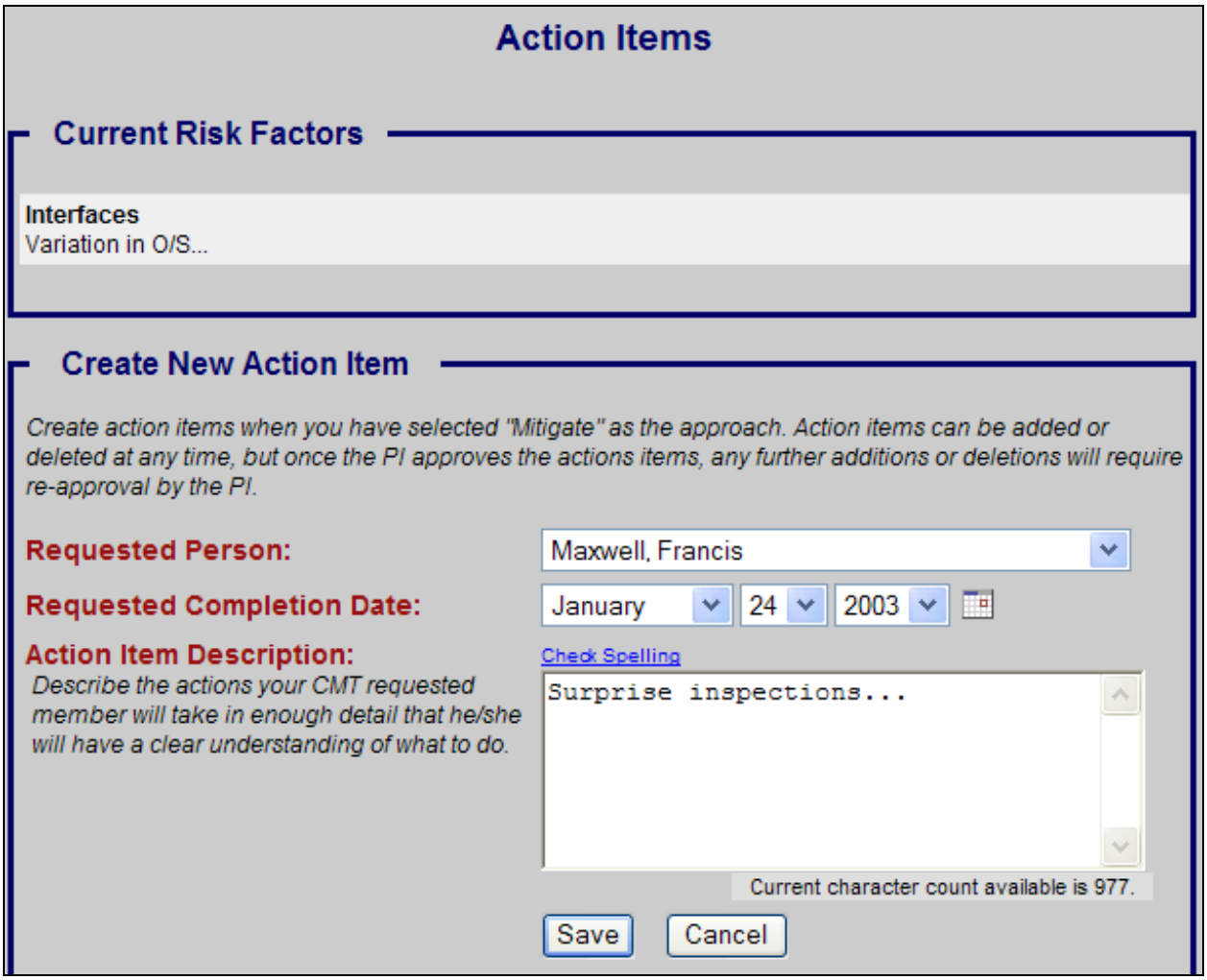


Figure 11-31: Add Action Item

Use the drop down menus to choose a requested person for this action item and to indicate a requested completion date. (The current date is the default date that appears.)

Describe the actions the CMT members will take, in enough detail that the requested person will have a clear understanding of what to do. Action items can be added or deleted at any time, but once the action items are approved by the PI, any further additions or deletions will require re-approval by the PI. Consider including items to accomplish the actions shown in Figure 11-32.

Type of Action Item	Comment
Ensuring the carrier is aware of the hazard.	• Follow local procedures to notify the certificate holder. Methods might include letters, meetings, etc. • In your notification include whatever information you think is appropriate and will help the certificate holder determine what action to take.
Following-up to verify that the certificate holder has addressed the risk factors associated with the hazard.	• You may want to wait until the certificate holder responds to your notification before you create the CMT's follow-up action items.
Assessing whether the certificate holder's actions have had the intended effect on the hazard and reduced the level of risk.	• If you need to collect an extensive amount of data to assess how the certificate holder's actions affected the hazard, you should collaborate with the ORA to create a data collection plan. Use the "Source Documents" button to attach any data collection plans so that the PI can approve them.

Figure 11-32: Action Items

From the CMT roster, select the CMT member(s) you are requesting to carry out each action item. Before an action item request is issued to the requested person, that PI will use the IWP process to concur with the requested person's participation.

Select the date you would like the action item to be completed. Though not required, you are encouraged to enter a baseline requested completion date and to change it as needed.

11.5.2 Request RMP Approval

Once Action Items have been created, the RMP must be approved before they may be released into the IWP. Click the **Request RMP Approval** button, as illustrated in Figure 11-33 to submit the plan to the originating PI for approval.

