

**Element Performance Inspection (EPI) Data Collection Tool
6.1.1 Scheduling / Reporting System (OP)**

ELEMENT SUMMARY INFORMATION

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

- To ensure the Certificate Holder schedules airmen/crewmembers and maintains a Scheduling and Reporting System.

Objective (FAA oversight responsibility):

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

Specific Instructions:

- To accomplish this EPI, the inspector should be familiar with the Certificate Holder's scheduling software and dispatch procedures applicable to flight crewmembers, flight attendants, dispatchers, and flightfollowers. The records, information, and personnel needed for the completion of this EPI should be found at the Certificate Holder's operations center.

Related EPI(s):

- 3.1.3 Airmen Duties / Flight Deck Procedures (OP)
- 4.2.3 Training of Flight Crewmembers (OP)
- 4.2.4 Training of Flight Attendants (OP)
- 4.2.5 Training of Dispatchers (OP)
- 4.2.7 Training of Check Airmen and Instructors (OP)
- 4.3.1 Pilot Operating Limitations / Recent Experience (OP)
- 4.3.2 Appropriate Airmen / Crewmember Checks and Qualifications (OP)
- 6.1.2 Flight Crewmember Flight / Duty / Rest Time (OP)
- 6.1.3 Flight Attendant Duty / Rest Time (OP)
- 6.1.4 Dispatcher Duty / Rest Time (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)
- 121.465(a)
- 121.465(b)(1)
- 121.465(b)(2)
- 121.465(b)(3)
- 121.465(c)
- 121.467(b)
- 121.467(c)
- 121.471(a)(1)
- 121.471(a)(2)
- 121.471(a)(3)
- 121.471(a)(4)
- 121.471(b)(1)
- 121.471(b)(2)
- 121.471(b)(3)
- 121.471(d)
- 121.471(e)
- 121.471(f)
- 121.471(g)
- 121.481(a)
- 121.481(b)
- 121.481(c)
- 121.481(d)
- 121.481(e)
- 121.481(f)
- 121.483(a)
- 121.483(b)
- 121.483(c)(1)
- 121.483(c)(2)
- 121.483(c)(3)
- 121.485(a)
- 121.485(b)
- 121.485(c)(1)
- 121.485(c)(2)
- 121.485(c)(3)
- 121.487(a)
- 121.487(b)
- 121.487(c)
- 121.487(d)
- 121.487(e)
- 121.489
- 121.493(a)
- 121.493(b)
- 121.503(a)
- 121.503(b)
- 121.503(c)
- 121.503(d)
- 121.503(e)

121.503(f)(1)
121.503(f)(2)
121.503(f)(3)
121.505(a)
121.505(b)
121.507(a)(1)
121.507(a)(2)
121.507(b)
121.509(a)(1)
121.509(a)(2)
121.509(b)
121.511(a)
121.511(b)
121.515
121.517
121.521(a)
121.521(b)
121.521(c)(1)
121.521(c)(2)
121.523(a)
121.523(b)
121.523(c)
121.523(d)
121.523(e)
121.523(f)
121.525(b)
121.525(c)
121.525(d)
121.525(e)
121.683(a)(1)
121.683(a)(2)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
119.59(b)(1)(ii)
119.59(c)
121.683(b)

- FAA Policy/Guidance:
Intentionally left blank

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 Scheduling / Reporting 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 Scheduling/Reporting 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 Scheduling/ Reporting System to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.
5	Discuss the Scheduling/Reporting System 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	<p>Did the Certificate Holder maintain its records according to its manual?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> Check at the Certificate Holder's specified location that a current listing, including locations and persons responsible for each record, document, and report required to be kept by the Certificate Holder for scheduling and reporting of crewmembers and dispatchers is maintained and available to the Administrator. <i>Sources: 119.59(b)(1)(ii)</i> Check at the Certificate Holder's specified location that the flight, duty and rest records are maintained in accordance with the Certificate Holder's manual design. <i>Sources: 121.683(a)(1); 121.683(b)</i>
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2	<p>Did the Certificate Holder make requested records available in a timely manner?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> Check at the Certificate Holder's specified location that the employee of, or person used by, the Certificate Holder who is responsible for maintaining the Certificate Holder's records makes those records available to the Administrator. <i>Sources: 119.59(c)</i>
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3	<p>Did the Certificate Holder adhere to its policy for personnel scheduling and record keeping?</p>
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4	<p>Did the Certificate Holder follow its instructions on the use of records for scheduling crewmembers and dispatchers?</p> <p><i>Related Performance JTI's:</i></p> <ol style="list-style-type: none"> Check by observation at the Certificate Holder's specified location that the person responsible is using the records for scheduling
	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	crewmembers and dispatchers in accordance with the Certificate Holder's manual design. . <i>Sources: 121.683(a)(1); 121.683(b)</i>	
1.5	Did the Certificate Holder maintain the records of actions taken concerning the release from employment or physical or professional disqualification of any flight crew member or aircraft dispatcher (domestic and flag operations only)? <i>Related Performance JTI's:</i> 1. Check that the Certificate Holder's specified location that the Certificate Holder has records for each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember or aircraft dispatcher (domestic operations only) within the last six months. <i>Sources: 121.683(a)(2)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2	Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Scheduling/Reporting System followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3	Were the Scheduling/Reporting System controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4	Did the records for the Scheduling/Reporting System 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 Scheduling/Reporting System 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

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 Scheduling / Reporting 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 Scheduling/Reporting System.

2 Identify the person who has overall authority for the Scheduling/Reporting 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 Scheduling/Reporting System documented in the Certificate Holder's manual.

4 Review the appropriate organizational chart.

5 Discuss the Scheduling/Reporting 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 Scheduling/Reporting System:

2.1 Is there a clearly identified person who is responsible for the quality of the Scheduling/Reporting 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 Scheduling/Reporting 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 Scheduling/Reporting 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 Scheduling/Reporting System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Scheduling/Reporting 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 Scheduling/Reporting 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 Scheduling/Reporting 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 Scheduling/Reporting 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 Scheduling/Reporting 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 Scheduling/Reporting 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.