

FAA/HSAC PART 135 SYSTEM SAFETY RISK MANAGEMENT SAFETY ELEMENT 3.1.1 - PASSENGER HANDLING JOB AID

The Federal Aviation Administration (FAA) is proactively moving away from compliance-based safety surveillance programs to Systems Safety Risk Management programs to eliminate air carrier's accidents and incidents. System Safety Risk Management programs were implemented with all CFR Part 121 air carriers and are now being applied to CFR Part 135 air carriers.

The FAA reached the limit of its ability of utilizing compliance-based oversight programs in 1996 for CFR Part 121 air carriers. Compliance-based oversight program repeated the same surveillance activities without identifying the actual root causes that could lead to an unsafe operating practice and/or accident. It was based on only looking at meeting the minimum standards established by the rules and regulations. To react to any identified unsafe conditions, new rules and regulations had to be enacted, which could expand over many years. The compliance-based oversight system was not effective means in reducing the causal factors that lead to air carrier operating practices and/or accidents.

System Safety Risk Management program, known as Surveillance Evaluation Program (SEP), was implemented in 2001, for CFR Part 121 air carriers to assess how an air carrier operations and maintenance organizations were operating as an integrated whole safety system. For their system to be considered safe, they have to be proactive in identifying potentially unsafe hazards and risk and mitigate it to a safe state. Safety must be built into the air carriers systems by addressing the FAA's primary seven System Elements and their associated sub-elements. Each System Element identifies questions regarding the effectiveness of that system by addressing the following topics of: Responsibility, Authority, Procedures, Control, Process Measurement, and Interfaces.

In 2004 the FAA and the Helicopter Safety Advisory Conference (HSAC) established a workgroup to assess the reasons for the increase of helicopter accidents occurring in the Gulf of Mexico and develop intervention strategies. From this workgroup two of the primary root causes of GOMEX Helicopter accidents are "Operator's not following Proper Procedures as an Operational Organization" and with "Poor Judgment/Incorrect Decisions – Operations (pilots)". These root causes resulted in the development of intervention questions for each of the applicable System Safety Attributes under System Safety Element 3.1.1, PASSENGER HANDLING.

The primary Safety Attribute questions defined within the System Safety Element will determine if an Operator's Policies and Procedures are adequately defined in having a System Safety program; the ability to identify Risk in its daily operations; and being able to mitigate that risk to prevent the future occurrences and/or accidents.

**FAA/HSAC PART 135 SYSTEM SAFETY RISK MANAGEMENT
SAFETY ELEMENT 3.1.5 - PASSENGER HANDLING JOB AID**

ELEMENT SUMMARY INFORMATION

A “YES” response to the questions means compliance with the statement or indicates the requirements were met. A “NO” response always indicates a negative response to the question and also means the requirements were not met. The air carrier is not complying with the requirements of the Safety Attribute question or the system is weak or inadequate in the area being evaluated. An explanation should always occur with a “NO” response.

Specific Regulator Requirements (SRR):

135.21
135.23
135.63
135.65
135.81
135.85
135.87
135.100

Other CFRs and/or FAA/Industry Guidance:

FAA Order 8300.10, Volume 2 Chapter 74, Section 1, 2– Evaluate CFR Parts 121 and 135 (10 or more Turbine powered Aircraft) Operator’s Weight and Balance Control Program
FAA Order 8400.10, Volume 3, Chapter 15, Section 3 – Manuals, Procedures, and Checklists – Line Station Operations
HSAC SA 2004-01 Bill of Rights
HSAC RP 2004-03 Pilot Commitment

FAA/HSAC PART 135 SYSTEM SAFETY RISK MANAGEMENT**3.1.1. PASSENGER HANDLING****SECTION 1 – RESPONSIBILITY ATTRIBUTE**

Objective: To determine if there is a clearly identifiable qualified and knowledgeable person who is accountable for the quality of the Passenger Handling processes.

To meet the objective, the auditor will accomplish the following task:

1. Identify the person who is responsible for the quality of the Passenger Handling process.
2. Review the description in the manual that delineates the duties and responsibilities of the person.
3. Evaluate the person's qualifications and work experience (or resume if appropriate).
4. Review the appropriate organizational chart.
5. Discuss the Passenger Handling process with the person.

