

Element Performance Inspection (EPI) Data Collection Tool

1.3.11 Continuous Analysis and Surveillance (CAS) (AW)

ELEMENT SUMMARY INFORMATION

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

- To establish and maintain a system for the Continuing Analysis and Surveillance (CAS) of the performance and effectiveness of its inspection program, the program covering other maintenance, preventive maintenance and alterations, and for the correction of any deficiency in those programs, regardless of whether those programs are carried out by the certificate holder or by another person.

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 Continuous Analysis and Surveillance (CAS) System.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Continuing Analysis and Surveillance (CAS) System.

Specific Instructions:

- To accomplish this EPI, the inspector must monitor CAS meetings, audit the certificate holder's CASS records to identify problems and deficiencies in the inspection program or the program covering other maintenance, preventive maintenance and alterations. To ensure the certificate holder uses this information to correct problems with its inspection program or the program covering other maintenance, preventive maintenance and alterations.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.1.2 Appropriate Operational Equipment (OP)
- 1.1.3 Special Flight Permits (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)
- 1.2.4 MIS Reports (AW)
- 1.2.5 Service Difficulty Reports (SDR) (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 1.3.6 AD Management (AW)
- 1.3.7 Outsource Organization (AW)
- 1.3.8 Control of Calibrated Tools and Test Equipment (AW)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.14 General Maintenance Manual / Equivalent (AW)
- 1.3.15 Reliability Program (AW)

- 1.3.16 Fueling (AW)
- 1.3.17 Weight and Balance Program (AW)
- 1.3.19 Lower Landing Minimums (LLM) (AW)
- 1.3.20 Engine Condition Monitoring (AW)
- 1.3.21 Parts Pooling (AW)
- 1.3.22 Parts Borrowing (AW)
- 1.3.23 Short-Term Escalations (AW)
- 1.3.24 Coordinating Agencies for Suppliers Evaluation (CASE) (AW)
- 1.3.25 Cargo Handling Equipment, Systems and Appliances (AW)
- 2.1.1 Manual Currency (AW)
- 2.1.2 Content Consistency Across Manuals (AW)
- 2.1.3 Distribution (Manuals) (AW)
- 2.1.4 Availability (Manuals) (AW)
- 2.1.5 Supplemental Operations Manual Requirements (AW)
- 4.1.1 RII Personnel (AW)
- 4.1.2 Maintenance Certificate Requirements (AW)
- 4.2.1 Maintenance Training Program (AW)
- 4.2.2 RII Training Requirements (AW)
- 4.4.1 Recency of Experience (AW)
- 4.4.2 Display of Certificate (AW)
- 4.4.3 Privileges Airframe and Powerplant (AW)
- 4.4.4 Privileges and Limitations for Repairmen (AW)
- 5.1.1 Line Stations (AW)
- 5.1.8 Extended Range Operations with Two-Engine Airplanes (ETOPS) (AW)
- 5.1.9 RVSM Authorization (AW)
- 6.2.1 Maintenance Duty Time Limitations (AW)
- 7.1.1 Director of Maintenance (AW)
- 7.1.2 Chief Inspector (AW)
- 7.1.3 Director of Safety (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.373(a)
 - 121.373(b)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
 - FAA Notice 8900.7
 - AC 120-16D
 - AC 120-79

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 (at the inspection locations where applicable):
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 Continuous Analysis and Surveillance (CAS) System.
3.	Review the last accomplished safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements and interface attribute responses.
4.	Observe the certificate holder's Continuous Analysis and Surveillance (CAS) System to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Continuous Analysis and Surveillance (CAS) System with the personnel (other than management) who perform the duties and responsibilities required by the program.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	Did the certificate holder conduct audits to determine the performance and effectiveness of its inspection program and its program covering other maintenance, preventive maintenance, and alterations, regardless of whether those programs were carried out by the certificate holder or by another person?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Did the certificate holder collect and analyze data to determine the performance and effectiveness of its inspection program and its program covering maintenance, preventive maintenance, and alterations, regardless of whether those programs were carried out by the certificate holder or by another person?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Did the certificate holder initiate corrective action plans with timelines based upon the severity of deficiencies in its inspection program and its program covering other maintenance, preventive maintenance, and alterations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Were the certificate holder's Continuous Analysis and Surveillance (CAS) System meetings effective in identifying systemic problems, determining the root cause of deficiencies, and determining appropriate corrective actions?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Did the certificate holder conduct adequate follow-up to ensure that corrective actions were appropriate, timely, and effective?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	Did the certificate holder comply with the requirements in its Continuous Analysis and Surveillance (CAS) System for responding to emergency/critical situations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.	Were the personnel who carry out the functions of the Continuous Analysis and Surveillance (CAS) System properly trained?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

2.	Were the certificate holder's policies, procedures, instructions, and information for the Continuous Analysis and Surveillance (CAS) System followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Continuous Analysis and Surveillance (CAS) System controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Continuous Analysis and Surveillance (CAS) System 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 Continuous Analysis and Surveillance (CAS) 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: 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 Continuous Analysis and Surveillance (CAS) System.
2.	Identify the person who has overall authority for the Continuous Analysis and Surveillance (CAS) System.
3.	Review the duties and responsibilities for those who manage the Continuous Analysis and Surveillance (CAS) System.
4.	Review the appropriate organizational chart
5.	Discuss the Continuous Analysis and Surveillance (CAS) 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:	
1.	Is there a clearly identified person who is responsible for the quality of the Continuous Analysis and Surveillance (CAS) System?	<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 Continuous Analysis and Surveillance (CAS) System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Continuous Analysis and Surveillance (CAS) System?	<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 Continuous Analysis and Surveillance (CAS) System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Continuous Analysis and Surveillance (CAS) System 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 Continuous Analysis	<input type="checkbox"/> Yes

	and Surveillance (CAS) System meet the qualification standards?	<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 Continuous Analysis and Surveillance (CAS) System?	<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 Continuous Analysis and Surveillance (CAS) System?	<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 Continuous Analysis and Surveillance (CAS) System?	<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 Continuous Analysis and Surveillance (CAS) System?	<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.