

## Element Performance Inspection (EPI) Data Collection Tool

### 1.3.14 General Maintenance Manual / Equivalent (AW)

#### ELEMENT SUMMARY INFORMATION

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

- To provide policy, procedures, instructions and information that allow for the preparation of the General Maintenance Manual / Equivalent.

##### **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 preparation of the General Maintenance Manual / Equivalent.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the General Maintenance Manual / Equivalent preparation.

##### **Specific Instructions:**

- To accomplish this EPI, the inspector should verify that the Certificate Holder's Manual contains adequate information to instruct and guide maintenance personnel in the accomplishment of their duties and responsibilities. The Certificate Holder's General Maintenance Manual / Equivalent preparation must ensure that the policies, procedures, instructions and information not only meet the applicable regulatory requirements but are effective in doing so. Questions 1.1 through 1.6 in Section 1 of this EPI are asking just that, if the procedures or instructions are effective. For example when answering question 1.6, you find that turn-over reports are frequently overlooked and aircraft or equipment is subsequently operated in an unairworthy or unsafe condition. First, you have to determine if it was a failure to follow the provided instructions or procedures versus a weak or inadequate procedure or instruction being in place. The choices on the Drop Down Menu for Section 1 will give you ideas as to what to look for when you are reviewing the procedures or instructions. Questions 1.1 through 1.6 are not being asked to find fault with any one procedure or instruction contained in the manual but to determine if the Certificate Holder is proactive in revising their manual when warranted.

##### **Related EPIs:**

- 1.3.19 Lower Landing Minimums (LLM) (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)

#### SUPPLEMENTAL INFORMATION

##### **Specific Regulatory Requirements (SRRs):**

- SRRs:

- SRRs:
  - 119.43(b)
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.65(e)(1)
  - 119.65(e)(2)
  - 119.65(e)(3)
  - 121.133(a)
  - 121.133(b)
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(11)
  - 121.135(b)(16)
  - 121.135(b)(17)
  - 121.135(b)(18)
  - 121.135(b)(19)
  - 121.135(b)(2)
  - 121.135(b)(20)
  - 121.135(b)(26)
  - 121.135(b)(3)
  - 121.137(a)(1)
  - 121.365(a)
  - 121.365(b)
  - 121.369(a)
  - 121.369(b)(1)
  - 121.369(b)(2)
  - 121.369(b)(3)
  - 121.369(b)(4)
  - 121.369(b)(5)
  - 121.369(b)(6)
  - 121.369(b)(7)
  - 121.369(b)(8)
  - 121.369(b)(9)
  - 121.371(c)
  - 121.701(b)
  - 121.709(b)(1)
  - A.006

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

- Related CFRs:
  - Intentionally left blank
- FAA Policy/Guidance:
  - FAA Order 8900.1, Vol 3, Ch 32, Sec 11
  - FAA Order 8900.1, Vol 3, Ch 42, Sec 1
  - FAA Order 8900.1, Vol 3, Ch 32, Sec 4
  - FAA Order 8900.1, Vol 3, Ch32, Sec 11, Para 3-3379
  - AC 120-42A