To meet the objective, the auditor will determine and record answers to the following questions:

1. Is there a clearly identifiable person who is responsible for quality of the Passenger Handling processes?	Yes No (explain)
2. Does the person understand the procedures associated with the Passenger Handling process?	Yes No (explain)
3. Does the person understand the controls associated with the Passenger Handling process?	Yes No (explain)
4. Does the person understand the interfaces associated with the Passenger Handling process? Are the qualification standards (skill and knowledge) for Passenger Handling clearly documented and appropriate for the duties that are assigned?	Yes No (explain)
5. Does the person understand the process measurements associated with the Passenger Handling process?	Yes No (explain)
6. Is the responsibility of this position clearly documented in the air carrier's manual?	Yes No (explain)
7. Are the qualification standards for this position clearly documented?	Yes No (explain)
8. Are the qualification standards for this position appropriate for the duties that are assigned?	Yes No (explain)
9. Does the person meet the qualification standards?	Yes No (explain)
10. Does the person acknowledge that he/she has responsibility for the Passenger Handling process?	Yes No (explain)
11. Does the person know who has the authority to establish and modify the Passenger Handling process?	Yes No (explain)

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SECTION 2 – AUTHORITY ATTRIBUTE	
Objective: To determine if there is a clearly identifiable qualified and knowledgeable person who has the authority to establish and modify the Passenger Handling processes.	
<i>To meet the objective, the auditor will accomplish the following task:</i>	
1. Identify the person who has the authority to establish or modify the Passenger Handling process.	
2. Review the description in the manual that delineates the duties and responsibilities of the person.	
3. Evaluate the person’s qualifications and work experience (or resume if appropriate).	
4. Review the appropriate organizational chart.	
5. Discuss the Passenger Handling process with the person.	
<i>To meet the objective, the auditor will determine and record answers to the following questions:</i>	
1. Is there a clearly identifiable person who has the authority to establish and modify the company policies for Passenger Handling process?	Yes No (explain)
2. Does the person understand the procedures associated with the Passenger Handling process?	Yes No (explain)
3. Does the person understand the controls associated with the Passenger Handling process?	Yes No (explain)
4. Does the person understand the interfaces associated with the Passenger Handling process?	Yes No (explain)
5. Does the person understand the process measurements associated with Passenger Handling process?	Yes No (explain)
6. Is the authority of this position clearly documented in the air carrier’s manual(s)?	Yes No (explain)
7. Are the qualifications standards for this position clearly documented?	Yes No (explain)
8. Are the qualification standards for this position appropriate for the duties that are assigned?	Yes No (explain)
9. Does the person meet the qualification standards?	Yes No (explain)
10. Does the person acknowledge that he/she has authority for the Passenger Handling process?	Yes No (explain)
11. Does the person know who has the responsibility for the Passenger Handling process?	Yes No (explain)
12. Are the procedures for delegation of authority clearly documented for the Passenger Handling process?	Yes No (explain)

