

Element Performance Inspection (EPI) Data Collection Tool
3.1.11 Computer Based Record Keeping System (OP)

ELEMENT SUMMARY INFORMATION

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

- To prepare and maintain the Certificate Holder's records in an electronic format using a Computer Based Record Keeping System that is approved by the Administrator and meets the requirements of 14 CFR Part 121.

Objective (FAA oversight responsibility):

- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Computer Based Record Keeping System.
- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Computer Based Record Keeping System.

Specific Instructions:

- Intentionally Left Blank

Related EPI(s):

- All of 4.3 Operational Control (OP)
- All of 6.1 Operational Control (OP)
- 3.1.4 Operational Control (OP)
- 3.2.1 Dispatch / Flight Release (OP)
- 3.2.2 Flight / Load Manifest / Weight and Balance Control (OP)
- 4.2.10 Aircrew Designated Examiner (ADE) Program (OP)
- 4.2.11 Training of Flight Followers (OP)
- 4.2.3 Training of Flight Crewmembers (OP)
- 4.2.4 Training of Flight Attendants (OP)
- 4.2.5 Training of Dispatchers (OP)
- 4.2.6 Training of Station Personnel (OP)
- 4.2.7 Training of Check Airmen and Instructors (OP)
- 4.2.8 Simulators / Training Devices (AW)
- 4.2.8 Simulators / Training Devices (OP)
- 4.2.9 Outsource Crewmember Training (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 119.5(g)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.137(a)(3)
 - 121.401(c)
 - 121.683(a)(1)
 - 121.683(a)(2)
 - 121.683(b)
 - 121.683(c)
 - 121.695(b)
 - 121.697(b)
 - 121.697(e)(1)
 - 121.697(e)(2)
 - 121.711

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - 8400.10, Volume 3, Chapter 1
 - 8400.10, Volume 3, Chapter 3
 - 8400.10, Volume 3, Chapter 8
 - 8400.10, Volume 3, Chapter 11
 - 8400.10, Volume 6, Chapter 11
 - HBAT 94-16A
 - AC 120-54
 - 49 USC 44936

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 Computer Based Record Keeping System.	
Tasks	
To meet this objective, the inspector must accomplish the following tasks:	
1. Review the information listed in the Supplemental Information section of this data collection tool.	
2. Review the policies, procedures, instructions and information for the Computer Based Record Keeping System contained in the Certificate Holder's manual.	
3. Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.	
4. Observe the Computer Based Record Keeping System to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.	
5. Discuss the Computer Based Record Keeping System with the personnel (other than management) who perform the duties and responsibilities required by the Computer Based Record Keeping System.	
Questions	
To meet this objective, the inspector must answer the following questions:	
1. Were the following Performance Measures met:	
1.1 Did the Certificate Holder's crewmember and dispatcher records accurately contain the required proficiency and route checks, airplane and route qualification, training, required physical examinations, and flight, duty, and rest time? <i>Related Performance JTI's:</i> 1. Check at the Records Repository that the Certificate Holder has current records of each crewmember that show whether the crewmember complies with the applicable sections of this chapter, including but not limited to required physical examinations in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 2. Check at the Records Repository that the Certificate Holder has current records of each crewmember that show whether the crewmember complies with the applicable sections of this chapter, including but not limited to flight duty, and rest time records in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 3. Check at the Records Repository that the Certificate Holder has current records of each aircraft dispatcher that show whether the aircraft dispatcher complies with the applicable sections of this chapter, including but not limited to proficiency checks, airplane qualifications, route qualifications and training in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 4. Check at the Records Repository that the Certificate Holder has current records of each aircraft dispatcher that show whether the aircraft dispatcher complies with the applicable sections of this	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

- chapter, including but not limited to duty, and rest time records in accordance with the Certificate Holder's design.
Sources: 121.683(a)(1); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)
5. Check at the Records Repository that the computer based record keeping system records provides accurate crewmember and dispatch records required by 14 CFR in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A
 6. Check at the Records Repository that the computer based record keeping system records provides reliable crewmember and dispatch records required by 14 CFR in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A
 7. For Certificate Holder's conducting supplemental operations, check at the Records Repository that the Certificate Holder has current records of each crewmember that show whether the crewmember complies with the applicable sections of this chapter, including but not limited to proficiency checks, route checks, airplane qualifications, route qualifications and training in accordance with the Certificate Holder's design.
Sources: 121.683(a)(1); 121.683(b); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)
 8. For Certificate Holder's conducting supplemental operations, check at the Records Repository that the Certificate Holder has current records of each crewmember that show whether the crewmember complies with the applicable sections of this chapter, including but not limited to any required physical examinations in accordance with the Certificate Holder's design.
Sources: 121.683(a)(1); 121.683(b); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)
 9. For Certificate Holder's conducting supplemental operations, check at the Records Repository that the Certificate Holder has current records of each crewmember that show whether the crewmember complies with the applicable sections of this chapter, including but not limited to flight, duty, and rest time records in accordance with the Certificate Holder's design.
Sources: 121.683(a)(1); 121.683(b); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)
 10. Check at the Records Repository that the Certificate Holder has annotated crewmember and aircraft dispatcher training records when additional training during training activities is required in accordance with the Certificate Holder's design.
Sources: SAFETY; HBAT 94-16A, Paragraph 4
 11. Check at the Records Repository that the Certificate Holder has annotated crewmember and aircraft dispatcher training records when additional training during checking activities is required in accordance with the Certificate Holder's design.
Sources: SAFETY HBAT 94-16A, Paragraph 4
 12. Check at the Training Center that the Certificate Holder has record keeping quality control measures adequate to determine that the