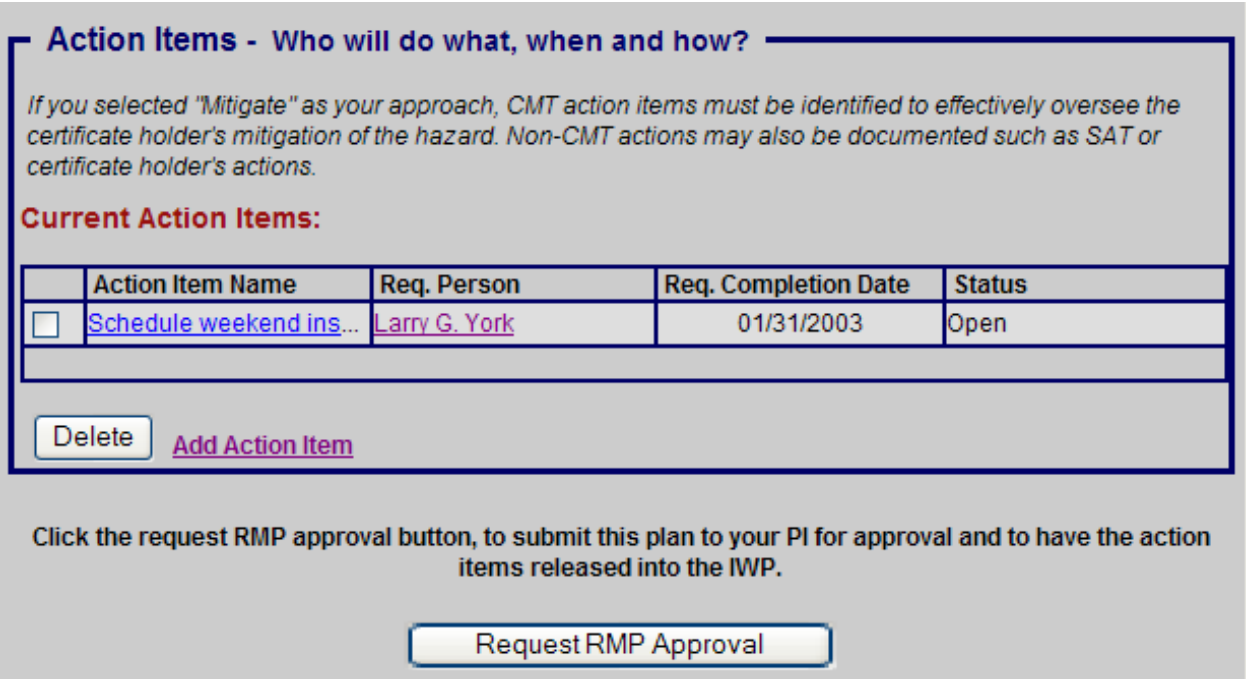


Figure 11-33: Request RMP Approval

To delete an Action Item prior to (a request for) RMP Approval, click to checkmark the box(es) just left of the Action Item(s) you wish to delete, then click the **Delete** button to complete the process. The page will refresh and the deleted item(s) will not be show

11.5.3 PI Approval of the Analysis and Implementation Plan

The PI will review the analysis information and implementation plan submitted by the designated person (DP), including any attached documents. When revisions are necessary, feedback will be given to the DP on specific changes needed. Prior to approving the plan, the PI will coordinate with the supervisors of CMT members identified in the plan but who do not report to the PI to ensure the supervisor concurs with his/her participation. When the plan is acceptable, and any needed supervisory concurrence has been received, the PI initiates the approval by clicking the **Approve RMP** button that follows the Action Items section of the Implementation page, as shown in Figure 11-34. If RMP approval is denied, the **Status** shown on the Hazard List reverts to "Open".

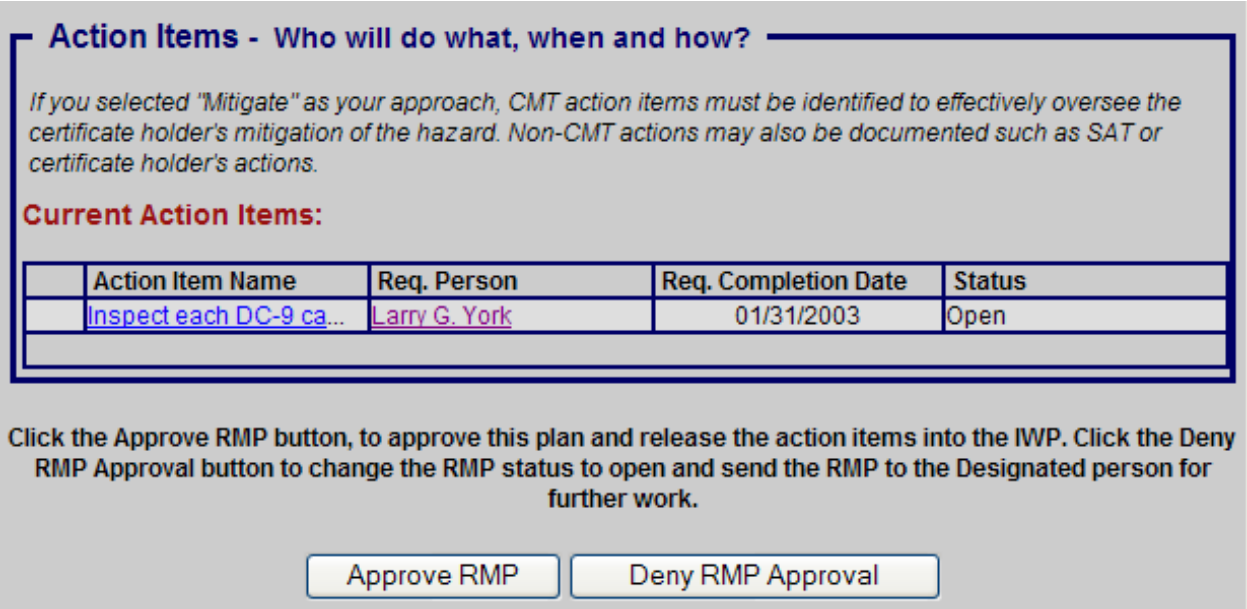


Figure 11-34: PI Initiation of RMP Approval

Once the RMP has been approved, and the supervisors of the persons requested to complete the action items have indicated their concurrence, via the IWP process, work may begin on those action items. Persons who are requested to complete an action item will see that item included in their unified view of all work requests, as illustrated in Figure 11-35.

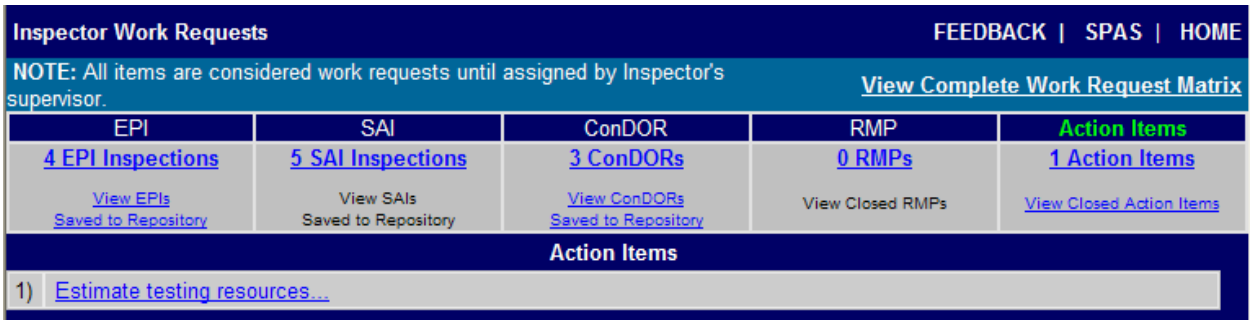


Figure 11-35: Inspector Work Requests – Action Item

Clicking on the link provided on the work request page opens the Action Item Log discussed in the following section.

