

Element Performance Inspection (EPI) Data Collection Tool 4.1.1 RII Personnel (AW)

ELEMENT SUMMARY INFORMATION

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

- To provide policy, procedures, instructions and/or information in the manual which allows personnel concerned with the RII Personnel process to perform their duties and responsibilities to a high degree of safety.

Objective (FAA oversight responsibility):

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

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.371(a)
 - 121.371(b)
 - 121.371(c)
 - 121.371(d)
 - 121.378(a)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
- FAA Policy/Guidance:
 - FAA Order 8300.10, Volume 2, Chapter 70

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 RII Personnel.	
Tasks	
To meet this objective, the inspector must accomplish the following tasks:	
1	Review information listed in the Supplemental Information section of this data collection tool.
2	Review the procedures, policies, instructions and information for the RII Personnel 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 RII Personnel process to gain an understanding of the procedures, instructions and/or information contained in the Certificate Holder's manual.
5	Discuss the RII Personnel process with personnel (other than management) who perform the duties and responsibilities required by the RII Personnel process.
Questions	
To meet this objective, the inspector must answer the following questions:	
1. Were the following Performance Measures met:	
1.1	<p>Were RII inspections performed only by properly certificated persons who hold an appropriate airman certificate?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the records repository, that the persons who performed RII inspections was appropriately certificated in accordance with the certificate holders design <i>Sources:</i> 121.371(a); 121.378(a) • Check, at the records repository, that the outsource provider who performed RII inspections for the certificate holder held the appropriate certificate in accordance with the certificate holders design. <i>Sources:</i> 121.378(a); 121.135(a)(1) • Check, at the outsource provider, that persons who performed RII inspections for the certificate holder held the appropriate certificate in accordance with the certificate holders design <i>Sources:</i> 121.378(a); 121.135(a)(1) • Check, at the aircraft, that any person performing RII inspections holds the appropriate certificate in accordance with the certificate holders design <i>Sources:</i> 121.378(a); 121.371(a)
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2	<p>Were RII inspections performed only by properly qualified persons?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the records repository, that the persons who performed RII inspections were appropriately qualified in accordance with the certificate holders design <i>Sources:</i> 121.371(a); 121.135(a)(1) • Check, at the records repository, that the certificate holder verified that
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>outsource providers who performed RII inspections for it were appropriately qualified in accordance with the certificate holders design <i>Sources:</i> 121.371(a); 121.135(a)(1)</p>	
<p>1.3 Were RII inspections performed only by properly authorized persons?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the records repository, that the persons who performed RII inspections were appropriately authorized in accordance with the certificate holders design. <i>Sources:</i> 121.371(a); 121.135(a)(1) • Check, at the records repository, that the certificate holder verified that outsource providers who performed RII inspections for it were appropriately authorized in accordance with the certificate holders design <i>Sources:</i> 121.371(a); 121.135(a)(1) • Check, at the maintenance facility, that the certificate holder has provided written information to each person authorized to conduct RII, describing the extent of his responsibilities, authorities and inspection limitations in accordance with the certificate holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1) • Check, at the aircraft, that any person performing RII inspections has written information describing the extent of his responsibilities, authorities and inspection limitations, in accordance with the certificate holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1) • Check, at the aircraft, that any person performing RII inspections is appropriately authorized in accordance with the certificate holders design. <i>Sources:</i> 121.371(a); 121.135(a)(1) 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.4 Were RII inspections performed only by properly trained persons?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the inspection department, that the certificate holder maintains a current list, identified by name, occupational title and the inspections they are authorized to perform, of persons who have been authorized to conduct RII in accordance with the certificate holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1) • Check, at the records repository, (review of aircraft records), that required inspections were accomplished only by personnel noted on the RII listing in accordance with the certificate holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1) • Check, at the records repository, (review of aircraft records) that required inspections accomplished by an out source provider were accomplished only by personnel noted on the RII listing in accordance with the certificate holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1) • Check, at the aircraft, that any person performing RII inspections is noted on the current RII listing in accordance with the certificate 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

<p>holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1)</p> <ul style="list-style-type: none"> • Check, at the inspection department, that the certificate holder verified that each outsource provider, who performed required inspections (RII) for it, maintains a current listing, identified by name, occupational title and the inspections they are authorized to perform, of persons who have been authorized to conduct RII in accordance with the certificate holders design <i>Sources:</i> 121.371(d); 121.135(a)(1) • Check, at the outsource provider, (review of aircraft records) that required inspections accomplished by it for the certificate holder were accomplished only by personnel noted on the RII listing in accordance with the certificate holders design. <i>Sources:</i> 121.371(d); 121.135(a)(1) 	
<p>1.5 Did the Certificate Holder authorize certificated individuals to be RII inspectors in accordance with the standards documented in their policies and procedures?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the records repository, that the persons who performed RII inspections was appropriately certificated in accordance with the certificate holders design <i>Sources:</i> 121.371(a); 121.378(a) • Check, at the records repository, that the outsource provider who performed RII inspections for the certificate holder held the appropriate certificate in accordance with the certificate holders design. <i>Sources:</i> 121.378(a); 121.135(a)(1) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.6 Can it be immediately determined that the person who performed an RII was authorized to perform that specific inspection?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the records repository, that the persons who performed RII inspections were appropriately authorized in accordance with the certificate holders design. <i>Sources:</i> 121.371(a); 121.135(a)(1) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Does the Certificate Holder ensure that no persons perform a required inspection if they performed the item of work required to be inspected?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 Does the Certificate Holder maintain a current list of RII personnel that is identified by the persons name, occupational title, and the inspections they are authorized to perform?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the maintenance facility, that the certificate holder makes available its current listing of persons who have been trained, qualified, and authorized to conduct required inspections to the Administrator upon request <i>Sources:</i> 121.371(d); 121.135(b)(1) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.9 Were the RII Inspectors under the direct control of the Inspection Unit?</p>	<input type="checkbox"/> Yes

	<input type="checkbox"/> No, Explain
<p>1.10 Were the authorized RII persons given written information describing the extent of their responsibilities, authorities and inspection limitations?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check, at the inspection department, that the certificate holder verified that each outsource provider, gave written information to each person authorized to conduct RII for the certificate holder, describing the extent of his responsibilities, authorities and inspection limitations, in accordance with the certificate holders design <i>Sources: 121.371(d); 121.135(a)(1)</i> • Check, at the outsource provider, that each person authorized to conduct RII for the certificate holder was given written information describing the extent of his responsibilities, authorities and inspection limitations <i>Sources: 121.371(d); 121.135(a)(1)</i> 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2	<p>Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the RII Personnel process followed?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3	<p>Were the RII Personnel process controls followed?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4	<p>Did the records for the RII Personnel process comply with the instructions provided in the Certificate Holder's manual?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5	<p>Were the process measurements for the RII Personnel process effective in identifying problems and providing corrective action for them?</p> <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6	<p>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

<i>EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu</i>
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 RII Personnel 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 that has overall responsibility for the RII Personnel process.
 - 2 Identify the person that has overall authority for the RII Personnel 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 those who manage the RII Personnel process documented in the Certificate Holder's Manual System.
 - 4 Review the appropriate organizational chart.
 - 5 Discuss the RII Personnel 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 Attribute addressed in the RII Personnel process:

2.1 Is there a clearly identified person who is responsible for the quality of the RII Personnel process?	<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 procedures, policies or instructions and information for the RII Personnel process?	<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 RII Personnel 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 RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the RII Personnel 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 RII Personnel 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 RII Personnel 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 RII Personnel 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 RII Personnel 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 RII Personnel process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<i>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES –Drop Down Menu</i>
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.