- training records indicate the quality of pilot performance in training programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
13. Check at the Training Center that a person conducting quality control is following the record keeping quality control measures that determine that the records indicate the quality of pilot performance in training programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 14. Check at the Training Center that the Certificate Holder has record keeping quality control measures adequate to determine that the records indicate the quality of pilot performance in checking programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 15. Check at the Training Center that a person conducting quality control is following the record keeping quality control measures that determine the quality of pilot performance in checking programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 16. Check at the Training Center that the Certificate Holder has record keeping quality control measures adequate to determine that the records indicate the quality of flight attendant performance in training programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 17. Check at the Training Center that a person conducting quality control is following the record keeping quality control measures that determine the quality of flight attendant performance in training programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 18. Check at the Training Center that the Certificate Holder has record keeping quality control measures adequate to determine that the records indicate the quality of flight attendant performance in checking programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 19. Check at the Training Center that a person conducting quality control is following the record keeping quality control measures that determine the quality of flight attendant performance in checking programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 20. Check at the Training Center that the Certificate Holder has record keeping quality control measures adequate to determine that the records indicate the quality of dispatcher pilot performance in training programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
 21. Check at the Training Center that a person conducting quality control is following the record keeping quality control measures that determine the quality of dispatcher performance in training programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5

22. Check at the Training Center that the Certificate Holder has record keeping quality control measures adequate to determine that the records indicate the quality of dispatcher pilot performance in checking programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
23. Check at the Training Center that a person conducting quality control is following the record keeping quality control measures that determine the quality of dispatcher performance in checking programs in accordance with the Certificate Holder's design.
Sources: HBAT 94–16A, Paragraph 5
24. Check at the Records Repository that the Certificate Holder has records of the training for each air transportation ground instructor in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 3, Section 1, Paragraph 667(c)
25. Check at the Records Repository that the Certificate Holder's training and qualification documentation for each air transportation ground instructor is made conveniently accessible for inspection by the FAA in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 3, Section 1, Paragraph 667(c)
26. Check at the Records Repository that the Certificate Holder has records of the qualification for each air transportation ground instructor in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 3, Section 1, Paragraph 667(c)
27. Check at the Records Repository that the Certificate Holder has records of the training for each air transportation supervisor in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 3, Section 1, Paragraph 667(c)
28. Check at the Records Repository that the Certificate Holder's training and qualification documentation for each air transportation supervisor made conveniently accessible for inspection by the FAA in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 3, Section 1, Paragraph 667(c)
29. Check at the Records Repository that the Certificate Holder has records of the qualification for each air transportation supervisor in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 3, Section 1, Paragraph 667(c)
30. Check at the Records Repository that the Certificate Holder has records that clearly show the flight times for each flight crewmember in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 8, Section 1, Paragraph 1487 A
31. Check at the Records Repository that the Certificate Holder has records that clearly show the rest periods for each flight crewmember in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 8, Section 1, Paragraph 1487 A
32. Check at the Records Repository that the Certificate Holder's records contain adequate historical data of crewmembers and dispatchers sufficient for the FAA to determine compliance with Title 14 of the Code of Federal Regulations (14 CFR).
Sources: 8400.10, V3, Chapter 11, Section 3, Paragraph 1807

	<p>33. Check at the Records Repository that the Certificate Holder has retained, for the duration of the individual's employment, permanent crewmember and dispatch records that document the successful completion of training or qualification events that are prerequisites for subsequent assignments in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1809 A</p> <p>34. Check at the Records Repository that the Certificate Holder has records of crewmember and dispatcher documentation of training or qualification events which qualify individuals for their present assignments (i e Currency Records) until it is superseded by a record of similar training or qualification in order to show an individual's continuity of qualifications in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1809 B</p> <p>35. Check at the Records Repository that the Certificate Holder has additional records of special operational authorizations for crewmembers and dispatchers in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1809 D</p> <p>36. Check at the Records Repository that the Certificate Holder has records of proficiency checks for Pilot In Command (PIC) for 5 years in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)</p> <p>37. Check at the Records Repository that the Certificate Holder has records of proficiency checks for Second In Command (SIC) for 5 years in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)</p> <p>38. Check at the Records Repository that the Certificate Holder has current records of each crewmember that show whether the crewmember complies with the applicable sections of this chapter, including but not limited to proficiency checks, route checks, airplane qualifications, route qualifications and training in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p>	
1.2	Did the Certificate Holder, conducting domestic and/or flag operations, retain the required flight records (load manifest, dispatch release, flight plan) for at least three months?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.3	Did the Certificate Holder conducting supplemental operations retain the required flight records (load manifest, flight release, airworthiness release, pilot route certification, and flight plan) for at least three months?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.4	Did the Certificate Holder, conducting domestic and/or flag operations, retain accurate records of enroute radio contact between the Certificate Holder and its pilots for at least 30 days?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.5	Did the Computer Based Record Keeping System provide computer virus protection?	<input type="checkbox"/> Yes

<p>1.6 Did the Certificate Holder back up its computerized records?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Record Repository that the Certificate Holder's record keeping system retains data entry forms or other pertinent nonelectronic records in a parallel record system in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A(2) 2. Check at the Record Repository that the Certificate Holder's record keeping system retains required records while the computer-based record keeping system is being installed, tested, and evaluated in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter Section 4, Paragraph 1831 A(2)11, 3. Check at the Record Repository that the Certificate Holder maintained all required records while the data entry personnel are being trained to recognize regulatory terminology and requirements in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A(2) 4. Check at the Air Carrier Specified Location that the Certificate Holder has demonstrated to the FAA (POI) for evaluation, the Operator will demonstrate to the FAA (POI) for evaluation, that the data backups of the proposed computer-based record keeping system are adequate in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1) 5. Check at the Records Repository that the operator has demonstrated to the FAA (POI) that they have an established backup capability to generate a complete set of duplicate records, either electronic or nonelectronic of the computer-based record keeping system in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(3) 6. Check at the Records Repository that the operator has backed up the data as frequently as appropriate to the operator's level of operations and system complexity in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(3) 	<input type="checkbox"/> No, Explain <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Were backed up computerized records stored at a separate facility?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Records Repository that the operator has stored the duplicate records in a location separate from the main information storage facility. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(3) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 Did an Instructor, Supervisor, or Check Airman appropriately certify the record of a person's proficiency or knowledge for a training segment or check for which he/she is responsible?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Records Repository that the Certificate Holder has established a procedure for computer-based record keeping systems, allowing designated personnel to 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

electronically certify all record entries for which they are responsible (i.e. flight instructors/check airmen, aircraft dispatcher supervisors, and flight attendant supervisors) in accordance with the Certificate Holder's design.

Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(2)(c)(ii)

2. Check at the Records Repository that the Certificate Holder with digital signature technology has provided verification of an agreement by which it will implement the use of digital electronic signatures in accordance with the Certificate Holder's design.
Sources: Chapter 11, Section 2, Paragraph 1831 B(2)(c)(i)
3. For the electronic designation of APD's, check at the Records Repository that the Certificate Holder has provided the POI, or the designated representative, the appropriate level of access to allow necessary data entries.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(2)(d)
4. For the electronic designation of check airmen, check at the Records Repository that the Certificate Holder has provided the POI, or the designated representative, the appropriate level of access to allow necessary data entries.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(2)(d)
5. Check at the Records Repository that the record shows that each instructor, supervisor or check airmen who is responsible for a particular ground training subject, segment of flight training, course of training, flight check and competence check certified as to the proficiency and knowledge of the crewmember concerned upon completion of that training or check in accordance with the Certificate Holder's design.
Sources: 121.401(c); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)
6. Check at the Records Repository that the record shows that each check airmen, instructor or supervisor who is responsible for a particular ground training subject, course of training and competence check certified as to the proficiency and knowledge of the aircraft dispatchers concerned upon completion of that training or check in accordance with the Certificate Holder's design.
Sources: 121.401(c); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)
7. Check at the Records Repository that the record shows that each check airmen, instructor or supervisor who is responsible for a particular ground training subject, segment of flight training, course of training, flight check and competence check certified as to the proficiency and

<p>knowledge of the flight instructor concerned upon completion of that training or check in accordance with the Certificate Holder's design. <i>Sources:</i> 121.401(c); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p> <p>8. Check at the Records Repository that the record shows that each check airmen, instructor or supervisor who is responsible for a particular ground training subject, segment of flight training, course of training, flight check and competence check certified as to the proficiency and knowledge of the check airmen concerned upon completion of that training or check in accordance with the Certificate Holder's design. <i>Sources:</i> 121.401(c); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p> <p>9. Check at the Records Repository that the record shows that certifying instructor, supervisor or check airman is identified with each entry within the computerized record keeping system in accordance with the Certificate Holder's design. <i>Sources:</i> 121.401(c); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p>	
<p>1.9 Did the Certificate Holder prevent unauthorized entries or changes to records?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check at the Air Carrier Specified Location that the letter of application for approval of computer-based record keeping system, contains a general description of the proposed computer-based record keeping system (including the facilities, hardware, and software to be utilized), the data backup system to be used, access and security procedures for both the operator and FAA personnel, basic procedures for data entry personnel, a general description of any special procedures and capabilities and digital or electronic signature type(s) and processes to be used. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A(1)(a)</p> <p>2. Check at the Records Repository that the Certificate Holder has specifically identified and authorized a representative to actively monitor user access in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(2)(b)</p> <p>3. Check at the Records Repository that the Certificate Holder has specifically identified and authorized a representative to periodically review access control requirements in accordance with the Certificate Holder's design.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

- Sources:* 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(2)(b)
4. Check at the Records Repository that the Certificate Holder has issued to each designated person with authorization to electronically certify entries in a computer-based record keeping system, a unique individual access code and password in order to validate the entry in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(2)(c)(ii)
 5. Check at the Records Repository that the Certificate Holder has identified system security procedures including the identification of personnel charged with various levels of data entry in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)
 6. Check at the Records Repository that the Certificate Holder has identified system security procedures including the identification of personnel charged with various levels of data verification and correction in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)
 7. Check at the Records Repository that the Certificate Holder has identified system security procedures including the identification of personnel charged with various levels of data audits in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)
 8. Check at the Records Repository that the Certificate Holder has identified system security procedures including the identification of personnel charged with various levels of quality control in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)
 9. Check at the Records Repository that the Certificate Holder has identified system security responsibilities including the identification of personnel charged with various levels of data entry in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)
 10. Check at the Records Repository that the Certificate Holder has identified system security responsibilities including the identification of personnel charged with various levels of data verification and correction in

<p>accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)</p> <p>11. Check at the Records Repository that the Certificate Holder has identified system security responsibilities including the identification of personnel charged with various levels of data audits in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)</p> <p>12. Check at the Records Repository that the Certificate Holder has identified system security responsibilities including the identification of personnel charged with various levels of quality control in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)</p> <p>13. Check at the Records Repository that the Certificate Holder has identified individuals with the authority to issue user access codes and passwords in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)</p> <p>14. Check at the Air Carrier Specified Location that the air carrier has, at the Certificate Holder's principal base of operations, a current listing that includes the location and persons responsible for each record required to be kept by the Certificate Holder under title 49 of the United States Code applicable to the operation of the Certificate Holder in accordance with the Certificate Holder's design. <i>Sources:</i> 119.59(b)(1)(ii); 121.135(b)(1); 121.135(b)(2)</p>	
<p>1.10 Did the Certificate Holder retrieve archived records in a timely manner? <i>Related Performance JTI's:</i></p> <p>1. Check at the Records Repository that the Certificate Holder has records of Initial Advanced Simulation Instructor/Check Airman Training during the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)</p> <p>2. Check at the Records Repository that the Certificate Holder has records of Recurrent Advanced Simulation Instructor/Check Airman Training for Pilots for 5 years in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)</p> <p>3. Check at the Records Repository that the Certificate Holder has records of Recurrent Advanced Simulation Instructor/Check Airman Training for Crewmembers other than Pilots for 14 months in</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

- accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
4. Check at the Records Repository that the Certificate Holder has records of Flight Time Limitations and Required Rest Record for Crewmembers for the current and previous calendar year in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 5. Check at the Records Repository that the Certificate Holder has records of Duty Time Limitations and Required Rest Record for Aircraft Dispatchers for the current and previous calendar year in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 6. Check at the Records Repository that the Certificate Holder has records of Hazardous Materials Training for Pilots for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
 7. Check at the Records Repository that the Certificate Holder has records of Hazardous Materials Training for Crewmembers other than Pilots for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 8. Check at the Records Repository that the Certificate Holder has records of Airman Certification Information required by their duty position for Pilots for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
 9. Check at the Records Repository that the Certificate Holder has records of Airman Certification Information required by their duty position for Crewmembers other than Pilots in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 10. Check at the Records Repository that the Certificate Holder has records of Airman Certification Information required by their duty position for Aircraft Dispatchers in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 11. Check at the Records Repository that the Certificate Holder has records of Pilots current Airman Medical Certification Information required by their duty position for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
 12. Check at the Records Repository that the Certificate Holder has records of Crewmembers other than Pilots current Airman Medical Certification Information required by their duty position in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 - 13.