11.5.4 Action Item Log

The Action Item Log (Figure 11-36) may be accessed directly from a link on the pop-up (Figure 11-35) on the homepage that alerts the Requested Person of a pending Action Item. Others may access the Action Item Log by clicking the Action Items tab and clicking on the Action Item of interest.

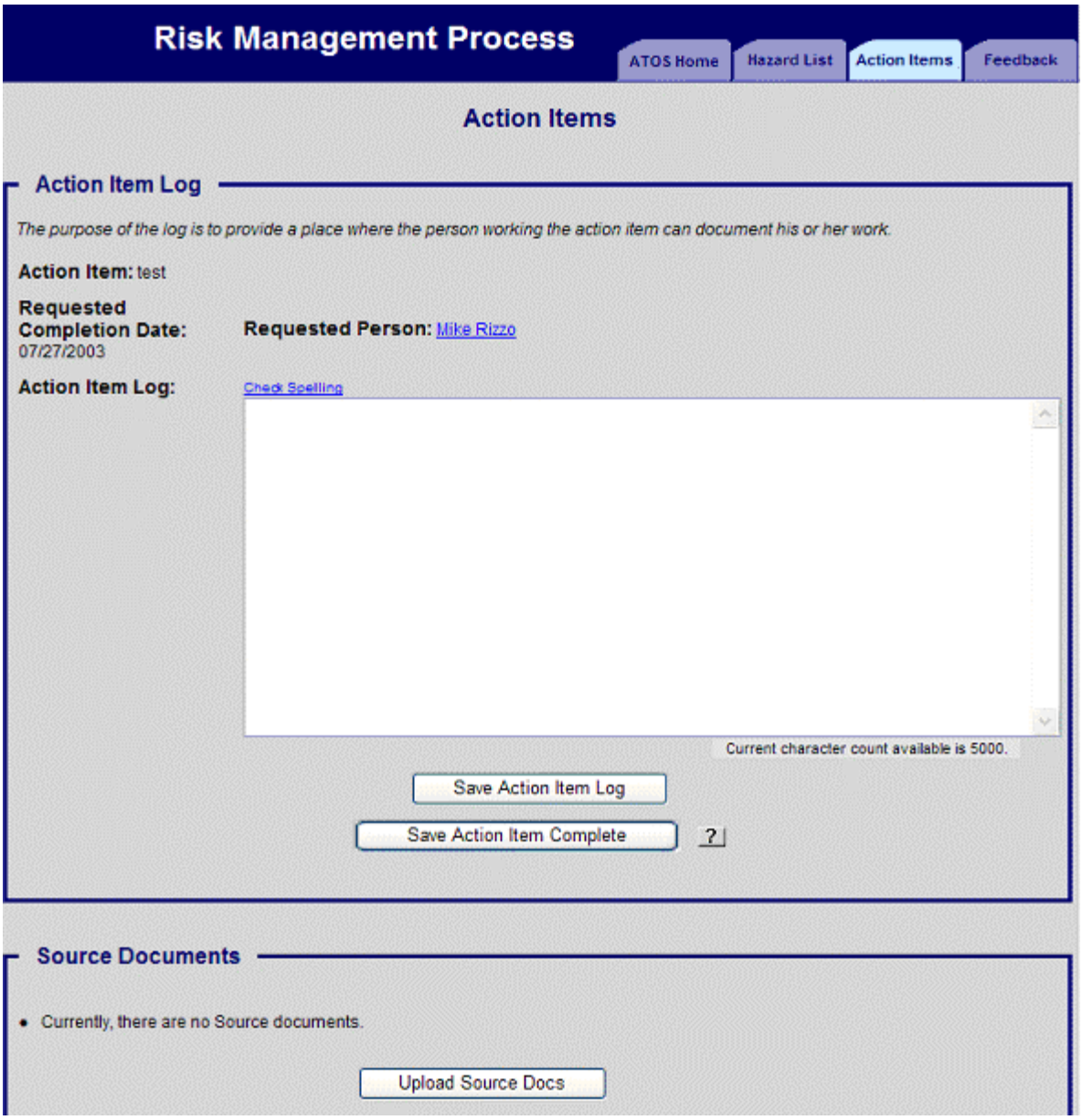


Figure 11-36: Action Item Log

The purpose of the log is to provide a place where the person working the action item can document his or her work. The roles of CMT members and the DP in the action item log are described in Figure 11-37.

Action item Role	What He/She Does
CMT member working the action item	Enters his/her activities related to the action item into the log. Entries include such information as: • Date of the entry • Description of the activity and/or what was accomplished as a result of the activity. (For example: "Held a meeting held to discuss the hazard's risk factors, and the certificate holder agreed to update the manual.") In addition to meetings, other examples of log entries might include descriptions of EPI activities and DORs or ConDORs completed.
PI/DP	• Enters activities related to non-CMT member action items (if identified) into the appropriate logs and indicate when the items are complete. • Updates, as needed, the initial analysis page information to make it current at that point in implementation. • Adds action items if more are needed to further reduce or eliminate the risk associated with the hazard. • Periodically reviews action item logs to determine if it is time to move on to validation. You can move on to validation when: ➢ All action items are completed, AND ➢ There are current data on hand to evaluate the effect of the actions taken on the hazard.

Figure 11-37: Action Item Roles

When you have completed your entry, click the **Save Action Item Log** button to allow additional entries to be made.

11.5.5 Actual Completion Date

The CMT member working the action item indicates in the automation system that the action item has been completed by clicking the **Save Action Item Complete** button at the bottom of the Action Item Log (Figure 11-36). When this is done, the Action Item is complete and the automated system will assign the current date as the completion date for the action item.

11.6 Validation

Validation answers the question "Did it work?" To complete the validation step, CMT members evaluate the current status of the hazard and verify that the certificate holder addressed the risk factors that contributed to or caused the hazard to occur. CMT members also verify that the level of risk posed by the hazard was reduced. Using this assessment of the current level of risk, CMT members decide whether to close the risk management process for this risk hazard, or whether more implementation actions are required.

11.6.1 Document Whether Risk Factors Were Addressed

Click on the **Validation** step on the navigation panel on the left side of the Risk Management Process page to reach the Validation page. The first section, Risk Analysis, lists previously identified Risk Factors, as shown in Figure 11-38.

