

## Element Performance Inspection (EPI) Data Collection Tool

### 2.1.3 Distribution (Manuals) (OP)

#### ELEMENT SUMMARY INFORMATION

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

- To ensure the certificate holder's manual has policy, instruction, and information for the distribution of the manual required by Title 14 of the Code of Federal Regulations (14 CFR) part 121, section 121.133, to the appropriate flight and ground operations personnel.

**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 Distribution (Manuals) process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Distribution (Manuals) process.

**Specific Instructions:**

- Intentionally left blank

**Related EPIs:**

- 

#### SUPPLEMENTAL INFORMATION

**Specific Regulatory Requirements (SRRs):**

- SRRs:
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.135(c)
  - 121.137(a)
  - 121.137(a)(1)
  - 121.137(a)(2)
  - 121.137(a)(3)

**Related CFRs & FAA Policy/Guidance:**

- Related CFRs:
  - Intentionally left blank
- FAA Policy/Guidance:
  - FAA Order 8900.1, Volume 3, Chapter 32

### 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 the information listed in the Supplemental Information section of this DCT.
2.	Review the certificate holder's policies, procedures, instructions, and information for the Distribution (Manuals) 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 Distribution (Manuals) process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Distribution (Manuals) 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.	Determine whether the following performance measures were met:	
1.1.	<p>Did the certificate holder provide copies of its required manual(s) to the appropriate ground operations personnel?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the air carrier specified location that the ground operations personnel's manual has been distributed in accordance with the instructions in the certificate holder's manual. <i>Sources:</i> 121.135(a)(1); 121.137(a); 121.137(a)(1)</li> <li>2. Check at the technical publications library that the manuals have been distributed in accordance with the certificate holder's instructions. <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 32, Paragraph 3-3382C2</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Did the certificate holder provide copies of its required manual(s) to its crewmembers?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Did the certificate holder provide copies of its required manual(s) to the assigned representatives of the Administrator?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	<p>Did the certificate holder provide changes and additions to the required manual(s) to the appropriate ground personnel?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the technical publications library that the certificate holder issues changes and additions to each person issued a manual in accordance with the certificate holder's instructions. <i>Sources:</i> 121.135(a)(1); 121.137(b)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>2. Check at the technical publications library that the certificate holder has distributed manual revisions to the appropriate manual holders in accordance with the certificate holder's instructions. <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 32, Paragraph 3-3382C2</p> <p>3. Check at the air carrier specified location that manual revisions have been distributed in accordance with the certificate holder's instructions. <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 32, Paragraph 3-3382C2</p>	
1.5.	Did the certificate holder provide changes and additions to the required manual(s) to its crewmembers?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	Did the certificate holder provide changes and additions to the required manual(s) to the assigned representatives of the Administrator?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.	Were personnel notified in accordance with the certificate holder's procedures when changes or additions to the manual(s) were issued?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Were the certificate holder's policies, procedures, instructions, and information, for the Distribution (Manuals) process, followed? <i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier principal base of operations for one complete copy of the certificate holder's required manual. <i>Sources:</i> 121.135(a)(1); 121.135(c)</p> <p>2. Check at the technical publications library that the certificate holder has distributed temporary information or changes to the appropriate manual holders in accordance with the certificate holder's instructions. <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 32, Section 1, Paragraph 3-3131C</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3	Were the Distribution (Manuals) process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Distribution (Manuals) process comply with the instructions provided by the certificate holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the Distribution (Manuals) 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

<b>EPI Section 1 - Performance Observables Drop-Down Menu</b>	
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 who has overall responsibility for the Distribution (Manuals) process.
2.	Identify the person who has overall authority for the Distribution (Manuals) process.
3.	Review the duties and responsibilities for the person(s) who manage the Distribution (Manuals) process.
4.	Review the appropriate organizational chart.
5.	Discuss the Distribution (Manuals) 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:	
1.	Is there a clearly identifiable person who is responsible for the quality of the Distribution (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identifiable person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the Distribution (Manuals) 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 Distribution (Manuals) 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 Distribution (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Distribution (Manuals) 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 Distribution (Manuals) process 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 Distribution (Manuals) 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 Distribution (Manuals) 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 Distribution (Manuals) 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 Distribution (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

<b>EPI Section 2 - Management Responsibility &amp; Authority Observables Drop-Down Menu</b>	
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.