Element Performance Inspection (EPI) Data Collection Tool
6.1.1 Scheduling / Reporting System (OP)

ELEMENT SUMMARY INFORMATION

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

- To ensure the certificate holder schedules airmen/crewmembers/dispatchers and maintains a Scheduling and Reporting System.

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 Scheduling/Reporting System.

- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Scheduling/Reporting System.

Specific Instructions:

- To accomplish this EPI, the inspector should be familiar with the certificate holder's scheduling software and dispatch procedures applicable to flight crewmembers, flight attendants, dispatchers, and flight followers. The records, information, and personnel needed for the completion of this EPI should be found at the certificate holder's operations center.

Related EPIs:

- 3.1.3 Airmen Duties / Flight Deck Procedures (OP)
- 4.2.3 Training of Flight Crewmembers (OP)
- 4.2.4 Training of Flight Attendants (OP)
- 4.2.5 Training of Dispatchers (OP)
- 4.2.7 Training of Check Airmen and Instructors (OP)
- 4.3.1 Pilot Operating Limitations / Recent Experience (OP)
- 4.3.2 Appropriate Airmen / Crewmember Checks and Qualifications (OP)
- 6.1.2 Flight Crewmember Flight / Duty / Rest Time (OP)
- 6.1.3 Flight Attendant Duty / Rest Time (OP)
- 6.1.4 Dispatcher Duty / Rest Time (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

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

- SRRs:

121.465(c)
121.467(b)
121.467(c)
121.470(a)
121.470(b)
121.471(a)(1)
121.471(a)(2)
121.471(a)(3)
121.471(a)(4)
121.471(b)(1)
121.471(b)(2)
121.471(b)(3)
121.471(d)
121.471(e)
121.471(f)
121.471(g)
121.480
121.481(a)
121.481(b)
121.481(c)
121.481(d)
121.481(e)
121.481(f)
121.483(a)
121.483(b)
121.483(c)(1)
121.483(c)(2)
121.483(c)(3)
121.485(a)
121.485(b)
121.485(c)(1)
121.485(c)(2)
121.485(c)(3)
121.487(a)
121.487(b)
121.487(c)
121.487(d)
121.487(e)
121.489
121.493(a)
121.493(b)
121.500
121.503(a)
121.503(b)
121.503(c)
121.503(d)
121.503(e)
121.503(f)(1)
121.503(f)(2)
121.503(f)(3)
121.505(a)
121.505(b)
121.507(a)(1)
121.507(a)(2)
121.507(b)
121.509(a)(1)
121.509(a)(2)

- SRRs:
  121.509(b)
  121.511(a)
  121.511(b)
  121.515
  121.517
  121.521(a)
  121.521(b)
  121.521(c)(1)
  121.521(c)(2)
  121.523(a)
  121.523(b)
  121.523(c)
  121.523(d)
  121.523(e)
  121.523(f)
  121.525(b)
  121.525(c)
  121.525(d)
  121.525(e)
  121.683(a)(1)
  121.683(a)(2)

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 policies, procedures, instructions, and information for the Scheduling/Reporting System.
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 Scheduling/Reporting System to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Scheduling/Reporting System 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.	Did the certificate holder maintain its records according to its Scheduling/Reporting System? *Related Performance JTIs:* 1. Check at the Certificate Holder's specified location that a current listing, including locations and persons responsible for each record, document, and report required to be kept by the Certificate Holder for scheduling and reporting of crewmembers and dispatchers is maintained and available to the Administrator. *Sources:* 119.59(b)(1)(ii) 2. Check at the Certificate Holder's specified location that the flight, duty and rest records are maintained in accordance with the Certificate Holder's manual design. *Sources:* 121.683(a)(1); 121.683(b)	☐ Yes ☐ No, Explain
1.2.	Did the certificate holder make requested records available in a timely manner? *Related Performance JTIs:* 1. Check at the Certificate Holder's specified location that the employee of, or person used by, the Certificate Holder who is responsible for maintaining the Certificate Holder's records makes those records available to the Administrator. *Sources:* 119.59(c)	☐ Yes ☐ No, Explain
1.3.	Did the certificate holder adhere to its policy for personnel scheduling and record	☐ Yes

	keeping?	☐ No, Explain
1.4.	Did the certificate holder follow its instructions on the use of records for scheduling crewmembers and dispatchers? *Related Performance JTIs:* 1. Check by observation at the Certificate Holder's specified location that the person responsible is using the records for scheduling crewmembers and dispatchers in accordance with the Certificate Holder's manual design. . *Sources:* 121.683(a)(1); 121.683(b)	☐ Yes ☐ No, Explain
1.5.	Did the certificate holder maintain the records of actions taken concerning the release from employment for physical or professional disqualification of any flight crewmember or aircraft dispatcher (domestic and flag operations only)? *Related Performance JTIs:* 1. Check that the Certificate Holder's specified location that the Certificate Holder has records for each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember or aircraft dispatcher (domestic operations only) within the last six months. *Sources:* 121.683(a)(2)	☐ Yes ☐ No, Explain ☐ Not Applicable
2.	Were the certificate holder's policies, procedures, instructions, and information, contained in its Scheduling/Reporting System, followed?	☐ Yes ☐ No, Explain
3.	Were the Scheduling/Reporting System controls followed?	☐ Yes ☐ No, Explain
4.	Did the records for the Scheduling/Reporting System comply with the instructions provided by the certificate holder?	☐ Yes ☐ No, Explain
5.	Were the process measurements for the Scheduling/Reporting System 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 Scheduling/Reporting System.
2.	Identify the person who has overall authority for the Scheduling/Reporting System.
3.	Review the duties and responsibilities for the person(s) who manage the Scheduling/Reporting System.
4.	Review the appropriate organizational chart.
5.	Discuss the Scheduling/Reporting 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 Scheduling/Reporting System?	☐ 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 Scheduling/Reporting System?	☐ Yes ☐ No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Scheduling/Reporting System?	☐ Yes ☐ No, Explain ☐ No Change
4.	Does the person with authority know that he/she has authority for the Scheduling/Reporting System?	☐ Yes ☐ No, Explain ☐ No Change
5.	Does the person with responsibility for the Scheduling/Reporting System meet the qualification standards?	☐ Yes ☐ No, Explain ☐ No Change
6.	Does the person with authority to establish and modify the Scheduling/Reporting System meet the qualification standards?	☐ Yes ☐ No, Explain ☐ No Change

7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Scheduling/Reporting System?	☐ Yes ☐ No, Explain ☐ No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Scheduling/Reporting System?	☐ Yes ☐ No, Explain ☐ No Change
9.	Does the responsible person know who has authority to establish and modify the Scheduling/Reporting System?	☐ Yes ☐ No, Explain ☐ No Change
10.	Does the individual with authority know who has the responsibility for the Scheduling/Reporting System?	☐ 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.