

Element Performance Inspection (EPI) Data Collection Tool

1.3.4 Required Inspection Items (RII) (AW)

ELEMENT SUMMARY INFORMATION

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

- To ensure all items of maintenance that must be inspected (RII), are inspected, by an authorized person who determined that the work was satisfactorily completed.

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 Required Inspection Items (RII) process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Required Inspections Items process.

Specific Instructions:

- To accomplish this EPI, the inspector will review aircraft maintenance records to discern if the completed maintenance performed was required to have an RII Inspection as identified by the certificate holder s manual. An individual that is properly certificated, trained, and qualified at the time of the inspection should accomplish the RII Inspection. Ensure the individual performing the RII Inspection did not participate in the actual work being performed. Ensure designated RII Inspectors are under the control of the inspection department. Review the certificate holder s list of identified RII items for completeness.

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)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 4.1.1 RII Personnel (AW)
- 4.1.2 Maintenance Certificate Requirements (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

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

- SRRs:
 - 121.365(c)
 - 121.367
 - 121.369(a)
 - 121.369(b)
 - 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)
 - D.084(e)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8900.1, Vol 3 Ch 43
 - AC 120-16D

| EPI Section 1 - Performance Observables | |
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| <p>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.</p> | |
| Tasks | |
| | To meet this objective, the inspector must accomplish the following tasks: |
| 1. | Review the information listed in the Supplemental Information section of this data collection tool. |
| 2. | Review the certificate holder's policies, procedures, instructions, and information for the Required Inspection Items (RII) process. |
| 3. | Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections. |
| 4. | Observe the certificate holder's Required Inspection Items (RII) process to gain an understanding of the procedures, instructions, and information. |
| 5. | Discuss the Required Inspection Items (RII) process with the personnel (other than management) who perform the duties and responsibilities required by the Required Inspection Item (RII) process. |

| Questions | | |
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| | To meet this objective, the inspector must answer the following questions: | |
| 1. | Were the following Performance Measures met: | |
| 1.1. | <p>Did the certificate holder prepare a current designation of the items of maintenance and alterations that must be inspected(RII)?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check, at the Technical Publications library, that specific required inspections were developed, controlled and reviewed in accordance with the air carriers design. <i>Sources:</i> FAA Order 8900.1, Vol. 3, Ch 43, Para 3-3870. 2. Check, at the technical publications library, that a current designation of items of maintenance and alteration that must be inspected was prepared in accordance with the certificate holders design. <i>Sources:</i> 121.367; 121.369(b); 121.369(b)(2) | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 1.2. | <p>Were RII functions performed by appropriately certificated, properly trained, qualified, and authorized individuals?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check, at the air carrier maintenance facility, that the certificate holder prepared and kept a current chart or description of its organization that performs any required inspections in accordance with its design <i>Sources:</i> 121.133(a); 121.135(a)(1); 121.369(a) 2. Check, at the air carrier maintenance facility, that the certificate holder prepared and kept a current list of persons with whom it has arranged for the performance of any of it's required inspections in accordance with its design <i>Sources:</i> 121.133(a); 121.135(a)(1); 121.369(a) | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

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| | <p>3. Check, at the technical publications library, that a designation, by occupational title, of personnel authorized to perform each required inspection is in the manual in accordance with the certificate holders design <i>Sources:</i> 121.367; 121.369(b); 121.369(b)(3)</p> <p>4. Check, at the aircraft records repository, that only persons that were appropriately certificated, properly trained, qualified, and authorized performed required inspections in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.371(a)</p> <p>5. Check, at the maintenance facility, that persons performing required inspections are appropriately certificated in accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.371(a)</p> <p>6. Check, at the maintenance facility, that persons performing required inspections hold the appropriate certificate in accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.378(a)</p> <p>7. Check, at the maintenance facility, that persons performing required inspections are authorized in accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.371(a)</p> | |
| 1.3. | <p>Were the persons who performed required inspections, on the current list of persons who have been trained, qualified and authorized to conduct required inspections? <i>Related Performance JTIs:</i></p> <p>1. Check, at the technical publications library, that a designation, by occupational title, of personnel authorized to perform each required inspection is in the manual in accordance with the certificate holders design <i>Sources:</i> 121.367; 121.369(b); 121.369(b)(3)</p> <p>2. Check, at the records repository, that required inspections were accomplished by personnel designated by occupational title in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(3)</p> <p>3. Check, at the maintenance facility, that a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections is maintained in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.371(d)</p> <p>4. Check, at the records repository, that it verified, in accordance with its design, that persons with whom it arranged to perform required inspections (RII) maintained a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections. <i>Sources:</i> 121.135(a)(1); 121.371(d)</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 1.4. | <p>Were the required inspections performed by persons other than those who performed the items of work required to be inspected?</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