### 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 General Maintenance Manual / Equivalent preparation 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 General Maintenance Manual / Equivalent preparation to gain an understanding of the procedures, instructions, and information.
5.	Discuss the General Maintenance Manual / Equivalent preparation 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.	Were the references to, or excerpts from, the certificate holder's operations specifications, contained in its manual for the continuous airworthiness maintenance program, current?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Were the duties, responsibilities, and authority of the required personnel, contained in the certificate holder's manual, current? <i>Related Performance JTIs:</i> <ol style="list-style-type: none"> <li>1. Check at the Technical Publications Library that the manual list the current Director of Maintenance and Chief Inspector along with their current business address in accordance with the Certificate Holder's design. <i>Sources:</i> 119.65(e)(2)</li> <li>2. Check at the FAA location that the manual that the manual list the current Director of Maintenance and Chief Inspector along with their current business address in accordance with the Certificate Holder's design. <i>Sources:</i> 119.65(e)(2)</li> <li>3. Check at the FAA location that it was notified within 10 days of any change in personnel or any vacancy in the Director of Maintenance or Chief Inspector positions in accordance with the Certificate Holder's design. <i>Sources:</i> 119.65(e)(3)</li> <li>4. Check at the FAA location by reviewing the carriers organizational chart that contains the lines of authority, maintenance organization and support structures and they are current in accordance with the Certificate Holder's design.</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3382 D2	
1.3.	<p>Were only persons listed in the certificate holder's manual used to perform required inspections, other maintenance, preventive maintenance, or alterations?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Maintenance Planning Center that the list of contracted persons includes: -- Certificate number -- Ratings and limitations -- Description of work scope authorized In accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 42, Sec 1, Para 3-3846 C1</li> <li>2. Check at the Air Carrier Specified Location that the list of contracted persons includes: -- Certificate number -- Ratings and limitations -- Description of work scope authorized In accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 42, Sec 1, Para 3-3846 C1</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Did the certificate holder's manual define significant terms and acronyms in a manner that allowed personnel to perform their duties?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	<p>Were the procedures contained in the certificate holder's manual effective in ensuring that test flight and ferry flight requirements were met?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air Carrier Operated Maintenance Facility that procedures for administering test flight requirements are accomplished in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch32, Sec 11, Para 3-3379 A2 FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3382 F16</li> <li>2. Check at the Records Repository by reviewing aircraft logbook records, that procedures for administering test flight requirements were accomplished in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3379 A2 FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3382 F16</li> <li>3. Check at the Outsource Provider that procedures for administering test flight requirements are accomplished in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3379 A2 FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3382 F16</li> <li>4. Check at the records repository by reviewing logbook records that ferry flights were conducted in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3382 F17</li> <li>5. Check at the MOC by observing the ferry flight process that it was conducted in accordance with the Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 32, Sec 11, Para 3-3382 F17</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	<p>Were the shift change procedures, contained in the certificate holder's manual, effective in relaying the status of work in progress to the oncoming shift?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Aircraft during a shift change, that work that is not completed as a result of the shift change or similar work interruption, completes a turnover document to ensure that the exact status of all phases of "maintenance in progress" is accurately transferred between</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>shifts in accordance with the Certificate Holder's design.  <i>Sources: Safety FAR 121.369 (b)(9)</i></p> <p>2. Check at the Air Carrier Operated Maintenance Facility during a shift change, that work that is not completed as a result of the shift change or similar work interruption, completes a turnover document to ensure that the exact status of all phases of "maintenance in progress" is accurately transferred between shifts in accordance with the Certificate Holder's design.  <i>Sources: Safety FAR 121.369 (b)(9)</i></p> <p>3. Check at the Outsource Provider during a shift change, that work that is not completed as a result of the shift change or similar work interruption, completes turnover document to ensure that the exact status of all phases of "maintenance in progress" is accurately transferred between shifts in accordance with the Certificate Holder's design.  <i>Sources: Safety FAR 121.369 (b)(9)</i></p>	
2.	Were the certificate holder's policies, procedures, instructions, and information, concerning the preparation of the General Maintenance Manual / Equivalent, followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the controls for the General Maintenance Manual / Equivalent preparation followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the General Maintenance Manual / Equivalent preparation 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 General Maintenance Manual / Equivalent preparation 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 that has overall responsibility for the General Maintenance Manual / Equivalent preparation.
2.	Identify the person that has overall authority for the General Maintenance Manual / Equivalent preparation.
3.	Review the duties and responsibilities for the person(s) who manage the General Maintenance Manual / Equivalent preparation process.
4.	Review the appropriate organizational chart.
5.	Discuss the General Maintenance Manual / Equivalent preparation 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 General Maintenance Manual / Equivalent?	<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 preparation of the General Maintenance Manual / Equivalent?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the General Maintenance Manual / Equivalent preparation?	<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 General Maintenance Manual / Equivalent preparation?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the General Maintenance Manual / Equivalent preparation 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 General Maintenance	<input type="checkbox"/> Yes

	Manual / Equivalent 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 General Maintenance Manual / Equivalent preparation?	<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 General Maintenance Manual / Equivalent preparation?	<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 General Maintenance Manual / Equivalent?	<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 General Maintenance Manual / Equivalent?	<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.