- Check at the Records Repository that the Certificate Holder has records of Physical or Professional Disqualification for Crewmembers other than Pilots for 6 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
14. Check at the Records Repository that the Certificate Holder has records of Physical or Professional Disqualification for Aircraft Dispatchers for 6 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 15. Check at the Records Repository that the Certificate Holder has records of Initial Ground Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I)
 16. Check at the Records Repository that the Certificate Holder has records of Initial Ground Training for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 17. Check at the Records Repository that the Certificate Holder has records of Initial Ground Training for Flight Attendants for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 18. Check at the Records Repository that the Certificate Holder has records of Initial Ground Training for Aircraft Dispatchers for current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 19. Check at the Records Repository that the Certificate Holder has records of Initial Ground Training for Navigators for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 20. Check at the Records Repository that the Certificate Holder has records of Initial Flight Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
 21. Check at the Records Repository that the Certificate Holder has records of Initial Flight Training for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 22. Check at the Records Repository that the Certificate Holder has records of Initial Flight Training for Flight Attendants for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 23. Check at the Records Repository that the Certificate Holder has records of Initial Flight Training for Navigators for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 24. Check at the Records Repository that the Certificate Holder has

- records of Transition Ground Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
25. Check at the Records Repository that the Certificate Holder has records of Transition Ground Training for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 26. Check at the Records Repository that the Certificate Holder has records of Transition Ground Training for Flight Attendants for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 27. Check at the Records Repository that the Certificate Holder has records of Transition Ground Training for Aircraft Dispatchers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 28. Check at the Records Repository that the Certificate Holder has records of Transition Ground Training for Navigators for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 29. Check at the Records Repository that the Certificate Holder has records of Transition Flight Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
 30. Check at the Records Repository that the Certificate Holder has records of Transition Flight Training for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 31. Check at the Records Repository that the Certificate Holder has records of Transition Flight Training for Navigators for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 32. Check at the Records Repository that the Certificate Holder has records of Upgrade Ground Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
 33. Check at the Records Repository that the Certificate Holder has records of Upgrade Flight Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
 34. Check at the Records Repository that the Certificate Holder has records of Differences Ground Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
 35. Check at the Records Repository that the Certificate Holder has

- records of Differences Ground Training for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
36. Check at the Records Repository that the Certificate Holder has records of Differences Ground Training for Flight Attendants for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
37. Check at the Records Repository that the Certificate Holder has records of Differences Ground Training for Aircraft Dispatchers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
38. Check at the Records Repository that the Certificate Holder has records of Differences Ground Training for Navigators for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
39. Check at the Records Repository that the Certificate Holder has records of Differences Flight Training for Pilots for the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
40. Check at the Records Repository that the Certificate Holder has records of Differences Flight Training for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
41. Check at the Records Repository that the Certificate Holder has records of Differences Flight Training for Flight Attendants for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
42. Check at the Records Repository that the Certificate Holder has records of Differences Flight Training for Flight Attendants for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
43. Check at the Records Repository that the Certificate Holder has permanent records of One-Time Training Requirements – Basic indoctrination for Pilots for the duration of the individuals employment and for 5 years thereafter in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) 121.135(a)(1); 121.135(b)(1)
44. Check at the Records Repository that the Certificate Holder has permanent records of One-Time Training Requirements – Basic indoctrination for Crewmembers other than Pilots in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
45. Check at the Records Repository that the Certificate Holder has permanent records of One-Time Training Requirements – Basic indoctrination for Aircraft Dispatchers in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1

46. Check at the Records Repository that the Certificate Holder has permanent records of One–Time Training Requirements – Operating Experience (OE) for Flight Attendants in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
47. Check at the Records Repository that the record keeping system has the capability for entry of all required records in the categories of records for which the operator is seeking acceptance or approval.
Sources: 8400.10, V3, Chapter 11, Section 3, Paragraph 1811
48. Check at the Records Repository that the record keeping system has the capability for storage of all required records in the categories of records for which the operator is seeking acceptance or approval.
Sources: 8400.10, V3, Chapter 11, Section 3, Paragraph 1811
49. Check at the Records Repository that the record keeping system has the capability for retrieval of all required records in the categories of records for which the operator is seeking acceptance or approval.
Sources: 8400.10, V3, Chapter 11, Section 3, Paragraph 1811
50. Check at the Records Repository that the record keeping system has the capability for archiving of all required records in the categories of records for which the operator is seeking acceptance or approval.
Sources: 8400.10, V3, Chapter 11, Section 3, Paragraph 1811
51. Check at the Records Repository that the computer based record keeping system records provides timely crewmember and dispatch records required by 14 CFR in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A
52. Check at the Records Repository that any document/information in an electronic format remains accessible to all persons who are entitled to access by statute, regulation, or rule of law, for the period required by such statute, regulation, or rule of law, in a form that is capable of being accurately reproduced for later reference, whether by transmission, printing, or otherwise in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(2)(d)
53. Check at the Records Repository that the Certificate Holder has records of proficiency checks for Flight Engineer (FE) for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
54. Check at the Records Repository that the Certificate Holder has records of Recurrent Flight Training for Pilot In Command (PIC) for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
55. Check at the Records Repository that the Certificate Holder has records of Recurrent Flight Training for Second In Command (SIC) for 5 years in accordance with the Certificate Holder's design.