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| | <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check, at the aircraft records repository, that no required inspections were performed by the person, who performed the item of work <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(7) | |
| 1.5. | <p>Did the person who prepared the airworthiness release or log book entry ensure all items that were required to be inspected were inspected by an authorized person who determined that the work was satisfactorily completed?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check, at the records repository, that items of maintenance and alteration listed on the current designation of items that must be inspected (required inspections), were inspected in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b)(2) 2. Check, at the maintenance facility, that the methods for performing required inspections are being accomplished in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(3) 3. Check, at the aircraft records repository, that all items that required inspection (RII), were inspected. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(6) | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 1.6. | <p>Were the required inspection functions separate from other maintenance actions?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check, at the air carrier maintenance facility, that the performance of RII functions were organized to ensure separation from other maintenance actions in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.365(c) 2. Check, at the records repository, that the certificate holder verified, in accordance with its design, that outsource maintenance providers, conducting RII functions for it, maintain separation between inspection and other maintenance functions within its organization. <i>Sources:</i> AC 120-16D 3. Check, at the records repository, that no decision of an inspector regarding any required inspection was countermanded by any person other than supervisory personnel of the inspection unit in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(8) 4. Check, at the records repository, that no decision of an inspector regarding any required inspection was countermanded by any person other than a person at that level of administrative control that has overall responsibility for the management of both the required inspection functions and the other maintenance, preventive maintenance, and alterations functions in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(8) 5. Check, at the maintenance facility, through interviews with inspection personnel, that they understand that any decision of an inspector, regarding any required inspection may not be countermanded by persons other than supervisory personnel of the inspection unit or a person at that level of administrative control that has overall responsibility for the management of both the required inspection functions and the other | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

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| | <p>maintenance, preventive maintenance, and alterations functions <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(8)</p> | |
| 1.7. | <p>Were Required Inspection Items identified on work documents in accordance with the certificate holder's policies and procedures?</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 2. | <p>Were the certificate holder's policies, procedures, instructions, and information for the Required Inspection Items (RII) process followed? <i>Related Performance JTIs:</i> 1. Check, at the aircraft, that the procedures, standards, and limits necessary for required inspections are used in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(5)</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 3. | <p>Were the Required Inspection Items (RII) process controls followed?</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 4. | <p>Did the records for the Required Inspection Items (RII) process comply with the instructions provided by the certificate holder? <i>Related Performance JTIs:</i> 1. Check, at the aircraft records repository, that instructions for re-inspection (buy back procedures) were followed in accordance with the certificate holders design <i>Sources:</i> 121.367; 121.369(b); 121.369(b)(4) 2. Check, at the aircraft records repository, that required inspection items that had been rejected were re-inspected in accordance with the certificate holders design (buy back procedures). <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(4) 3. Check, at the aircraft records repository, that accepted required inspection items were accepted in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(5) 4. Check, at the aircraft records repository, that rejected required inspection items were rejected in accordance with the certificate holders design. <i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(5)</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 5. | <p>Were the process measurements for the Required Inspection Items (RII) process effective in identifying problems or potential problems and providing corrective action for them?</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 6. | <p>Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

| EPI Section 1 - Performance Observables Drop-Down Menu | |
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| 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

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| | 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 Required Inspection Items (RII) process. |
| 2. | Identify the person that has overall authority for the Required Inspection Items (RII) process. |
| 3. | Review the duties and responsibilities for those who manage the Required Inspection Items (RII) process. |
| 4. | Review the appropriate organizational chart. |
| 5. | Discuss the Required Inspection Items (RII) 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

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| | 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 Required Inspection Items (RII) 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 Required Inspection Items (RII) 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 Required Inspection Items (RII) 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 Required Inspection Items (RII) process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 5. | Does the person with responsibility for the Required Inspection Items (RII) 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 & modify the Required Inspection Items (RII) meet the qualification standards? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |

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| 7. | Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Required Inspection Items (RII) 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 Required Inspection Items (RII) 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 Required Inspection Items (RII) 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 Required Inspection Items (RII) process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |

| EPI Section 2 - Management Responsibility & Authority Observables Drop-Down Menu | |
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| 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. |