

## Element Performance Inspection (EPI) Data Collection Tool

### 1.3.21 Parts Pooling (AW)

#### ELEMENT SUMMARY INFORMATION

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

- To administer the Parts Pool Agreements by ensuring that parts pooling activities are conducted as specified in the certificate holder's manual and operation specifications paragraph D081.

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

**Specific Instructions:**

- To accomplish this EPI, the inspector should familiarize himself/herself with the certificate holder's approved Parts Pooling process.

**Related EPIs:**

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.4 Required Inspection Items (RII) (AW)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.11 Continuous Analysis and Surveillance (CAS) (AW)
- 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)
- 4.2.1 Maintenance Training Program (AW)

#### SUPPLEMENTAL INFORMATION

**Specific Regulatory Requirements (SRRs):**

- SRRs:
  - 119.43(b)
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.43(c)
  - 119.51(c)

- SRRs:
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.361(b)
  - D.081
  - D.081(a)
  - D.081(b)
  - D.081(c)

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

- Related CFRs:
  - Intentionally left blank
- FAA Policy/Guidance:
  - FAA Order 8900.1, Volume 2, Chapter 3, Section 11
  - FAA Order 8900.1, Volume 2, Chapter 82, Section 1
  - FAA Order 8900.1, Volume 3, Chapter 39,

### 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 Parts Pooling 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 certificate holder's Parts Pooling process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Parts Pooling 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.	Was training provided to personnel performing the Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	<p>Were only Parts Pooling participants listed in paragraph D081 of the certificate holder's operations specifications used to provide parts to the certificate holder?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that records show that only FAR Part 121 operators listed on the Parts Pool Agreement Authorization applies only to FAR Part 121 operators operating outside the U.S. in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); FAA Order 8900.1, Volume 3, Chapter 39, Paragraph 3-3759B1</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.3.	<p>Did all parts provided by a Parts Pooling participant and used by the certificate holder comply with the applicable provisions of the Federal Aviation Regulations and the certificate holder's manual?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that records show that the return to service of airframe components, powerplants, appliances, and spare parts that have been maintained, altered, or inspected by persons employed outside the United States who do not hold U.S. airman certificates was in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.361(b)</p> <p>2. Check at the air carrier specified location that records show that the use</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>of airframe components, powerplants, appliances, and spare parts that have been maintained by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.361(b); 121.379(b)</p> <p>3. Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been altered by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.361(b); 121.379(b)</p> <p>4. Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been inspected by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.361(b); 121.379(b)</p>	
1.4.	<p>Was the Parts Pooling process properly administered?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that records show that the Certificate Holder has control of the administration of the parts pool agreement in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); D.081(b)</p> <p>2. Check at the air carrier specified location that records show that the Certificate Holder's administration of related policies to the parts pool agreement by the foreign air carrier, are in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); D.081(b)</p> <p>3. Check at the air carrier specified location that records show that the Certificate Holder's operations specifications indicates that amendments had been made to reflect new participants in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); FAA Order 8900.1, Volume 3, Chapter 39, Paragraph 3-3759B2</p> <p>4. Check at the air carrier specified location that records show that the Certificate Holder's operations specifications indicates that amendments had been made to reflect new locations in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); FAA Order 8900.1, Volume 3, Chapter 39, Paragraph 3-3759B2</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	<p>Was work performed by persons employed outside the United States who do not hold a U.S. airman certificate accomplished in accordance with the certificate holder's manual?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been maintained by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.361(b); 121.379(b)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>2. Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been altered by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.361(b); 121.379(b)</p> <p>3. Check at the air carrier specified location that records show that the use of airframe components, powerplants, appliances, and spare parts that have been inspected by persons employed outside the United States who do not hold U.S. airman certificates had been returned to service in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.361(b); 121.379(b)</p>	
1.6.	Was the facility surveilled by the certificate holder to determine that all work performed was accomplished in accordance with the requirements of the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Were the certificate holder's policies, procedures, instructions, and information for the Parts Pooling process followed?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that records show that the parts pooling maintenance procedures by the foreign air carrier, are in accordance with the Certificate Holder's design. <i>Sources:</i> D.081(b)</p> <p>2. Check at the air carrier specified location that records show that the control over subsequent revisions of parts pooling maintenance data by the foreign air carrier, is in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); D.081(b)</p> <p>3. Check at the air carrier specified location that the maintenance/inspection program ensured control and accountability over the means for identifying all Category II/III components used in the applicable aircraft systems from the existing parts pool and control of spare parts. <i>Sources:</i> FAA Order 8900.1, Volume I4, Chapter 2, Section 11, Paragraph 4-468B</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Parts Pooling process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Parts Pooling 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 Parts Pooling 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 Parts Pooling process.
2.	Identify the person who has overall authority for the Parts Pooling process.
3.	Review the duties and responsibilities for the person(s) who manage the Parts Pooling process.
4.	Review the appropriate organizational chart.
5.	Discuss the Parts Pooling 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 Parts Pooling 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 Parts Pooling 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 Parts Pooling 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 Parts Pooling process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Parts Pooling 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 Parts Pooling 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 Parts Pooling 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 Parts Pooling 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 Parts Pooling 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 Parts Pooling 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.