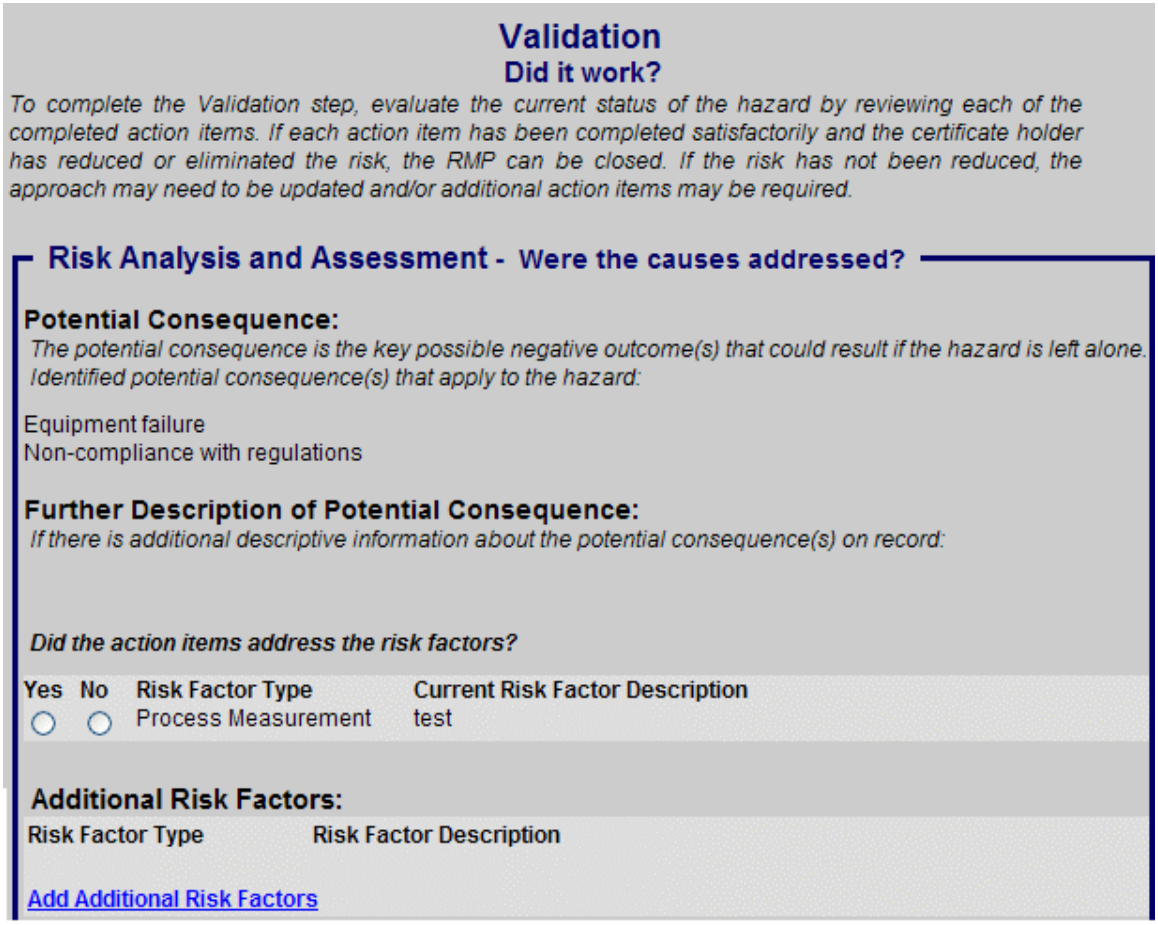


Figure 11-38: Validation – Risk Analysis

Review the risk factor types and their descriptions. Check whether the certificate holder (or the FAA) has addressed each risk factor and mark (click on) the circle beneath the **Yes** or **No**.

11.6.2 Update the Risk Analysis and Assessment

The next section of the Validation page is Risk Assessment, as shown in Figure 11-39.

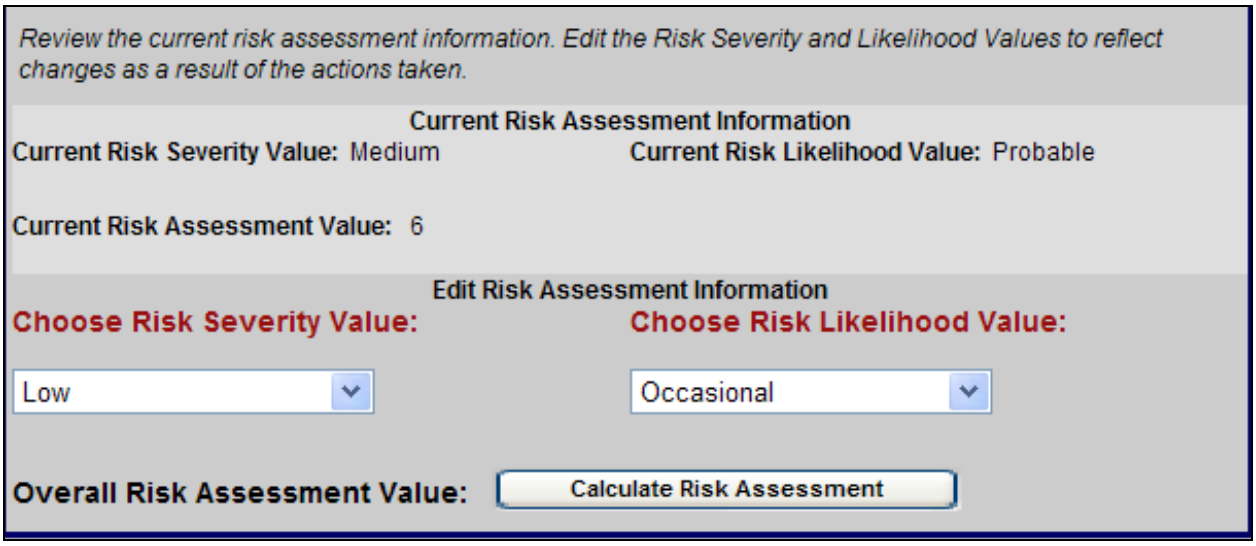


Figure 11-39: Validation – Risk Analysis and Assessment

Please note that the **Calculate Risk Assessment** button will not appear until you have selected Severity and Likelihood values from the drop-down lists for those fields.

- Using the data from the updated consequence categories, update the risk severity value.
- Using the data from the updated hazard description and updated risk factors, update the risk likelihood value.
- Click on the **Calculate Risk Assessment** button. The automated system will update the overall risk assessment based on the updated likelihood and severity values.

11.6.3 Edit the Approach and Approach Rationale

The final section of the Validation page, Update Approach, is shown as Figure 11-40.

