

## Element Performance Inspection (EPI) Data Collection Tool

### 7.2.1 Safety Program (Ground and Flight) (OP)

#### ELEMENT SUMMARY INFORMATION

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

- To ensure a comprehensive and effective Safety Program (Ground and Flight) is established and maintained to the highest possible degree of safety.

**Objective** (FAA oversight):

- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Safety Program (Ground and Flight).
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Safety Program (Ground and Flight).

**Specific Instructions:**

- To accomplish this EPI, the inspector should familiarize himself/herself with the Safety Program (Ground and Flight).

**Related EPIs:**

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#### SUPPLEMENTAL INFORMATION

**Specific Regulatory Requirements (SRRs):**

- SRRs:
  - 119.43(b)
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.43(c)
  - 119.65(a)
  - 119.65(a)(1)
  - 119.65(d)
  - 119.65(d)(1)
  - 119.65(d)(2)
  - 119.65(d)(2)(i)
  - 119.65(d)(2)(ii)
  - 119.65(d)(2)(iii)
  - 119.65(d)(2)(iv)
  - 119.65(d)(2)(v)
  - 119.65(d)(3)
  - 119.65(e)(1)
  - 119.65(e)(2)
  - 119.65(e)(3)
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)

- SRRs:  
A.006

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

- Related CFRs:  
Intentionally left blank
- FAA Policy/Guidance:  
Title 49 USC, subtitle VII, part A, chapter 447, paragraphs 44701 and 44702  
FAA Order 8740.1E  
FAA Order 8900.1, Volume 11, Chapter 1  
AC 00-58A  
AC 120-59A  
AC 120-66B

<b>EPI Section 1 - Performance Observables</b>	
<b>Objective:</b> 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.	
<b>Tasks</b>	
	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 Safety Program (Ground and Flight).
3.	Review the associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute sections.
4.	Observe the certificate holder's Safety Program (Ground and Flight) to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Safety Program (Ground and Flight) with the personnel (other than management) who perform the duties and responsibilities required by the program.

<b>Questions</b>		
	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	Did the safety incident/accident reporting system provide reports as specified by the certificate holder's Safety Program (Ground and Flight)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Were all accidents/incidents investigated in a timely manner?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Were safety audits/inspections conducted as specified by the certificate holder's Safety Program (Ground and Flight)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Was an Internal Evaluation Program (IEP) used?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Was an Operational Risk Assessment Program used?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	Did the Operational Risk Assessment Program include one of the risks such as flight, maintenance, or ground safety? <i>Related Performance JTIs:</i> 1. Check at the FAA or Air Carrier specified Location to determine the Certificate Holder includes procedures to provide service with the highest possible degree of safety in the public interest in accordance with the Certificate Holder's design. <i>Sources:</i> Title 49 USC, Subtitle VII, Part A, Subpart iii, Chapter 447, Paragraph 44701 2. Check at the FAA or Air Carrier specified Location to determine the Certificate holder specifies how the safety program will assign, maintain, and enhance safety and security as the highest priorities in air commerce in accordance with the Certificate Holder's design.	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<i>Sources:</i> Title 49 USC, Subtitle VII, Part A, Subpart I, Chapter 401, Paragraph 40101	
1.7.	<p>Were the identified safety concerns communicated to the appropriate parties to prevent those concerns from recurring?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the FAA or Air Carrier specified Location when the Certificate Holder detects a violation it expeditiously discloses it to the FAA, and takes prompt corrective action to ensure that the same or similar violation does not recur in accordance with the Certificate Holder's design. <i>Sources:</i> AC 00-58</li> <li>2. Check at the FAA or Air Carrier specified Location that the Certificate Holder includes procedures to identify and resolve safety related issues in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-59</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8.	Were routine monitoring and trend analysis programs used?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9.	Were results from external evaluation programs reviewed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.10.	<p>Did the safety committee meet as specified by the certificate holder's Safety Program (Ground and Flight)?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the FAA or Air Carrier specified Location that the Certificate Holder includes procedures to identify and resolve safety related issues in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-59</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.11.	Was the emergency response plan current?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.12.	Were employees/contractors provided with safety awareness information?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.13.	<p>Were employees/contractors provided with safety education?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the FAA or Air Carrier specified Location that the Certificate Holder collects safety data, which will be analyzed to develop corrective actions for identified safety concerns and to educate the appropriate parties, to prevent a reoccurrence of the same type of safety event in accordance with the Certificate Holder's design. <i>Sources:</i> AC 120-66B</li> <li>2. Check at the FAA or Air Carrier specified Location to determine the Certificate holder specifies how elements that should be considered in an Air Carriers safety program should include an active Aviation Safety Education Program in accordance with the Certificate Holder's design. <i>Sources:</i> Order 8740.1D Chapter 16, Section 1, 3. A.(6)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.14.	<p>Was the Director of Safety qualified for the position?</p> <p><i>Related Performance JTIs:</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>1. Check at the FAA or Air Carrier specified Location for the operations specifications (A006) and the management resume to verify that the Certificate Holder has a qualified person serving full time in the position or equivalent position of Director of Safety (DOS) in accordance with the Certificate Holder's design.</p> <p><i>Sources: 119.65(a)(1)</i></p>	
1.15.	Was the size and scope of the safety structure appropriate to the certificate holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, procedures, instructions, and information, for the Safety Program (Ground and Flight), followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Safety Program (Ground and Flight) controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Safety Program (Ground and Flight) 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 Safety Program (Ground and Flight) 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 and recognizes that responsibility and/or authority. (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 Safety Program (Ground and Flight).
2.	Identify the person who has overall authority for the Safety Program (Ground and Flight).
3.	Review the duties and responsibilities for those who manage the Safety Program (Ground and Flight).
4.	Review the appropriate organizational chart.
5.	Discuss the Safety Program (Ground and Flight) 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 Safety Program (Ground and Flight)?	<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 Safety Program (Ground and Flight)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Safety Program (Ground and Flight)?	<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 Safety Program (Ground and Flight)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Safety Program (Ground and Flight) 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 Safety Program (Ground and Flight) 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 Safety Program (Ground and Flight)?	<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 Safety Program (Ground and Flight)?	<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 Safety Program (Ground and Flight)?	<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 Safety Program (Ground and Flight)?	<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.