

**Safety Attribute Inspection (SAI) Data Collection Tool
1.2.4 MIS Reports (AW)**

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To provide policy, procedures, instructions, and information to ensure personnel, who accomplish the Mechanical Interruption Summary (MIS) Reports process, perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight):

- To determine if the certificate holder's MIS Reports process meets all applicable requirements of Title 14 of the Code of the Federal Regulations (14 CFR) and FAA policies.
- To determine if the certificate holder's MIS Reports process incorporates the safety attributes.
- To identify any shortfalls in the certificate holder's MIS Reports process.

Specific Instructions:

- Intentionally left blank

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.705
 - 121.705(a)
 - 121.705(b)
 - 121.705(c)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
Intentionally Left Blank.

SAI Section 1 - Procedures Attribute

Objective: Procedures, instructions, and information are documented methods for accomplishing a process. The certificate holder's policies should establish their compliance posture. Policies may be stand-alone statements, or they may be imbedded within procedures, instructions, or information regarding a particular regulatory requirement. The questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated questions regarding who, what, when, where, and how. This section contains policy questions, procedural questions, and instructional or informational questions pertaining to various types of certificate holder requirements such as actions, prohibitions, or resources (i.e., personnel, facilities, equipment, technical data, etc.).

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the duties and responsibilities for management and other personnel identified by the certificate holder who accomplish the MIS Reports process.
3.	Review the certificate holder's MIS Reports process to ensure it contains the policies, procedures, instructions and information necessary for personnel to perform their duties and responsibilities with a high degree of safety.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's MIS Reports process meet the specific regulatory and FAA policy requirements:	
1.1.	Does the certificate holder provide instructions and information necessary to allow personnel concerned to regularly and promptly submit a summary report on the following occurrences to the Administrator: SRRs: 121.135(a)(1); 121.705	
1.1.1	Each interruption to a flight caused by known or suspected mechanical difficulties or malfunctions that are not required to be reported under Sec. 121.703? SRRs: 121.705	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.1.2	Each unscheduled change of aircraft en route, or unscheduled stop or diversion from a route, caused by known or suspected mechanical difficulties or malfunctions that are not required to be reported under Sec. 121.703? SRRs: 121.705(a)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.1.3	The number of engines removed prematurely because of malfunction, failure, or defect, listed by make and model and the aircraft type in which it was installed? SRRs: 121.705(b) <i>Related Design JTIs:</i> 1. Check that the certificate holder includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of regularly and promptly sending a summary report to the Administrator of the number of engines removed prematurely because	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>of malfunction will be reported by the engine make and model and also the aircraft type.</p> <p><i>Sources:</i> 121.135(a)(1); 121.705</p> <p><i>Interfaces:</i> 1.2.1(AW); 1.2.3(AW); 1.2.5(AW)</p>	
1.1.4	<p>The number of propeller featherings in flight, listed by type of propeller and engine and aircraft on which it was installed?</p> <p>SRRs: 121.705(c)</p> <p><i>Related Design JTIs:</i></p> <p>1. Check that the certificate holder includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of regularly and promptly sending a summary report of the number of propeller featherings in flight that is listed by type of propeller and also the by type of engine on which it was installed.</p> <p><i>Sources:</i> 121.135(a)(1); 121.705</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.2.	<p>Does the certificate holder provide a general policy that the number of propeller featherings for training, demonstration, or flight check purposes need not be reported?</p> <p>SRRs: 121.705(c)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.	<p>Does the certificate holder's manual have general policies for the MIS Reports process that comply with the SRRs?</p> <p>SRRs: 121.135(b)(1)</p> <p><i>Related Design JTIs:</i></p> <p>1. Check that the certificate holder provides a general policy regarding sending regularly and promptly a Mechanical Interruption Summary Report to the Administrator.</p> <p><i>Sources:</i> 121.135(b)(1); 121.705</p> <p><i>Interfaces:</i> 1.2.1(AW); 1.2.3(AW); 1.2.5(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	<p>Does the certificate holder's manual reference the appropriate Federal Aviation Regulations listed in the Supplemental Information section of this safety attribute inspection (SAI)?</p> <p>SRRs: 121.135(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	<p>Does the certificate holder's manual contain the duties and responsibilities for personnel who will accomplish the MIS Reports process?</p> <p>SRRs: 121.135(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	<p>Does the certificate holder's manual include instructions and information for personnel to meet the requirements of the MIS Reports process?</p> <p>SRRs: 121.135(a)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