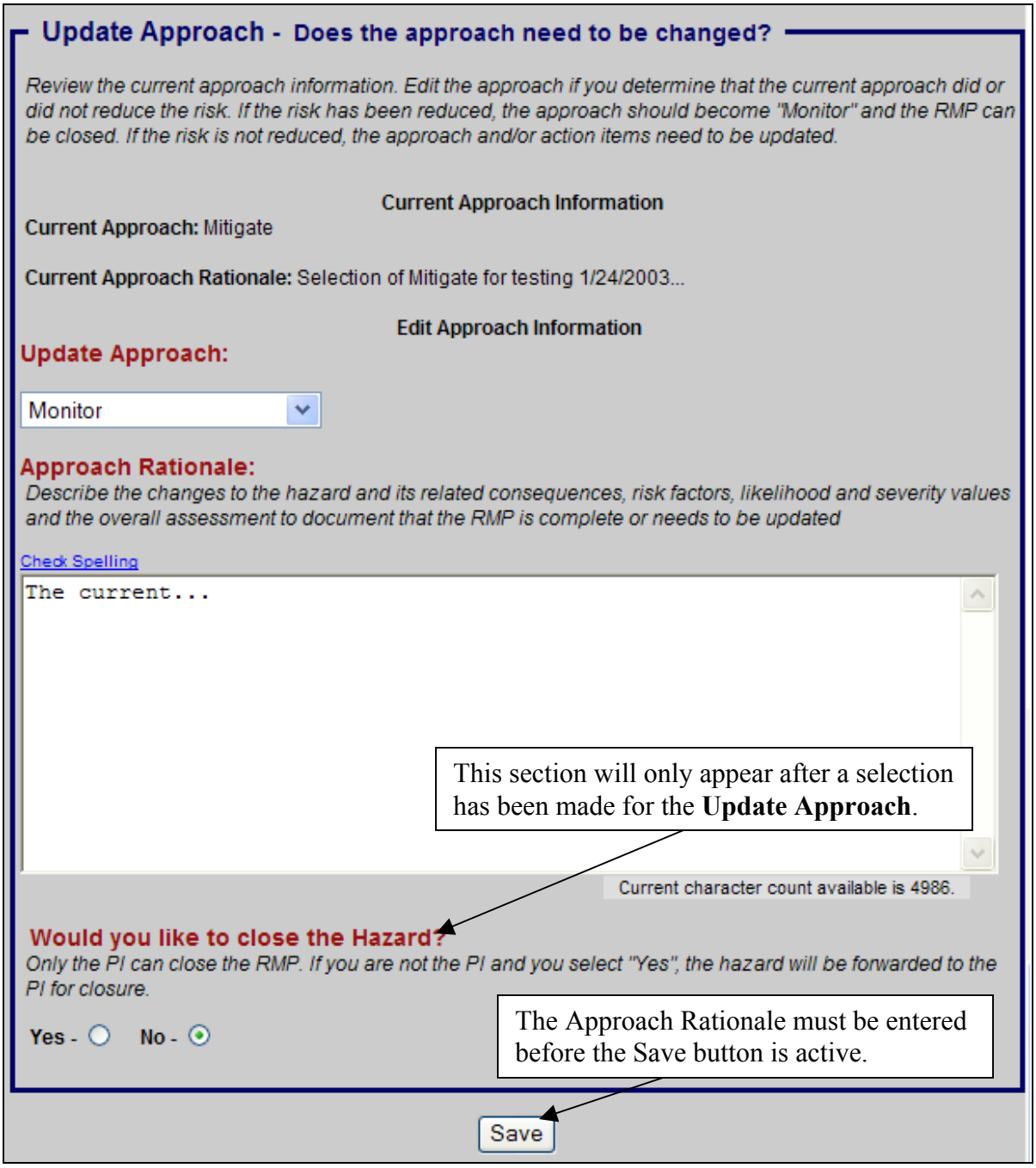


Figure 11-40: Validation – Update Approach

Update your approach to addressing the hazard and its related risk factors, remembering the guidelines presented in Figure 11-41.

If …	Then Select …
• The risk level is within normally expected limits and • No surveillance is required beyond that normally conducted under the Comprehensive Surveillance Plan	• Monitor Write a short narrative describing why you selected this approach (see below).
• Additional action is needed to reduce or eliminate the level of risk	• Mitigate Write a short narrative describing why you selected this approach (see below). Return to implementation to add action items.
• It is now appropriate to allocate authority, responsibility, and accountability for taking action to another AFS or FAA organization	• Transfer Write a short narrative describing why you selected this approach (see below). Return to implementation to add action items to document follow-up actions OR Close the hazard.

Figure 11-41: Update the Approach

In writing your short narrative, review the validation information and then summarize it as the basis for your selecting mitigate, monitor, or transfer as the approach. In your summary, consider describing the changes to the hazard and its related consequences, risk factors, likelihood and severity values, and overall assessment.

11.6.4 Decide Whether to Close the Hazard

Only the originating PI can close the risk management process for a hazard. If you are not the PI and you select the "Yes" option in the automated system, the hazard will be forwarded to the PI for closure. Consider the guidance presented as Figure 11-42 when deciding whether the hazard should be closed.

If the selected approach is …	Then …
Monitor	You can forward the Risk Management Process documentation to the PI for hazard closure. By definition, this approach says that normal ATOS surveillance is sufficient.
Mitigate	Do not ask the PI to close the Risk Management process for this hazard. The PI cannot close out the risk management process for a hazard that requires mitigation. Selecting the mitigation approach means that there are further risk factors to address and/or the level of risk needs to be further reduced.
Transfer	You may or may not decide to forward the risk management process documentation to the PI for hazard closure. • If you decide not to follow-up with the organization to which you transferred authority, responsibility, and accountability for taking action on the hazard, then closing out the risk management process is appropriate, assuming that normal ATOS surveillance is sufficient. • If you decide you want to follow-up with the FAA organization to which the transfer was made, you may want to keep the risk management process open, and go to implementation so that you have a method for documenting your follow-up actions.

Figure 11-42: Decide Whether or Not to Close the Hazard

11.6.5 Close the RMP

After answering "Yes" to the question of whether the Hazard should be closed, the originating PI who enters the "Implementation" area will be presented with a Validation Report, followed by guidance to close the RMP, as shown in Figure 11-43.