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SECTION 3 – PROCEDURES ATTRIBUTE	
Objective: To determine if the air carrier has documented procedures for accomplishing Passenger Handling process.	
<i>To meet the objective, the auditor will accomplish the following task:</i>	
1. Review the Manual(s) related to the Passenger Handling process.	
2. Review the FAA guidance.	
3. Discuss the Passenger Handling process with appropriate personnel to gain an understanding of the procedures.	
4. Observe the Passenger Handling process with appropriate personnel to gain an understanding of the procedures.	
<i>To meet the objective, the inspector will determine and record answers to the following questions:</i>	
1. Does the Operations Manual describe the duties for the person who will accomplish the Passenger Handling process for both onshore heliports and offshore helidecks?	Yes No (explain)
2. Does the air carrier manual define procedures for passenger handling, storage of baggage, and securing of doors prior to operation and/or during Rotor in Motion? [HSAC 2004-01 Bill of Rights HSAC 2004-03 Pilot Commitment]	Yes No (explain)
3. Does the air carrier manual define procedures addressing weight and balance and aircraft CG issues for each passenger and baggage being loaded on the helicopter?	Yes No (explain)
4. Does the air carrier manual define procedures for dealing with adverse weather conditions while handling passengers?	
5. Does the air carrier have written procedures to conduct oral, video, CD, and Digital onboard briefings of passengers and supplement it with information cards? If necessary consideration for bilingual briefings and or emergency decals.	Yes No (explain)
6. Do written procedures exist requiring a crewmember to insure baggage is properly loaded and secured?	Yes No (explain)
7. Do written procedures exist requiring a crewmember to conduct a walk around inspection to insure all storage compartments and passenger doors are closed after loading?	Yes No (explain)
8. Does the air carrier have written procedures in place to deny boarding to passengers who appear intoxicated?	Yes No (explain)
9. Does the air carrier have main and tail rotor hazard posters located at passenger lounges/heliports?	
10. Do the procedures identify: who, what, when and how?	Yes No (explain)
11. Does the air carrier have security procedures in place addressing ID card checks, dangerous goods screening for personnel/baggage and customs screening as required?	
12. Are the procedures in compliance with the CFR(s)?	Yes No (explain)
13. Do the procedures meet the intent of written FAA guidance?	Yes No (explain)
14. Does the air carrier have the resources to support the written procedures for the Passenger handling process?	Yes No (explain)

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15. Do alternate procedures exist and do they provide an equivalent level of safety and achieve the same desired result for irregular conditions as the primary procedures? (e.g., a manual system used as a result of equipment failure.)	Yes No (explain)
16. Are the procedures published in different manuals relating to the Passenger Handling process consistent?	Yes No (explain)
17. Does the air carrier have a documented process in their Manual(s) to assess the impacts of changing procedures for the Passenger Handling process?	Yes No (explain)
18. Were all observations unrelated to the Passenger Handling process satisfactory?	Yes No (explain)
19. Best practices/favorable comments:	

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SECTION 4 – CONTROL ATTRIBUTE	
Objective: To determine if checks and restraints are designed into the Passenger Handling process to ensure a desired result is achieved.	
<i>To meet the objective, the auditor will accomplish the following task:</i>	
1. Review the Manual(s) related to the Passenger Handling process.	
<i>To meet the objective, the auditor will determine and record answers to the following questions:</i>	
1.0. Are the following checks and restraints built into the Passenger Handling process:	
1.1. Does the air carrier have a methodology for detecting intoxicated passengers?	Yes No (explain)
1.2. Does the air carrier have a standardized passenger briefings?	Yes No (explain)
1.3. Does the air carrier have a method to ensure the passenger information card is applicable only to the aircraft type and model?	Yes No (explain)
1.4. Does the air carrier have a method of ensuring that each passenger has access to a passenger information card?	Yes No (explain)
1.5. Does the pilot-in-command conduct a final check of passengers are properly secured by safety belts prior to takeoff and landing?	Yes No (explain)
1.6. Does the air carrier have a process for ensuring the loading and security of Passenger Handling during Rotors-In-Motion operations?	Yes No (explain)
1.5. Do the checks and restraints ensure the desired result is achieved for the Passenger Handling process?	Yes No (explain)
1.6. Does the air carrier have a method to ensure that all passengers are provided with the Following:	Yes No (explain)
1.6.1. Approved seat and safety belts?	Yes No (explain)
1.6.2. Unobstructed access to exits?	Yes No (explain)
2. Does the air carrier have a documented method for assessing the impacts of any changes made to checks and restraints in the Passenger Handling process?	Yes No (explain)
3. Does the air carrier have the resources to support the checks and restraints for the Passenger Handling process?	Yes No (explain)
4. Are procedures defined in the manual for how supervisory personnel are held accountable for unsafe acts with Passenger Handling?	Yes No (explain)
5. Were all observations unrelated to the Passenger Handling process satisfactory?	Yes No (explain)
6. Best Practices/favorable comments:	

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3.1.1. PASSENGER HANDLING

SECTION 5 – PROCESS MEASUREMENT ATTRIBUTE

Objective: To determine if operator measures and assesses the Passenger Handling process to identify and correct problems or potential problems.