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

SAI Section 2 - Controls Attribute

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

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

Tasks

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

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

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Are the following controls built into the MIS Reports process:	
1.1.	Is there a control or controls in place to ensure the certificate holder reports occurrences as MIS Reports, as required by 14 CFR 121.705?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Is there a control or controls in place to ensure that each MIS is distributed in accordance with the certificate holder's procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Is there a control or controls in place to ensure the certificate holder's MIS Reports include detailed information as specified by 14 CFR 121.705?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Is there a control or controls in place to ensure the certificate holder's MIS Reports are properly prepared by the certificate holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder have a documented method for assessing the impact of any changes made to the controls in the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

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

SAI Section 3 - Process Measurement Attribute

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

To prevent the duplication of work, process measurements are most commonly addressed through a combination of auditing features contained in both the certificate holder's safety program/internal evaluation program (for operations and cabin safety related issues) and the auditing function of the Continuous Analysis and Surveillance System (for airworthiness or maintenance/inspection related issues). The director of safety and the quality assurance department often work together to accomplish this function for the certificate holder. This approach requires amendment of the safety program/internal evaluation program audit forms or checklists and the Continuous Analysis and Surveillance System audit forms or checklists to include the specific process measurements for each element.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the process measurement questions below.
2.	Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the process measurements that it has documented.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's MIS Reports process include the following process measurements:	
1.1.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to report occurrences in MIS Reports as required by 14 CFR 121.705?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Is there a process measurement or process measurements that would reveal if the certificate holder failed to distribute MIS Reports in accordance with its procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to ensure that all MIS Reports included detailed information as specified by the FAR 121.705?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Is there a process measurement or process measurements that would reveal when the certificate holder failed to properly prepare MIS Reports?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Is there a process measurement or process measurements that would reveal if the certificate holder's policy, procedures, instructions, and information were not followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Does the certificate holder document its process measurement results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Does the certificate holder use it's process measurement results to improve it's programs?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Does the organization that conducts the process measurements have direct	<input type="checkbox"/> Yes

	access to the person with responsibility for the MIS Reports process?	<input type="checkbox"/> No, Explain
--	---	--------------------------------------

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

SAI Section 4 - Interfaces Attribute

Objective: Interfaces are used by the certificate holder to identify and manage the interactions between processes. The questions in this section of the DCT are designed to assist the inspector in determining whether or not interactions between the policies, procedures, or instructions and information associated with other independent processes within the certificate holder's organization are documented. Written policies, procedures, or instructions and information that are interrelated and located in different areas within the certificate holder's system must be consistent and complement each other. For the interfaces to be effectively managed, the certificate holder's system should identify and document the interfaces.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:	
1.	Review the interfaces associated with the MIS Reports process that have been identified along with the individual questions in section 1, Procedures, of this DCT.	
2.	Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the interfaces that it has documented.	

Questions

	To meet this objective, the inspector must answer the following questions: NOTE: The design job task items (JTIs) displayed with the questions in section 1, Procedures, of this DCT identify potential interfaces (by element number) for this element.	
1.	Does the certificate holder's system properly address the interfaces that are identified along with the questions in section 1, Procedures, of this DCT?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder document a method for assessing the impact of any changes to the associated interfaces within the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI Section 4 - Interfaces Attribute Drop-Down Menu	
1.	No interfaces specified.
2.	The following interfaces not identified within the Certificate Holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI Section 5 - Management Responsibility & Authority Attributes

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

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Identify the person who has overall responsibility for the MIS Reports process.
2.	Identify the person who has overall authority for the MIS Reports process.
3.	Review the duties and responsibilities of the person(s), documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder clearly identify who is responsible for the quality of the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Does the certificate holder clearly identify who has authority to establish and modify the policies, procedures, instructions, and information for the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the certificate holder's manual include the duties and responsibilities of those who manage the work required by the MIS Reports process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Does the certificate holder's manual include instructions and information for those who manage the work required by the MIS Reports process? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Does the certificate holder clearly and completely document the responsibility for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Does the certificate holder clearly and completely document the authority for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
7.	Does the certificate holder clearly and completely document their qualification standards for the person having responsibility for the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
8.	Does the certificate holder clearly and completely document their qualification standards for the person having authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
9.	Does the certificate holder clearly and completely document the procedures for delegation of authority for the MIS Reports process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI Section 5 - Management Responsibility & Authority Attributes Drop-Down Menu
1. Not documented.
2. Documentation unclear.
3. Documentation incomplete.
4. Other.