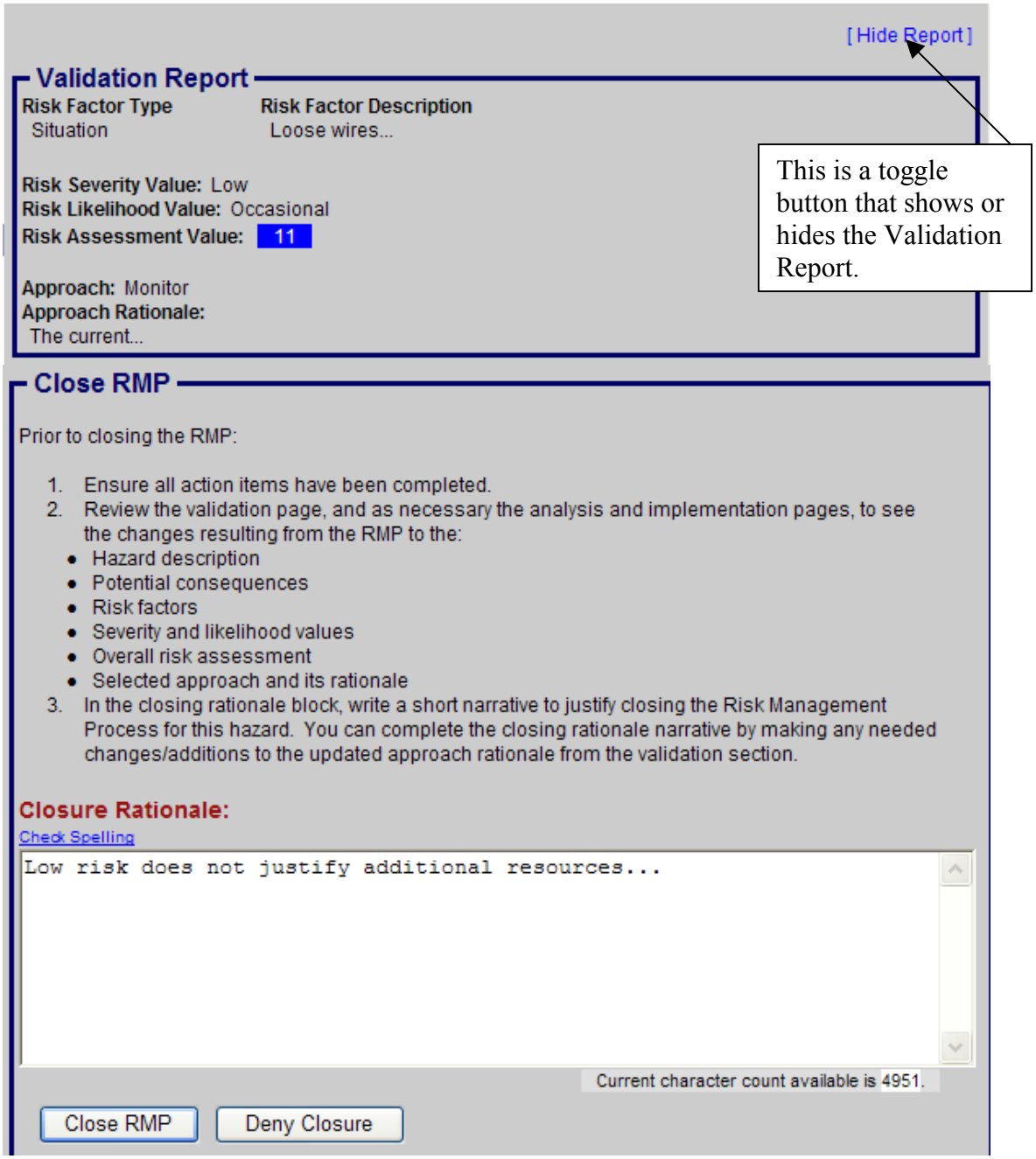


Figure 11-43: Close RMP

The automation will auto fill the closure rationale from the approach rationale (see page 11-41). The PI can make any needed edits to what has been provided by the auto fill. Once the **Close RMP** button is clicked, the Hazard List will be presented and this Hazard will show "Closed" in the **Status** column.

If you choose not to close the RMP, click on the **Deny Closure** button. This action will open a window for the collection of a "PI Deny Closure Description" to document why an RMP closure is being denied. This free text entry is not required for the PI to deny closure of the RMP. The text, if input, will be displayed to the designated person for that RMP and included in any detail report screens.

Denying closure returns the RMP to "open" status.

11.7 RMP Reporting

RMP Reports are available from the ATOS Home Page under the **RISK MANAGEMENT PROCESS** header. Access to these reports is based on a user's job classification code or previously defined role in a given RMP. Figure 11-44 illustrates a PI's Home Page with the RMP Reports link showing.

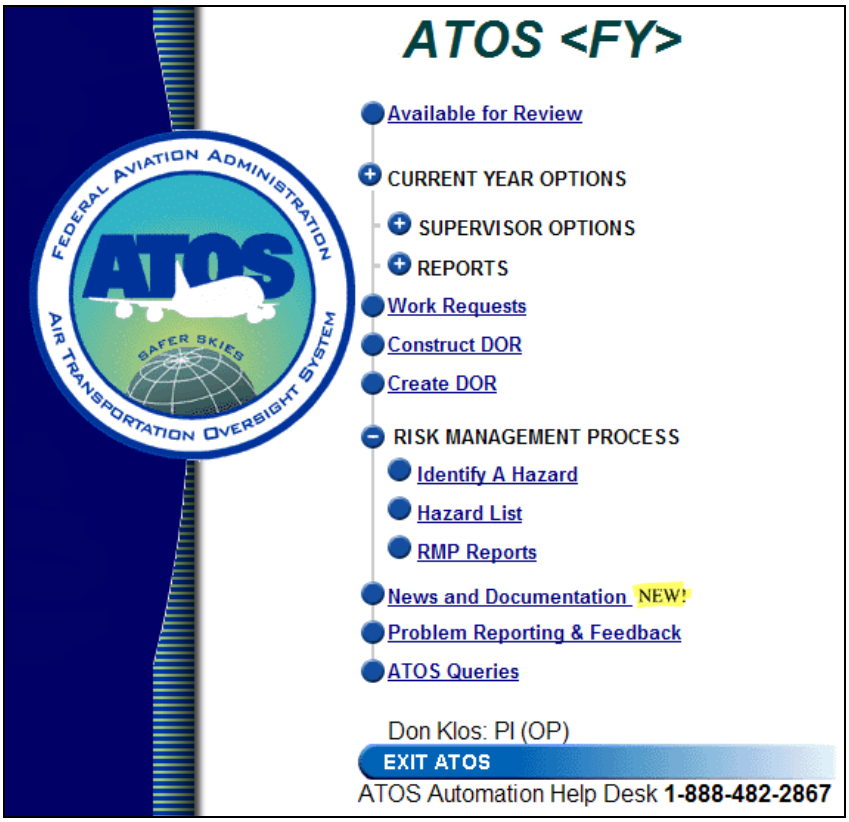


Figure 11-44: PI's Home Page Showing Link to RMP Reports

Clicking on the RMP Reports link opens the report menu shown in Figure 11-45.

Figure 11-45: RMP Report Menu

All reports are formatted for viewing as well as printing. Access rights to RMP Reports are as follows:

- PIs, Airworthiness and Operations, see all statuses of own carrier's RMPs
- Designated Persons see their requested RMPs
- All CMT members see approved RMPs for their carrier
- All non-carrier affiliated users see approved RMPs for all carriers.

