Element Performance Inspection (EPI) Data Collection Tool
1.2.3 Maintenance Log / Recording Requirements (AW)

ELEMENT SUMMARY INFORMATION

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

- To provide policy, procedures, instructions, and information necessary for the preservation, retrieval, and recording of any reported or observed failure or malfunction, and all mechanical irregularities.

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 Maintenance Log/Recording Requirements process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Maintenance Log/Recording Requirements process.

Specific Instructions:

- Intentionally left blank.

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)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 1.3.5 MEL / CDL / Deferred Maintenance (AW)
- 1.3.19 Lower Landing Minimums (LLM) (AW)
- 5.1.1 Line Stations (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:

  121.135(a)(1)
  121.135(b)(1)
  121.135(b)(2)
  121.135(b)(3)
  121.369(c)
  121.369(c)(1)
  121.369(c)(2)
  121.369(c)(3)
  121.380(a)(1)
  121.563

- SRRs:

  121.701(a)
  121.701(b)
  121.709(a)
  43.2(a)(1)
  43.2(a)(2)
  43.9(a)
  43.9(a)(1)
  43.9(a)(3)
  43.9(a)(4)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
  Intentionally left blank

- FAA Policy/Guidance:
  Intentionally Left Blank

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 polices, procedures, instructions, and information for the Maintenance Log/Recording Requirements 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 Maintenance Log/Recording Requirements process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Maintenance Log/Recording Requirements process with the personnel (other than management) who perform the duties and responsibilities required by the Maintenance Log/Recording Requirements process.

Questions		
	To meet this objective, the inspector must answer the following questions:	
1.	Were the following performance measures met:	
1.1.	Did the certificate holder provide, in a place readily accessible to each flight crewmember, adequate copies of the aircraft maintenance log? *Related Performance JTIs:* 1. Check at the aircraft for adequate copies of the record required in paragraph (a) of this section in the airplane in a place readily accessible to each flight crewmember in accordance with the certificate holder design. *Sources:* 121.701(b)	☐ Yes ☐ No, Explain
1.2.	Was each observed and reported failure or malfunction documented in accordance with the certificate holder's design? *Related Performance JTIs:* 1. Check at the air carrier specified location each person who takes action in the case of a reported or observed failure or malfunction of an airframe, that is critical to the safety of flight shall make, or have made, a record of that action in the airplane's maintenance log in accordance with the certificate holder design. *Sources:* 121.701(a) 2. Check at the air carrier specified location each person who takes action in the case of a reported or observed failure or malfunction of an engine, that is critical to the safety of flight shall make, or have made, a record of that action in the airplane's maintenance log in accordance with the certificate holder design..	☐ Yes ☐ No, Explain

	Sources: 121.701(a) 3. Check at the air carrier specified location each person who takes action in the case of a reported or observed failure or malfunction of an propeller, that is critical to the safety of flight shall make, or have made, a record of that action in the airplane's maintenance log in accordance with the certificate holder design.. *Sources:* 121.701(a) 4. Check at the air carrier specified location each person who takes action in the case of a reported or observed failure or malfunction of an appliance, that is critical to the safety of flight shall make, or have made, a record of that action in the airplane's maintenance log in accordance with the certificate holder design.. *Sources:* 121.701(a) 5. Check at the aircraft that all mechanical irregularities occurring during flight time are entered in the maintenance log of the airplane at the end of that flight time in accordance with the certificate holder design. *Sources:* 121.563 6. Check at the aircraft that the pilot in command ensures all mechanical irregularities occurring during flight time are entered in the maintenance log of the airplane at the end of that flight time in accordance with the certificate holder design. *Sources:* 121.563	
1.3.	Were all required aircraft maintenance log entries made in accordance with the certificate holder's design?	☐ Yes ☐ No, Explain
2.	Were the certificate holder's policies, procedures, instructions, and information for Maintenance Log/Recording Requirements process followed?	☐ Yes ☐ No, Explain
3.	Were the Maintenance Log/Recording Requirements process controls followed?	☐ Yes ☐ No, Explain
4.	Did the records for the Maintenance Log/Recording Requirements process comply with the instructions provided by the certificate holder?	☐ Yes ☐ No, Explain
5.	Were the process measurements for the Maintenance Log/Recording Requirements process effective in identifying problems or potential problems and providing corrective action for them?	☐ Yes ☐ 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?	☐ Yes ☐ 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 who has overall responsibility for the Maintenance Log/Recording Requirements process.
2.	Identify the person who has overall authority for the Maintenance Log/Recording Requirements process.
3.	Review the duties and responsibilities for those who manage the Maintenance Log/Recording Requirements process.
4.	Review the appropriate organizational chart.
5.	Discuss the Maintenance Log/Recording Requirements 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 identified person who is responsible for the quality of the Maintenance Log/Recording Requirements process?	☐ Yes ☐ 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 Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain ☐ No Change
4.	Does the person with authority know that he/she has authority for the Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain ☐ No Change
5.	Does the person with responsibility for the Maintenance Log/Recording Requirements process meet the qualification standards?	☐ Yes ☐ No, Explain ☐ No Change
6.	Does the person with authority to establish and modify the Maintenance	☐ Yes

	Log/Recording Requirements process meet the qualification standards?	☐ No, Explain ☐ No Change
7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain ☐ No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain ☐ No Change
9.	Does the responsible person know who has authority to establish and modify the Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain ☐ No Change
10.	Does the individual with authority know who has the responsibility for the Maintenance Log/Recording Requirements process?	☐ Yes ☐ No, Explain ☐ 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.