

Element Performance Inspection (EPI) Data Collection Tool

1.3.6 AD Management (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure compliance with airworthiness directives.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder s procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the AD Management process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the AD Management process.

Specific Instructions:

- Air carriers are required to make and keep the current status of an airworthiness directive . The current status records are required to be maintained and transfered with the aircraft when it is sold.
- The current status of an airworthiness directive means a record that contains, at least, the following information:
 - (1) Identification of the particular airframe, engine, propeller, appliance, or component to which the AD is applicable.
 - (2) The AD number (and/or regulatory amendment number).
 - (3) The date and the time-in-service expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.) when the required action was accomplished.
 - (4) If the requirement is recurring, the time-in-service when the next action is due expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.).
 - (5) The method of compliance means: with regard to an AD, a concise description of the action taken to comply with the requirements of the AD. If the AD or its referenced manufacturer s service bulletin permits the use of more than one method of compliance, the record must include a reference to the specific method of compliance used. If the operator uses an alternate method of compliance (AMOC) to comply with an AD, the method of compliance means a description of this AMOC and a copy of the FAA approval.
- NOTE: The listing of current status of an airworthiness directive or method of compliance refers to summary current status information and must not be confused with an AD record of accomplishment, which is a description of the work performed and the identification of the person who performed and/or issued the approval for return to service.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.2 Major Repairs and Alterations Records (AW)

- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.1 Maintenance Program (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.369(c)
 - 121.380(a)(2)(vi)
 - 121.380(c)(3)
 - 121.380(d)
 - 39.11
 - 39.13
 - 39.15
 - 39.17
 - 39.19
 - 39.21
 - 39.23
 - 39.25
 - 39.27
 - 39.3
 - 91.403(a)
 - A.447

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8900.1, Volume 3, Chapter 31, Section 5
 - Advisory Circular 120-16D
 - Advisory Circular 39-7C