11.7.1 ACAT / Retarget / CSP Report

The ACAT/Retarget/CSP Report looks at the RMPs by carrier and specialty and compares them to changes in the ACAT Results values and CSP Inspection values across plan versions. It compares risk assessment values with planned and/or accomplished surveillance, and the generation of RMPs. This report is available to CMT members, by CMT, and across CMTs for non-carrier affiliated users. The ACAT/Retarget/CSP Report is a "snapshot" of all Risk and Surveillance processes.

Clicking on the ACAT / Retarget / CSP Report opens a window, to tailor this report as desired. The Specialty defaults to that of the user, but may be changed. Once a System is specified, the applicable Sub-systems are listed for selection. Likewise, once a Sub-system is specified, the applicable Elements are listed for selection. Choosing a Risk Indicator Subject Area populates the Risk Indicator list to further define the search. A sample set of search criteria is shown as Figure 11-46.

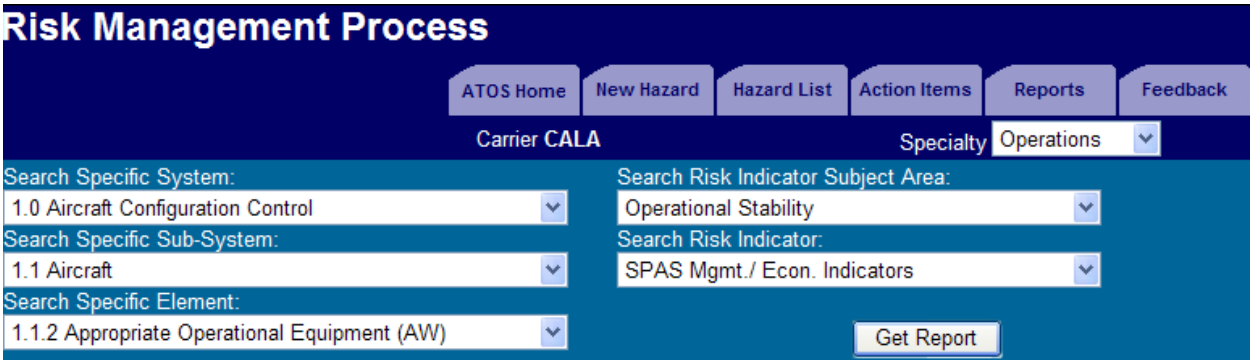
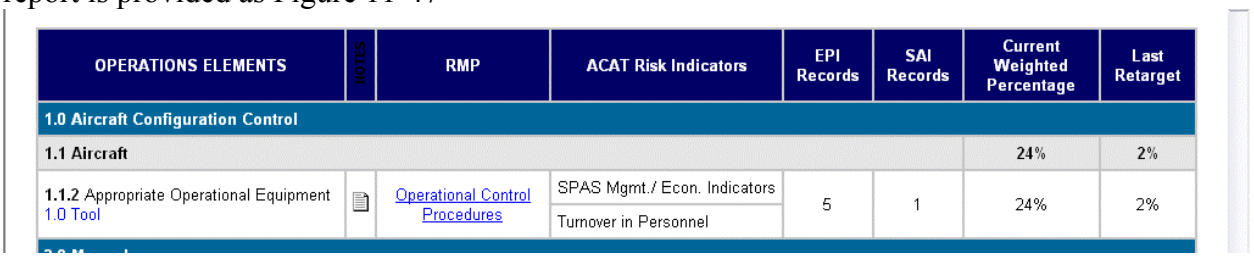


Figure 11-46: ACAT/Retarget/CSP Sample Report Criteria

When you are satisfied with your selections, click on the **Get Report** button. An excerpt from a report is provided as Figure 11-47



OPERATIONS ELEMENTS	NOTES	RMP	ACAT Risk Indicators	EPI Records	SAI Records	Current Weighted Percentage	Last Retarget
1.0 Aircraft Configuration Control							
1.1 Aircraft						24%	2%
1.1.2 Appropriate Operational Equipment 1.0 Tool		Operational Control Procedures	SPAS Mgmt./ Econ. Indicators Turnover in Personnel	5	1	24%	2%

Figure 11-47: ACAT / Retarget / CSP Report (Excerpt)

11.7.2 RMP Data and Information

The RMP Report is a collection of the listed items across all RMPs – similar to the DOR Report. Items displayed are

- Start Date
- RMP Name
- Assessment Value
- Severity
- Likelihood
- Carrier
- Risk Factor Categories
- Status
- CMT Members
- Approach

Clicking on the RMP Data and Information link of the RMP Reports menu (Figure 11-45) opens the "Risk Management Plan Report Selection" form (Figure 11-48) to specify your search criteria if you do not want to view all RMPs.

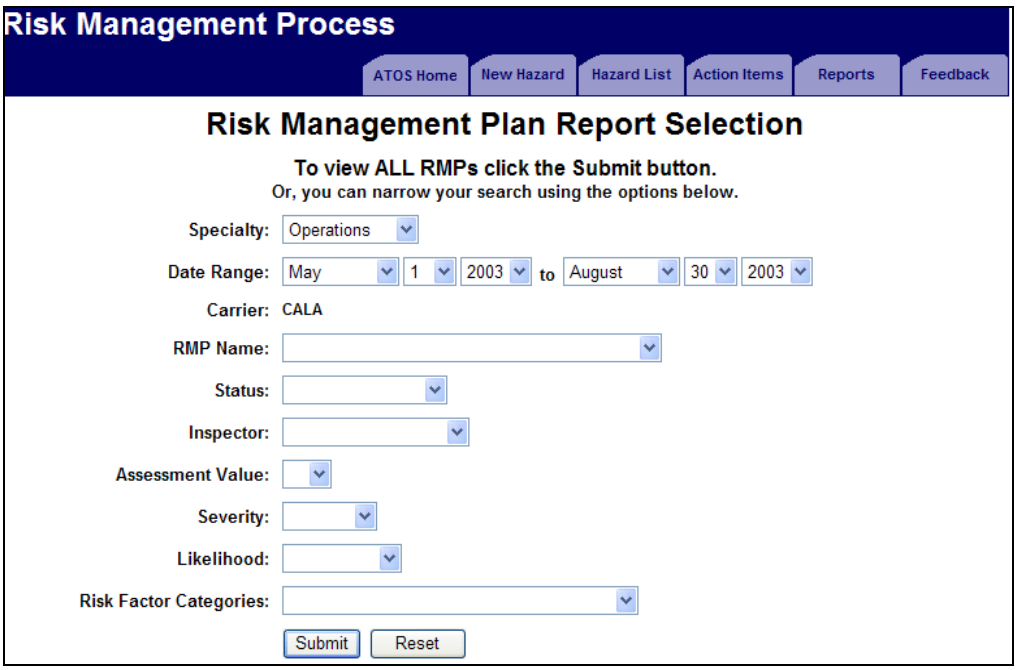


Figure 11-48: Risk Management Plan Report Selection

The criteria of Specialty defaults to the specialty of the user, but may be changed. You may specify all or none of the additional search criteria. (In the sample shown above, only the date range was added to the form.) Click the **Reset** button to clear the form of any selections you have added. Click the **Submit** button to get this report. Figure 11-49 is an illustration of the report generated.