To meet the objective, the auditor will accomplish the following task:

1. Review the documented instructions and information related to the Passenger Handling process.
2. Discuss the Passenger Handling process with appropriate personnel to gain an understanding of the controls.
3. Observe the Passenger Handling process to gain an understanding of the controls.

To meet the objective, the auditor will determine and record answers to the following questions:

1. Does the air carrier’s Operational Control processes include the following Process Measurements?

1.1. Does the air carrier document their Process Measurement methods and results?	Yes No (explain)
1.2. Does the air carrier audit process define the decision-making process for action plans to mitigate the identified Hazards and Risk?	Yes No (explain)
1.3. Does the air carrier take corrective actions to the Procedures or Control Attributes in response to identified Hazards/Risk discovered during the audits?	Yes No (explain)
1.4. Does the air carrier re-evaluate the corrective actions to determine the following; the original hazard, consequence, severity and likelihood have been mitigated effectively?	Yes No (explain)
1.5. Does the air carrier conduct an independent audit of the Passenger Handling program at least biannually to ensure that it meet its intended function?	Yes No (explain)
1.6. Does the air carrier conduct at least 20% of its audits in a random, unannounced fashion?	Yes No (explain)
2. Does the air carrier conduct audits to assess compliance with the required Passenger Handling procedures defined under Procedures Attributes?	Yes No (explain)
4. Does the air carrier conduct audits of weight and balance records (load manifest) to assure quality?	Yes No (explain)
5. Does the air carrier conduct audits to assess compliance with the checks and restraints identified under Control Attributes?	Yes No (explain)
6. Does the company retain the records that reflect their Risk Analysis of Hazards and how the risk was mitigated?	Yes No (explain)
7. Does the Process Measurement methods appear to be affective?	Yes No (explain)
8. Does the air carrier use their Process Measurement results to improve their programs?	Yes No (explain)
9. Are the Process Measurement results accessible to the FAA?	Yes No (explain)
10. Does the organization that conducts the process measurement have direct access to the person(s) with the responsibility and authority for the Passenger Handling processes?	Yes No (explain)
11. Does the air carrier have the resources to support the Process Measurement for the Passenger Handling processes?	Yes No (explain)
12. Were all observations unrelated to the Process Measurement satisfactory?	Yes No (explain)

13. Best practices/favorable comments:

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SECTION 6 – INTERFACES ATTRIBUTE	
Objective: To determine if operator identifies and manages the interactions between the Passenger Handling process and the other element processes within the operators organization.	
<i>To meet the objective, the auditor will accomplish the following task:</i>	
1. Review the documented instructions and information related to the Passenger Handling process.	
2. Discuss the Passenger Handling process with appropriate personnel to gain an understanding of the controls.	
3. Observe the Passenger Handling process to gain an understanding of the controls.	
<i>To meet the objective, the auditor will determine and record answers to the following questions:</i>	
<i>Are the following interfaces identified for the Passenger Handling process:</i>	
1. MEL/CDL/Deferred Maintenance (Element 1.3.5)	Yes No (explain)
2. Weight and Balance Program (Element 1.3.17)	Yes No (explain)
3. Carriage of Baggage/Cargo (Element 3.1.5)	Yes No (explain)
4. Flight/Load Manifest/Weight and Balance Control (Element 3.2.2)	Yes No (explain)
5. Training of Flight Crewmembers (Element 4.2.3)	Yes No (explain)
6. Pilot Operating Limitations/Recent Experience (Element 4.3.1)	Yes No (explain)
7. Station Facilities (Element 5.1.5)	Yes No (explain)
8. Safety Program (Element 7.2.1)	Yes No (explain)
9. List any additional interfaces identified:	Yes No (explain)
10. Are there written procedures for the use of air carrier personnel in the application of these interfaces?	Yes No (explain)
11. Are there controls to ensure that interfaces occur?	Yes No (explain)
12. Are the interfaces between the Passenger Handling process and other processes treated consistently in the Manual(s)?	Yes No (explain)
13. Were all observations unrelated to the Passenger Handling process satisfactory?	Yes No (explain)
14. Best practices/favorable comments:	