- Sources:* 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
56. Check at the Records Repository that the Certificate Holder has records of Recurrent Flight Training for Flight Engineer (FE) for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 57. Check at the Records Repository that the Certificate Holder has permanent records of Initial Competency Check/Test for Flight Attendants in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 58. Check at the Records Repository that the Certificate Holder has records of Recurrent Competency Check/Test for Flight Attendants for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 59. Check at the Records Repository that the Certificate Holder has permanent records of Initial Aircraft Dispatcher Competency Check/Test for Aircraft Dispatchers in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 60. Check at the Records Repository that the Certificate Holder has records of Recurrent Aircraft Dispatcher Competency Check/Test for Aircraft Dispatchers for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 61. Check at the Records Repository that the Certificate Holder has records of Recurrent Ground Training for Pilots for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
 62. Check at the Records Repository that the Certificate Holder has records of Recurrent Ground Training for Flight Engineers for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 63. Check at the Records Repository that the Certificate Holder has records of Recurrent Ground Training for Flight Attendants for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 64. Check at the Records Repository that the Certificate Holder has records of Recurrent Ground Training for Aircraft Dispatchers for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 65. Check at the Records Repository that the Certificate Holder has records of Recurrent Ground Training for Navigators for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
 66. Check at the Records Repository that the Certificate Holder has records of Recurrent Emergency Ground Training (hands on and alternate drills) for Pilots for 5 years in accordance with the Certificate Holder's design.

- Sources:* 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
67. Check at the Records Repository that the Certificate Holder has records of Recurrent Emergency Ground Training (hands on and alternate drills) for Flight Engineers for 50 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
68. Check at the Records Repository that the Certificate Holder has records of Recurrent Emergency Ground Training (hands on and alternate drills) for Flight Attendants for 50 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
69. Check at the Records Repository that the Certificate Holder has records of Recurrent Emergency Ground Training (hands on and alternate drills) for Navigators for 50 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
70. Check at the Records Repository that the Certificate Holder has records of Line Checks for Pilots for 5 years for line checks required every 12 months in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
71. Check at the Records Repository that the Certificate Holder has records of Special Qualifications (such as NOPAC, CEP, and MNPS) for Pilots for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
72. Check at the Records Repository that the Certificate Holder has records of Recency of Experience for Pilots for 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
73. Check at the Records Repository that the Certificate Holder has records of Recency of Experience for Flight Engineers for 6 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
74. Check at the Records Repository that the Certificate Holder has records of Aircraft Dispatcher Initial Operating Familiarization for Aircraft Dispatchers for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
75. Check at the Records Repository that the Certificate Holder has records of Aircraft Dispatcher Recurrent Operating Familiarization for Aircraft Dispatchers for 14 months in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
76. Check at the Records Repository that the Certificate Holder has records of Operating Experience (OE) for Pilots for current and previous aircraft in accordance with the Certificate Holder's design.

- Sources:* 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
77. Check at the Records Repository that the Certificate Holder has records of Operating Experience (OE) for Pilots for at least 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
78. Check at the Records Repository that the Certificate Holder has records of Operating Experience (OE) for Flight Engineers for current and previous aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
79. Check at the Records Repository that the Certificate Holder has permanent records of FAA Observation of Operating Experience (OE) for Pilot In Command (PIC) for the duration of the individuals employment and for 5 years thereafter in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
80. Check at the Records Repository that the Certificate Holder has permanent records of Flight Attendant Supervisor Designation for Flight Attendant Supervisors in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
81. Check at the Records Repository that the Certificate Holder has permanent records of Aircraft Dispatcher Supervisor or Designated Ground Instructor for Aircraft Dispatcher Supervisors or Designated Ground Instructors in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
82. Check at the Records Repository that the Certificate Holder has records of APD Designations for Pilots for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
83. Check at the Records Repository that the Certificate Holder has records of APD Designations for Flight Engineers for the current aircraft in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 3, Job Aid 3.11.3.1
84. Check at the Records Repository that the Certificate Holder has records of Check Airmen Initial Ground Training during the period of qualification for the current aircraft. or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
85. Check at the Records Repository that the Certificate Holder has records of Check Airmen Initial Flight Training during the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)
- 86.

