

Element Performance Inspection (EPI) Data Collection Tool

4.1.1 RII Personnel (AW)

ELEMENT SUMMARY INFORMATION

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

- To ensure each person used to perform required inspections holds the appropriate airman certificate, is properly trained, qualified, and authorized to perform required inspections.

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

Specific Instructions:

- To accomplish this EPI, the inspector should review the certificate holder's manual to determine appropriate certificate requirements, RII training requirements and personnel qualifications. The inspector will ensure that designated RII Inspectors are properly trained, qualified, and authorized in accordance with the certificate holder's program.

Related EPIs:

-

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.371(a)
 - 121.371(b)
 - 121.371(c)
 - 121.371(d)
 - 121.378(a)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
FAA Order 8900.1, Vol 3, Ch 24

| 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 information listed in the Supplemental Information section of this data collection tool. |
| 2. | Review the certificate holder's procedures, policies, instructions, and information for the RII Personnel 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 RII Personnel process to gain an understanding of the procedures, instructions, and/or information. |
| 5. | Discuss the RII Personnel process with personnel (other than management) who perform the duties and responsibilities required by the RII Personnel process. |

| Questions | | |
|------------------|---|--|
| | To meet this objective, the inspector must answer the following questions: | |
| 1. | Were the following Performance Measures met: | |
| 1.1 | <p>Did the current listing of RII personnel contain the name, occupational title, and the inspections the persons are authorized to perform for the certificate holder?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check, at the maintenance facility, that the certificate holder makes available its current listing of persons who have been trained, qualified, and authorized to conduct required inspections to the Administrator upon request</p> <p><i>Sources:</i> 121.135(b)(1); 121.371(d)</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 1.2. | <p>Did the personnel on the current RII list hold the appropriate airman certificate for the required inspection items they are authorized to perform for the certificate holder?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check, at the records repository, that the persons who performed RII inspections was appropriately certificated in accordance with the certificate holders design</p> <p><i>Sources:</i> 121.371(a); 121.378(a)</p> <p>2. Check, at the records repository, that the outsource provider who performed RII inspections for the certificate holder held the appropriate certificate in accordance with the certificate holders design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.378(a)</p> <p>3. Check, at the outsource provider, that persons who performed RII inspections for the certificate holder held the appropriate certificate in</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |

| | | |
|------|--|--|
| | <p>accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.378(a)</p> <p>4. Check, at the aircraft, that any person performing RII inspections holds the appropriate certificate in accordance with the certificate holders design <i>Sources:</i> 121.371(a); 121.378(a)</p> | |
| 1.3. | <p>Were the personnel on the current RII list properly trained, and qualified to conduct the required inspection items they are authorized to perform for the certificate holder? <i>Related Performance JTIs:</i></p> <p>1. Check, at the records repository, that the persons who performed RII inspections were appropriately qualified in accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.371(a)</p> <p>2. Check, at the records repository, that the certificate holder verified that outsource providers who performed RII inspections for it were appropriately qualified in accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.371(a)</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 1.4 | <p>Was written information given to the individuals authorized by the certificate holder to perform required inspection items, describing the extent of their responsibilities, authorities and inspectional limitations? <i>Related Performance JTIs:</i></p> <p>1. Check, at the inspection department, that the certificate holder verified that each outsource provider, gave written information to each person authorized to conduct RII for the certificate holder, describing the extent of his responsibilities, authorities and inspection limitations, in accordance with the certificate holders design <i>Sources:</i> 121.135(a)(1); 121.371(d)</p> <p>2. Check, at the outsource provider, that each person authorized to conduct RII for the certificate holder was given written information describing the extent of his responsibilities, authorities and inspection limitations <i>Sources:</i> 121.135(a)(1); 121.371(d)</p> | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 2 | Were the certificate holder's policies, procedures, instructions, and information for the RII Personnel process followed? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 3 | Were the RII Personnel process controls followed? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain |
| 4 | Did the records for the RII Personnel 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 RII Personnel process effective in identifying 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 |

| 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 that has overall responsibility for the RII Personnel process. |
| 2. | Identify the person that has overall authority for the RII Personnel process. |
| 3. | Review the duties and responsibilities for those who manage the RII Personnel process. |
| 4. | Review the appropriate organizational chart. |
| 5. | Discuss the RII Personnel 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 RII Personnel 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 procedures, policies or instructions, and information for the RII Personnel 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 RII Personnel 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 RII Personnel process? | <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change |
| 5. | Does the person with responsibility for the RII Personnel 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 RII Personnel 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 RII Personnel 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 RII Personnel 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 RII Personnel 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 RII Personnel 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 | |
|---|---|
| 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. |