

## Element Performance Inspection (EPI) Data Collection Tool

### 4.1.2 Maintenance Certificate Requirements (AW)

#### ELEMENT SUMMARY INFORMATION

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

- To ensure that personnel directly in charge of maintenance, preventative maintenance, or alterations are appropriately certificated and adequately trained.

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

**Specific Instructions:**

- To accomplish this EPI, the inspector will ensure that person(s) performing required inspections, signing aircraft airworthiness release, and/or log entries, hold an appropriate airman certificate and have been trained in accordance with the certificate holder's process.

**Related EPIs:**

- 1.3.1 Maintenance Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.7 Outsource Organization (AW)
- 1.3.11 Continuous Analysis and Surveillance (CAS) (AW)
- 1.3.14 General Maintenance Manual / Equivalent (AW)
- 4.2.1 Maintenance Training Program (AW)
- 5.1.1 Line Stations (AW)
- 7.1.1 Director of Maintenance (AW)
- 7.1.2 Chief Inspector (AW)
- 7.1.3 Director of Safety (AW)

#### SUPPLEMENTAL INFORMATION

**Specific Regulatory Requirements (SRRs):**

- SRRs:
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.371(a)
  - 121.375
  - 121.378(a)
  - 121.378(b)

- SRRs:  
121.383(a)(1)  
121.709(b)(3)

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

- Related CFRs:  
Intentionally left blank
- FAA Policy/Guidance:  
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### 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Maintenance Certificate Requirements 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.	<p>Were personnel directly in charge of maintenance available for consultation when supervising personnel?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the maintenance facility that the person who is "directly in charge" is available for consultation and decision making regarding matters requiring instruction or decision from higher authority than that of the persons performing the work.</p> <p><i>Sources:</i> 121.378(b)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	<p>Were personnel directly in charge of maintenance adequately trained?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the training center that the training course syllabus contains information about procedures and techniques and new equipment in use in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.375</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	<p>Were personnel directly in charge of maintenance appropriately certificated?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the maintenance facility that each person who is directly in charge of maintenance, preventative maintenance, or alteration hold an appropriate airman certificate.</p> <p><i>Sources:</i> 121.378(a)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>2. Check at each maintenance facility, located in Canada and contracted by the Certificate Holder, that each person performing maintenance, preventative maintenance, alterations and approves the affected aircraft for return to service holds a valid Canadian Department of Transport license (Aircraft Maintenance Engineer) and the appropriate ratings with respect to a U.S.- registered aircraft located in Canada. <i>Sources: 43.17(c)(1)</i></p> <p>3. Check each Approved Maintenance Organization (AMO) authorized by the Certificate Holder, that their system of quality control for the maintenance, alteration, and inspection of aeronautical products has been approved by the Canadian Department of transport, with respect to a U.S. - registered aircraft located in Canada or other U.S. aeronautical products transported to Canada from the United States to perform maintenance, preventative maintenance, alterations and approve the affected products for return to service. <i>Sources: 43.17(c)(2)</i></p> <p>4. Check at the Approved Maintenance Organization (AMO) authorized by the Certificate Holder, that persons who are authorized to perform work for the AMO may, with respect to a U.S. - registered aircraft located in Canada or other U.S. aeronautical products transported to Canada from the United States, perform maintenance, preventative maintenance, alterations and approve the affected products for return to service. <i>Sources: 43.17(c)(2)</i></p>	
1.4.	<p>Were required inspection items performed by an authorized and appropriately certificated airman? <i>Related Performance JTIs:</i></p> <p>1. Check at the maintenance facility that each person performing required inspections hold an appropriate airman certificate. <i>Sources: 121.378(a)</i></p> <p>2. Check at the Approved Maintenance Organization (AMO) authorized by the Certificate Holder, that persons who are authorized to perform work for the AMO may, with respect to a U.S. - registered aircraft located in Canada or other U.S. aeronautical products transported to Canada from the United States, perform maintenance, preventative maintenance, alterations and approve the affected products for return to service. <i>Sources: 43.17(c)(2)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	<p>Were aircraft airworthiness releases signed by an authorized and properly certificated airman?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	<p>Were aircraft log entries signed by an authorized and properly certificated airman?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Were the certificate holder's policies, procedures, instructions, and information for the Maintenance Certificate Requirements process followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	<p>Were the Maintenance Certificate Requirements process controls followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	<p>Did the records for the Maintenance Certificate Requirements process comply with the instructions provided by the certificate holder?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	<p>Were the process measurements for the Maintenance Certificate Requirements 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.	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
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<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:** To determine if the person identified by the certificate holder as having responsibility and/or authority for the Outsource Organization process is qualified, knowledgeable, 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 Maintenance Certificate Requirements process.
2.	Identify the person who has overall authority for the Maintenance Certificate Requirements process.
3.	Review the duties and responsibilities of the person(s) who manage the Maintenance Certificate Requirements process.
4.	Review the appropriate organizational chart.
5.	Discuss the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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 Maintenance Certificate Requirements 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.