<p>Check at the Records Repository that the Certificate Holder has records of Flight Instructor Initial Ground Training during the period of qualification for the current aircraft or for five years, whichever is greater in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(i)(I) (PRIA) 121.135(a)(1); 121.135(b)(1)</p>	
<p>1.11 Did the Certificate Holder retain the records for at least six months for each action taken concerning the release from employment, or physical or professional disqualification, of any dispatcher (domestic and flag only) or flight crewmember?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Records Repository that the Certificate Holder has records of Physical or Professional Disqualification for Pilots for 5 years in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(ii)(III) (PRIA) 121.135(a)(1); 121.135(b)(1) 2. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the release from employment of any flight crewmember in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 3. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the release from employment of any aircraft dispatcher in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 4. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the physical disqualification of any flight crewmember in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 5. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the physical disqualification of any aircraft dispatcher in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 6. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the professional disqualification of any flight crewmember in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(b)(1); 121.135(b)(2); 121.135(a)(1) 7. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the professional disqualification of any aircraft dispatcher in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2) 8. Check at the Records Repository that the Certificate Holder has records for 5 years of any Pilots release from employment in accordance with the Certificate Holder's design. 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<p><i>Sources:</i> 49 USC 44936 (f) (1)(B)(ii)(III)</p> <p>9. Check at the Records Repository that the Certificate Holder has records for 5 years of any resignation with respect to a Pilot's employment in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(ii)(III)</p> <p>10. Check at the Records Repository that the Certificate Holder has records for 5 years of any termination with respect to a Pilot's employment in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(ii)(III)</p> <p>11. Check at the Records Repository that the Certificate Holder has records for 5 years of any disqualification with respect to a Pilot's employment in accordance with the Certificate Holder's design. <i>Sources:</i> 49 USC 44936 (f) (1)(B)(ii)(III)</p> <p>12. For Certificate Holder's conducting supplemental operations, check at the Records Repository that the Certificate Holder has current records of each action taken concerning the release from employment of any flight crewmember in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.683(b); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p> <p>13. For Certificate Holder's conducting supplemental operations, check at the Records Repository that the Certificate Holder has current records of each action taken concerning the physical disqualification of any flight crewmember in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.683(b); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p> <p>14. For Certificate Holder's conducting supplemental operations, check at the Records Repository that the Certificate Holder has current records of each action taken concerning the professional disqualification of any flight crewmember in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(1); 121.683(b); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p>	
<p>1.12 Did the Certificate Holder follow its procedures for releasing requested information on crewmembers that are no longer employed by the Certificate Holder?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check at the Records Repository that the Certificate Holder has a record of each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember or aircraft dispatcher (domestic and flag operations only) for at least six months thereafter in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a)(2); 121.135(a)(1); 121.135(b)(1); 121.135(b)(2)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<p>1.13 Did the Certificate Holder have the record of FAA approval of its record keeping system available for review?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Air Carrier Specified Location that the Certificate Holder has a record of FAA approval of their computer-based record keeping system in accordance with the Certificate Holder's design. <i>Sources:</i> 121.683(a); 121.135(b)(1) 	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.14 Did the Certificate Holder with an Advanced Qualification Program follow its approved record keeping procedures?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Records Repository that the operators records for each individual who is being qualified or has qualified under an AQP contains: Full name (First, Middle Initial, Last) of the individual, Duty Position(s), Airman certificate type, number, and ratings (if applicable), date, class, and any limitations of the person's most recent medical certificate, aeronautical experience by hours, by aircraft, and by type of operation (i.e., FAR 121 foreign air carrier, military, etc.), Make, model, and series aircraft (or variant) qualified to operate (by duty position), Special Route/Area/Airport qualification as required, Special operation qualifications; e.g., CAT II, CAT III., the date of and reason for any action taken concerning an individual's release from employment, date, and reason in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-54, Paragraph 182a, AC 120-54, Paragraph 182b, AC 120-54, Paragraph 182c, AC 120-54, Paragraph 182d, AC 120-54, Paragraph 182e, AC 120-54, Paragraph 182f, AC 120-54, Paragraph 182g, AC 120-54, 182h, AC 120-54, Paragraph 182i 2. Check at the Records Repository that the operator's record for each individual AQP qualification activity has identified the make, model, and series aircraft (or variant), and duty position in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-54, Paragraph 184a 3. Check at the Records Repository that the operator has maintained records of indoctrination, qualification, continuing qualification, and accomplishments required by the approved AQP for the person's current assignment(s) in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-54, Paragraph 184b 4. Check at the Records Repository that the records of indoctrination, qualification, continuing qualification, and accomplishments required by the approved AQP for the person's current assignment(s) have been maintained in sufficient detail to show how the individual satisfied the requirements of each curriculum in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-54, Paragraph 184b 5. Check at the Records Repository that no AQP training record contains only a single line entry that the curriculum was completed as of a particular date. 	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p> <p><input type="checkbox"/> Not Applicable</p>

- Sources:* AC 120–54, Paragraph 184b
6. Check at the Records Repository that the records of indoctrination required by the approved AQP have included the completion date for each indoctrination curriculum modules or lessons in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184b(1)
 7. Check at the Records Repository that the records of qualification required by the approved AQP have included the completion dates for all qualification curriculum modules or lessons in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184b(2)
 8. Check at the Records Repository that the records of continuing qualification required by the approved AQP contain the completion dates for curriculum activities including currency events by date accomplished in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184b(3)(i)
 9. Check at the Records Repository that the records of continuing qualification required by the approved AQP contains the completion dates for curriculum activities including online evaluations by date with grade in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184b(3)(ii)
 10. Check at the Records Repository that the records of continuing qualification required by the approved AQP contains the completion dates for curriculum activities including proficiency evaluations by date with grade in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184b(3)(iii)
 11. Check at the Records Repository that the records of continuing qualification required by the approved AQP contains the completion dates for curriculum activities including ground and flight training by date with grade in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184b(3)(iv)
 12. Check at the Records Repository that the individual AQP qualification activity records show the result and completion date of other training and qualification that permitted an individual to advance to his current assignment in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 184c
 13. Check at the Records Repository that the AQP training records are retained for the minimum retention period to ensure that a person's training and qualification status can be determined, in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185a
 14. Check at the Records Repository that the detailed records have been kept, showing each person's participation in the AQP during the first three evaluation periods for a new AQP curriculum to provide a baseline for program changes in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185a
 15. Check at the Records Repository that the AQP individual qualification activity records have been kept for at least the previous

- continuing qualification cycle in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185a
16. Check at the Records Repository that all of an individual's AQP qualification activity records have been kept for at least 6 months after a person's release from a duty assignment in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185b
 17. Check at the Records Repository that the computerized record keeping system contains all the information required for a manual system in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185a
 18. Check at the Records Repository that each computerized record has been certified by an instructor, supervisor, or evaluator in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185a
 19. Check at the Records Repository that the Certificate Holder has designated a representative to be responsible for checking and validating the accuracy and completeness of the computerized record in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 185a
 20. Check at the Records Repository that the request for initial approval for AQP computer-based record keeping system has identified: (i) The type and location of computer equipment. (ii) The methods used for providing duplicate records during the period of initial approval. (iii) The methods and schedules for updating records. (iv) The means used for identifying individuals. (v) The type and amount of training provided to qualify personnel who operate and maintain the record keeping system. (vi) The means used to identify instructors, supervisors or evaluators who certify results of training, evaluation, and/or qualification. (vii) The validation checks proposed to verify the accuracy of information before it is entered into the computerized system. (viii) The identity of the person(s) responsible for conducting the validation checks. (ix) A procedure which ensures that persons responsible for making data entries are clearly identified and that entries are made only under the direct control of those persons.
Sources: AC 120–54, Paragraph 186b(1)
 21. Check at the Air Carrier Specified Location that the final approval of the AQP computerized record keeping system was requested at the end of Phase IV, and only after an operational demonstration showed that the computerized record keeping system was accurate in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 186b(2)
 22. Check at the Air Carrier Specified Location that the final approval of the AQP computerized record keeping system was requested at the end of Phase IV, and only after an operational demonstration showed that the computerized record keeping system was secure in accordance with the Certificate Holder's design.
Sources: AC 120–54, Paragraph 186b(2)