EPI Section 1 - Performance Observables	
Objective: The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.	
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 certificate holder's policies, procedures, instructions, and information for the AD Management process.
3.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the certificate holder's AD Management process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the AD Management process with the personnel (other than management) that perform the duties and responsibilities required by the process.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	<p>Did the certificate holder's records indicate that the aircraft, aircraft engines, propeller, and/or appliances were in compliance with applicable Airworthiness Directives (AD)?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the records repository for products (aircraft, aircraft engine, propeller, or appliance) operated by the certificate holder; verify the Airworthiness Directives "current status" (as described in the specific instructions of this element), are maintained in accordance with the certificate holders design. <i>Sources:</i> 121.380(a)(2)(vi); 121.380(c)(3); FAA Order 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079, B5a 2. Check at the records repository; that inspections that must be carried out, conditions and limitations that must be complied with, and all required actions to resolve the unsafe condition specified in an Airworthiness Directive were accomplished and recorded in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.369(c); 121.709(b)(2); 39.11; 43.9(a); AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e); 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	<p>Did a visual inspection verify the observed aircraft, aircraft engines, propeller, and/or appliances were in compliance with applicable Airworthiness Directives (AD)?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the Aircraft; that inspections that must be carried out, conditions 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>and limitations that must be complied with, and all required actions to resolve the unsafe condition specified in an Airworthiness Directive was accomplished in accordance with the certificate holder's design.</p> <p><i>Sources:</i> 121.125(a)(1); 39.11; 39.7; AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e);</p>	
1.3.	<p>Were the observed actions performed as specified in the Airworthiness Directive?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check, at the records repository, that, if an Airworthiness Directive incorporates by reference a manufacturer's service document, that the requirements of the Airworthiness Directive were followed, even if there is a conflict between the service document and the Airworthiness Directive <i>Sources:</i> 121.135(a)(1); 39.27 2. Check at the Aircraft; that inspections that must be carried out, conditions and limitations that must be complied with, and all required actions to resolve the unsafe condition specified in an Airworthiness Directive was accomplished in accordance with the certificate holder's design. <i>Sources:</i> 121.125(a)(1); 39.11; 39.7; AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e); 3. Check at the Air Carrier Maintenance Facility; that inspections that must be carried out, conditions and limitations that must be complied with, and all required actions to resolve the unsafe condition specified in an Airworthiness Directive was accomplished in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.11; AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e); 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	<p>Were AD requirements, performed by a contractor, properly accomplished?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check at the outsource provider; that inspections that must be carried out, conditions and limitations that must be complied with, and all required actions to resolve the unsafe condition specified in an Airworthiness Directive was accomplished in accordance with the certificate holder's design. <i>Sources:</i> 121.125(a)(1); 39.11; 39.7; AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e); 2. Check at the records repository, that the contractor met the recording requirements of the Airworthiness Directive, in accordance with the certificate holder's design and the contractual agreement <i>Sources:</i> 121.125(a)(1); 39.11; 39.7; AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e); 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.5.	<p>If an aircraft, aircraft engine, propeller, and/or appliance was changed, in a way that affected the ability to accomplish the actions required by an AD, did the certificate holder obtain an approved alternate method of compliance?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p><i>Related Performance JTIs:</i></p> <p>1. Check at the records repository, that a request for approval from the FAA for an alternate method of compliance (AMOC) to an Airworthiness Directive was submitted to the assigned Principal Inspector for concurrence and the manager of the office identified in the airworthiness directive for approval, in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.19</p>	
1.6.	<p>If an alternate method of compliance was granted, was it done with the Principal Inspector's full knowledge?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the records repository, that a request for approval from the FAA for an alternate method of compliance (AMOC) to an Airworthiness Directive was submitted to the assigned Principal Inspector for concurrence and the manager of the office identified in the airworthiness directive for approval, in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.19</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.7.	<p>Did the certificate holder obtain ACO approval for change in compliance time, if the aircraft is operated differently than AD limitation requirements?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the records repository, that a request for approval from the FAA for a change of compliance time to an Airworthiness Directive provided a level of safety and was approved by the manager of the office identified in the airworthiness directive, and the approval was obtained in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 39.19</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.8.	<p>Were the certificate holder's AD accomplishment records accurate?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the records repository, that the recording requirements for checks performed by pilots as permitted by Airworthiness Directives were accomplished in accordance with the certificate holder's design. <i>Sources:</i> AC 39-7C paragraph 13f</p> <p>2. Check at the maintenance planning center, that Airworthiness Directives were accomplished as scheduled in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</p> <p>3. Check at the maintenance planning center, that Airworthiness Directives that require recurring action, are scheduled in accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi)</p> <p>4. Check at the records repository, that Airworthiness Directive records containing current status of applicable airworthiness directives are transferred with the aircraft when sold accordance with the certificate holder's design. <i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi); 121.380(c)(3)</p> <p>5. Check at the records repository that the record of accomplishment for products (aircraft, aircraft engine, propeller, or appliance) with Airworthiness Directive, were made(using the certificate holder s design specified in their manual required in FAR 121.369) to show; that</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>inspections were carried out, conditions and limitations were complied with, all required actions to resolve the unsafe condition specified in an Airworthiness Directive were accomplished and recorded and that all requirements for the issuance of an airworthiness release under Sec 121.709 were met in accordance with the certificate holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.369; 121.380; 121.709; AC 39-7C; 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079 (B)(5); AC 120-16D Paragraph 605 (1)(e);</p>	
1.9.	Does the certificate holder receive Emergency AD's that affect an aircraft type in its fleet?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, procedures, instructions, and information for the AD Management, process followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the AD Management process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	<p>Did the records for the AD Management process comply with the instructions provided by the certificate holder?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the records repository for products (aircraft, aircraft engine, propeller, or appliance) operated by the certificate holder; verify the Airworthiness Directives "current status" (as described in the specific instructions of this element), are maintained in accordance with the certificate holders design.</p> <p><i>Sources:</i> 121.380(a)(2)(vi); 121.380(c)(3); FAA Order 8900.1, Volume 3, Chapter 31, Section 5, Paragraph 3-3079, B5a</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the AD Management 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

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: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (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:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) 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 1 and 2 below, and provide the name/title.
1.	Identify the person that has overall responsibility for the AD Management process.
2.	Identify the person that has overall authority for the AD Management process.
3.	Review the duties and responsibilities for those who manage the AD Management process.
4.	Review the appropriate organizational chart.
5.	Discuss the AD Management process with the management personnel identified in task 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:	
1.	Is there a clearly identified person who is responsible for the quality of the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
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 AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the AD Management process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the AD Management meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

		<input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

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.