

Element Performance Inspection (EPI) Data Collection Tool
3.1.13 Other Personnel with Operational Control (OP)

ELEMENT SUMMARY INFORMATION

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

- To ensure that only authorized personnel that are delegated by the Director of Operations exercise operational control of Supplemental Operations.

Objective (FAA oversight responsibility):

- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Other Personnel with Operational Control process.
- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Other Personnel with Operational Control process.

Specific Instructions:

- Intentionally Left Blank

Related EPI(s):

- 2.1.5 Supplemental Operations Manual Requirements (AW)
- 2.1.5 Supplemental Operations Manual Requirements (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)
- 3.2.3 MEL / CDL Procedures (OP)
- 4.2.11 Training of Flight Followers (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.135(b)(4)
 - 121.537(a)
 - 121.537(a)(1)

121.537(a)(2)
121.537(b)
121.537(c)
121.537(d)
121.537(e)
121.537(f)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
FAA Order 8400.10, Volume 3, Chapter 6

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 Other Personnel with Operational Control.	
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 Other Personnel with Operational Control process 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 Other Personnel with Operational Control process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.	
5. Discuss the Other Personnel with Operational Control process with the personnel (other than management) who perform the duties and responsibilities required by the process.	
Questions	
To meet this objective, the inspector must answer the following questions:	
1. Were the following Performance Measures met:	
1.1 Was the individual exercising operational control during supplemental operations authorized by the Certificate Holder in its manual? <i>Related performance JTIs:</i> <ul style="list-style-type: none"> • Check at the Certificate Holder's specified location that there is a list of all personnel authorized to exercise Operational Control in accordance with the Certificate Holder's design. <i>Sources: 121.537(a)(2)</i> • Check at the Certificate Holder's specified location that no other personnel, other than those authorized, are influencing Operational Control in accordance with the Certificate Holder's design. <i>Sources: 121.537(a)(2)</i> • Check at the Certificate Holder's corporate headquarters that it has identified one person that has overall responsibility for Operational Control in accordance with Certificate Holder's design. <i>Sources: 8400.10, Volume 3, Chapter 6, Section 1, Paragraph 1145B(4)</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2. Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Other Personnel with Operational Control process followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3. Were the Other Personnel with Operational Control process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4. Did the records for the Other Personnel with Operational Control process comply with the instructions provided in the Certificate Holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5. Were the process measurements for the Other Personnel with Operational Control process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

6. Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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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 Other Personnel with Operational Control 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 Other Personnel with Operational Control process.	
2. Identify the person who has overall authority for the Other Personnel with Operational Control process.	
NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.	
3. Review the duties and responsibilities for the person(s), who manage the Other Personnel with Operational Control process documented in the Certificate Holder's Manual.	
4. Review the appropriate organizational chart.	
5. Discuss the Other Personnel with Operational Control process with the management personnel identified in Tasks 1 and 2.	
6. Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.	
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 Other Personnel with Operational Control process:	
2.1 Is there a clearly identified person who is responsible for the quality of the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input 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 Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the Other Personnel with Operational Control process?	<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 Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Other Personnel with Operational Control process 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 Other Personnel with Operational Control process 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 Other Personnel with Operational Control process?	<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 Other Personnel with Operational Control process?	<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 Other Personnel with Operational Control process?	<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 Other Personnel with Operational Control process?	<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.