<p>23. Check at the Air Carrier Specified Location that the final approval of the AQP computerized record keeping system was requested at the end of Phase IV, and only after an operational demonstration showed that the computerized record keeping system was adequate to support the AQP in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120–54, Paragraph 186b(2)</p> <p>24. Check at the Records Repository that the Certificate Holder who has AQP approval has records of sufficient detail to establish the training of each person qualified under an AQP in accordance with the requirements of SFAR 58. <i>Sources:</i> 121.135(a)(1); 121.135(b)(1); SFAR 58.1</p> <p>25. Check at the Records Repository that the Certificate Holder who has AQP approval has records of sufficient detail to establish the qualification of each person qualified under an AQP in accordance with the requirements of SFAR 58. <i>Sources:</i> 121.135(a)(1); 121.135(b)(1); SFAR 58.1</p> <p>26. Check at the Records Repository that the Certificate Holder who has AQP approval has records of sufficient detail to establish the certification of each person qualified under an AQP in accordance with the requirements of SFAR 58. <i>Sources:</i> 121.135(a)(1); 121.135(b)(1); SFAR 58.1</p>	
<p>1.15 In the event of a merger or acquisition, did the Certificate Holder follow its approved procedures for the integration of records in the event of a merger or acquisition?</p> <p><i>Related Performance JTI's:</i></p> <p>1. During mergers or acquisitions, check at the Air Carrier Specified Location that major changes affecting system operation or capability of computer based record keeping were evaluated and approved by the FAA in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 1, Paragraph 1779 B</p> <p>2. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the transition procedures from the operator's existing system to the surviving system was approved by the FAA in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 1, Paragraph 1779 C</p> <p>3. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the time period for maintaining the two systems in parallel operation was determined by the FAA in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 1, Paragraph 1779 C</p> <p>4. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the surviving system has at least the same backup capability as the existing system in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 1, Paragraph 1779 C</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p> <p><input type="checkbox"/> Not Applicable</p>

<p>5. During mergers or acquisitions, if existing record keeping programs are combined into a single system, check at the Air Carrier Specified Location that the integration of the existing and surviving systems was accomplished by electronically combining the databases of the two systems or by other methods, and that the accuracy of the data is maintained in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 1, Paragraph 1779 C</p>	
<p>1.16 Did the Certificate Holder follow its approved procedures as authorized in operations specifications A025?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Air Carrier Specified Location that the computer-based record keeping system is authorized by Operations Specification (OpSpec) A025 in accordance with the Certificate Holder's design. <i>Sources:</i> 119.5(g); 119.7(a)(1) 2. Check at the Air Carrier Specified Location that the application for approval of computer-based record keeping systems was submitted by letter. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A(1) 3. Check at the Air Carrier Specified Location that the letter of application for approval of computer-based record keeping system, contains a general description of the proposed computer-based record keeping system (including the facilities, hardware, and software to be utilized), the data backup system to be used, access and security procedures for both the operator and FAA personnel, basic procedures for data entry personnel, a general description of any special procedures and capabilities and digital or electronic signature type(s) and processes to be used. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A(1)(a) 4. Check at the Air Carrier Specified Location that the letter of application for approval of computer-based record keeping system included one or more of the following categories of records to be maintained by that system: Airman training records (including pilot, flight engineer, flight navigator, flight attendant, flight instructor, check airman, and aircraft dispatcher training records) Aircraft qualification records (including aircraft type ratings, proficiency checks, competency checks, and line checks) · Flight time limitation and rest requirement records Medical qualification records (when applicable) Route, "special airport," and area qualification records Operating experience (OE) and/or operating familiarization records Pilot recency of experience records Check airman, aircrew program designee (APD), and school designated examiner (SDE) designations or authorizations Special training or 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

testing requirements Aircraft listings Load manifests, dispatch/flight releases Communication records
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 A(1)(b)

5. Check at the Air Carrier Specified Location that the Certificate Holder has provided to the FAA (POI) for evaluation, the operator's proposed computerized record keeping transition plan in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1)
6. Check at the Air Carrier Specified Location that the Certificate Holder has provided to the FAA (POI) for evaluation, the operator's proposed computerized record keeping user manual.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1)
7. Check at the Air Carrier Specified Location that the Certificate Holder has provided to the FAA (POI) for evaluation, the operation of the operator's existing record keeping system in parallel operation with the proposed computer-based system.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1)
8. Check at the Air Carrier Specified Location that the Certificate Holder has demonstrated to the FAA (POI) for evaluation, the system security of the proposed computer-based record keeping system is adequate in accordance with the Certificate Holder's design..
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1)
9. Check at the Air Carrier Specified Location that the Certificate Holder has demonstrated to the FAA (POI) for evaluation, the record retention periods of the proposed computer-based record keeping system are adequate in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1)
10. Check at the Air Carrier Specified Location that the Certificate Holder has coordinated with the FAA (POI) concerning which FAA personnel will have access to the operator's record keeping system.
Sources: 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(2)(a)
11. Check at the Records Repository that the operator has demonstrated to the FAA (POI) that the computer-based record keeping programs contain audit procedures that are adequate to assure the accuracy of the database in accordance with the Certificate Holder's design.
Sources: 8400.10, V3, Chapter 11, Section 4 ,

Paragraph 1831 B(5)

12. Check at the Records Repository that the operator records have provided verification that check airmen letters of authorization or designation have been maintained in accordance with the Certificate Holder's design.
Sources: 8400.10, V6, Chapter 11, Section 9, Paragraph 279 F
13. Check at the Air Carrier Specified Location that the Certificate Holder's records indicate compliance with the record keeping requirements of any exemption issued to them or their representative in accordance with the Certificate Holder's design.
Sources: 119.5(g)
14. Check at the Records Repository that the Certificate Holder has designated a representative to be responsible for checking and validating the accuracy and completeness of the computerized record in accordance with the Certificate Holder's design.
Sources: AC 120-54, Paragraph 185a
15. Check at the Records Repository that the Certificate Holder has pilot records, required by Appendix I and J of Part 121 relating to the Pilot Record Improvement Act for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
16. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals training, including comments made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
17. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals qualifications, including comments made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
18. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals proficiency, including comments made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
19. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals professional competence, including comments made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.