Risk Management Process

ATOS Home | Hazard List | Action Items | Reports | Feedback

RMP Data and Information Report

Start Date	RMP Name	Assessment Value	Severity	Likelihood	Carrier	Risk Factor Categories	Status	CMT Members	Approach
5/20/2003	Aircraft Ground Damage	5	Low	Frequent	AALA	Responsibility	Open	**Designee:** Auvern Ernst **Action Items:** • Alan MacHardy • Auvern Ernst • Jerry Barron • Raymond Fischer • Russell Raupp	**Mitigate**
7/17/2003	Relocation of Meteorology Department	6	Medium	Probable	AALA	Control	Open	**Designee:** Thomas Rau **Action Items:** • Gregory Lander • Thomas Rau	**Mitigate**
8/8/2003	FLIGHT ATTENDANT DUTY/REST	11	Low	Occasional	AALA	Procedure	Open	**Designee:** Elaine Santangelo **Action Items:** • Elaine Santangelo	**Monitor**
8/15/2003	Personnel Injuries Resulting from Turbulence	4	High	Occasional	AALA	Procedure	Open	**Designee:** Thomas Rau **Action Items:** • Elaine Santangelo • Thomas Rau • Willard McMillen	**Mitigate**

Figure 11-49: RMP Report

Click on an **RMP Name** to display all of the latest version data for all data collection fields in the selected RMP. A sample of the resulting report is presented as Figure 11-50.

RMP Details Print View RMP History Close

Hazard Identification

RMP Name: Aircraft Ground Damage

Designee: Auvern Ernst

Last Modified: Aug 21, 2003

Status: Open

Hazard Description: American Airlines aircraft are being repeatedly damaged while on the ground by baggage carts, loaders, catering trucks, etc.

Hazard Location: All bases.

Hazard Description Related Items

- **M/M/S:** None listed
- **SRR:** None listed
- **ACAT Risk Indicators:** None listed
- **System/Subsystem/Element:**
  - Manuals, Personnel Training and Qualifications, Route Structures
  - Approved Routes/Areas for Domestic, Flag, Supplemental, and Commercial, Manual Management, Training Program
  - Availability (Manuals), Station Facilities, Training of Station Personnel
- **DORs:** None listed
- **Activities:** None reported
- **Source Documents:** None listed

Potential Consequence:

- **Damage to equipment**
- **Human error**
- **Injury/death to persons**
- **Non-conformance with procedures**
- **Process breakdown**

Further Description of Potential Consequence:

- None listed

Risk Analysis and Assessment

Risk Factors:

Factor Type:	Description:
Responsibility	No one person has responsibility over ramp operations at American Airlines.

Severity: Low

Likelihood: Frequent

Assessment Value: 5

Decision Making

Selected Approach: Mitigate

Approach Rationale:

Action Items

Name	Requested Person	Requested Completion Date	Status
Present analysis of information collected by Ramp SAT.	Auvern Ernst	5/20/2003	Open
Surveillance of Ramp activities at AALA.	Russell Raupp	8/21/2003	Open
Conduct surveillance on ramp at AALA stations.	Raymond Fischer	8/21/2003	Open
Conduct ramp surveillance at AALA stations.	Alan MacHardy	8/21/2003	Open
Construct DOR to capture ramp surveillance activities.	Jerry Barron	8/21/2003	Open

Validation

Additional Risk Factors:

Factor Type:	Description:
Pending	Pending

Updated Severity: Pending

Updated Likelihood: Pending

Updated Assessment Value: Pending

Updated Approach: Pending

Updated Approach Rationale: Pending

Deny Closure Description: Pending

Closure Rationale: Pending

Figure 11-50: RMP Details and History

11.7.3 Action Item Report

The Action Item report provides access to Action Items associated with RMPs. Open Action Items, those currently being worked, are only available to the person assigned to the Action Item, the RMP designee, and the RMP PI. Once an Action Item is completed it is available with the rest of the RMP information. Clicking the Action Item Report link on the RMP Reports menu (Figure 11-45) opens a window where you may specify criteria to narrow your search if you do not want to see all action items for all RMPs. The sample criteria shown in Figure 11-51 consists only of a specific time frame.

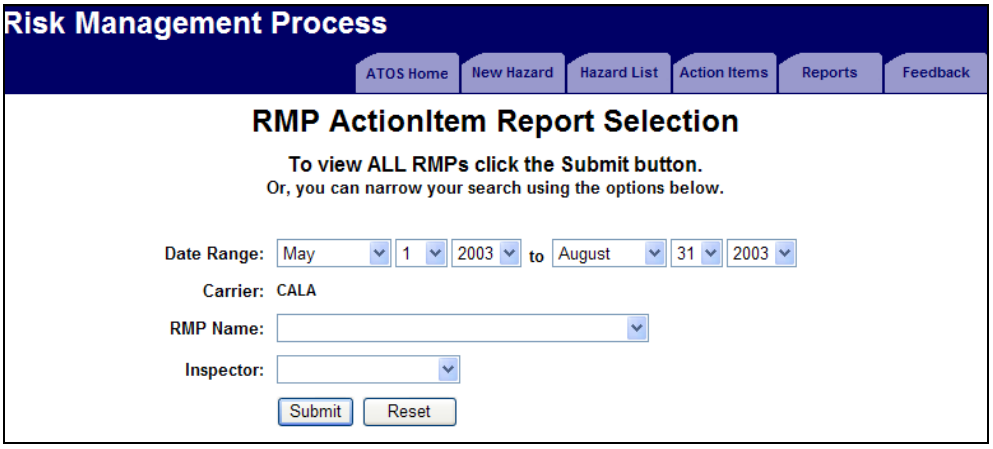


Figure 11-51: RMP Action Item Report Selection

A sample of the resulting report is presented as Figure 11-52.

Creation Date	Action Item	Status	RMP Name	Requested Completion Date	Requested Person	Associated Source Documents
8/21/2003	Construct DOR to capture ramp surveillance activities.	Open	Aircraft Ground Damage	8/31/2003	Barron, Jerry	

Figure 11-52: Action Item Report