- Sources:* 49 USC 44936 (f) (1)(B)(ii)(I)
20. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals training, including evaluations made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
21. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals qualifications, including evaluations made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
22. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals proficiency, including evaluations made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
23. Check at the Records Repository that the Certificate Holder has records pertaining to the pilot's performance concerning the individuals professional competence, including evaluations made by a check airman, for a period of 5 years in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(I)
24. Check at the Records Repository that the Certificate Holder has records for 5 years of any disciplinary action taken with respect to a Pilot that was not subsequently overturned in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(II)
25. Check at the Records Repository that the Certificate Holder has records for 5 years of any Pilots release from employment in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(III)
26. Check at the Records Repository that the Certificate Holder has records for 5 years of any resignation with respect to a Pilot's employment in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(III)
27. Check at the Records Repository that the Certificate Holder has records for 5 years of any termination with respect to a Pilot's employment in accordance with the Certificate Holder's design.
Sources: 49 USC 44936 (f) (1)(B)(ii)(III)
28. Check at the FAA Location that the Certificate Holder has provided to the FAA (POI) the section of its general operations manual (GOM) that provides detailed

<p>instruction on the use of the computer based record keeping system authorized in OpSpec A025 in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 2 , Paragraph 1795</p>	
<p>1.17 Did the Certificate Holder's Computer Based Record Keeping System have adequate storage capacity for all required records? <i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Records Repository that the record keeping system has the capability for entry of all required records in the categories of records for which the operator is seeking acceptance or approval. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1811 2. Check at the Records Repository that the record keeping system has the capability for storage of all required records in the categories of records for which the operator is seeking acceptance or approval. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1811 3. Check at the Records Repository that the record keeping system has the capability for retrieval of all required records in the categories of records for which the operator is seeking acceptance or approval. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1811 4. Check at the Records Repository that the record keeping system has the capability for archiving of all required records in the categories of records for which the operator is seeking acceptance or approval. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 3, Paragraph 1811 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.18 Did the Certificate Holder develop an adequate computer record keeping procedures manual for employee guidance? <i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> 1. Check at the Records Repository that the operator has developed a working procedures manual for day-to-day guidance and training for the operator's employees that must include guidance in the automated record keeping system structure in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4) 2. Check at the Records Repository that the operator's working procedures manual for day-to-day guidance and training for the operator's employees has included guidance in the automated record keeping instructions for using computer commands for such operations as data entry in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4) 3. Check at the Records Repository that the operator's working procedures manual for day-to-day guidance and training for the operator's employees has included guidance in the automated record keeping instructions for using computer commands for such operations as data processing in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<p>1831 B(4)</p> <p>4. Check at the Records Repository that the operator's working procedures manual for day-to-day guidance and training for the operator's employees has included guidance in the automated record keeping instructions for using computer commands for such operations as data retrieval in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)</p> <p>5. Check at the Records Repository that the operator's working procedures manual for day-to-day guidance and training for the operator's employees has included guidance in the automated record keeping instructions for using computer commands for such operations as report generation. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4 , Paragraph 1831 B(4)</p>	
<p>1.19 Did the Certificate Holder provide to the FAA for evaluation its computer record keeping system capabilities and level of security?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check at the Air Carrier Specified Location that the Certificate Holder has provided to the FAA (POI) for evaluation, the computer-based record keeping system capabilities and level of security in accordance with the Certificate Holder's design. <i>Sources:</i> 8400.10, V3, Chapter 11, Section 4, Paragraph 1831 B(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>2. Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Computer Based Record Keeping System followed?</p> <p><i>Related Performance JTI's:</i></p> <p>1. Check at the Air Carrier Specified Location that the Certificate Holder's computer-based record keeping system is fully described in the operator's General Operations Manual (GOM) and referenced appropriately in A025. <i>Sources:</i> 8400.10, V3, Chapter 1, Section 3, Paragraph 63, A025, Paragraph B 8400.10, V3, Chapter 11, Section 2 , Paragraph 1795</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>3. Were the Computer Based Record Keeping System controls followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>4. Did the records for the Computer Based Record Keeping System comply with the instructions provided in the Certificate Holder's manual?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>5. Were the process measurements for the Computer Based Record Keeping System effective in identifying problems or potential problems and providing corrective action for them?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>6. Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu
1. Personnel.
2. Tools and Equipment.
3. Technical Data.
4. Procedures, policies or instructions or information.
5. Materials.
6. Facilities.
7. Controls.
8. Process Measures.
9. Interfaces.
10. Desired Outcome.
11. Other.

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Computer Based Record Keeping System is qualified, knowledgeable, and recognizes that responsibility and/or authority. (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 Computer Based Record Keeping System.
2. Identify the person who has overall authority for the Computer Based Record Keeping System.

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. Answer questions 2.1 & 2.2, and provide the name/title.

3. Review the duties and responsibilities for the person(s) who manage the Computer Based Record Keeping System documented in the Certificate Holder's manual.
4. Review the appropriate organizational chart.
5. Discuss the Computer Based Record Keeping System 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.

Questions

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

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Computer Based Record Keeping System:

2.1 Is there a clearly identified person who is responsible for the quality of the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input style="width: 100%;" type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Computer Based Record Keeping System meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

2.6 Does the person with authority to establish and modify the Computer Based Record Keeping System meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the Computer Based Record Keeping System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES –Drop Down Menu
1. Assignment of responsibility.
2. Assignment of authority.
3. Does not understand procedures, policies or instructions and information.
4. Does not understand controls.
5. Does not understand process measurements.
6. Does not understand interfaces.
7. Span of control.
8. Position vacant.
9. Other.