

**Element Performance Inspection (EPI) Data Collection Tool**  
**1.3.4 Required Inspection Items (RII) (AW)**  
**Revision#: 4 Revision Date: 09/30/2013**

**ELEMENT SUMMARY INFORMATION**

**Scope of Element:**

**Purpose** (operator's responsibility): To ensure all Required Inspection Items (RII) are inspected by an authorized person who determines that the work was satisfactorily completed.

**Objective** (FAA oversight responsibility): To determine:

- The effectiveness of the operator's procedures in meeting the desired output of the process,
- If the operator follows its procedures, controls, process measurements, and interfaces, and
- If there were any changes in the personnel identified by the operator as having responsibility and/or authority, for the Required Inspection Items process.

**Specific Instructions:**

Intentionally left blank

**Related EPIs:**

Intentionally left blank

**SUPPLEMENTAL INFORMATION**

**Regulatory Requirements:**

- 121.135, Manual contents
- 121.365, Maintenance, preventive maintenance, and alteration organization.
- 121.367, Maintenance, preventive maintenance, and alterations programs.
- 121.369, Manual requirements.
- 121.371, Required inspection personnel.
- 121.373, Continuing analysis and surveillance.

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

**Related CFRs:**

Intentionally left blank

**FAA Policy/Guidance:**

FAA Order 8900.1, Volume 3, Chapter 43, Section 1  
AC 120-16, Air Carrier Maintenance Programs

<b>EPI SECTION 1 - PERFORMANCE OBSERVABLES</b>		
<b>Objective:</b>		
The tasks and questions in this section of the EPI are designed to assist in determining if the operator follows its written procedures and controls and meets the established performance measures of the process. The initial series of questions address the output(s) of the process and the last several questions address whether or not various aspects of the process were followed.		
<b>Tasks</b>		
	The inspector shall accomplish the following tasks:	
1	Review the information listed in the Supplemental Information Section of this DCT.	
2	Review policies, procedures, instructions, and information for this element.	
3	Review the most recently accomplished Safety Attribute Inspection (SAI) for this element.	
4	Observe the performance of this element to gain an understanding of the procedures, instructions, and information.	
5	Discuss this element with the personnel who perform the duties and responsibilities required by the process.	
<b>Questions</b>		
1.1	<p>Did the operator prepare a current chart or description of the organization and a list of persons, by occupational title, who will perform required inspections?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.2	<p>Did the operator prepare a current designation of items of maintenance and alterations for each make/model/series of aircraft operated, that must be inspected, Required Inspection Items (RII), and are they separate from the performance of other maintenance, preventative maintenance, and alteration functions?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.3	<p>Were the operator's policies and procedures for RII followed, including those carried out by another person (maintenance provider)?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that instructions for re-inspection, (buy back procedures) were followed per the operator's design</li> </ol> <p style="margin-left: 40px;"><i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(4)</p> <ol style="list-style-type: none"> <li>2. Check that accepted and rejected required inspection items were accomplished per the operator's design</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	<i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(5)	
1.4	<p>Were RII identified on work documents in accordance with the operator's procedures?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.5	<p>Were RII functions performed by appropriately authorized individuals on the current list?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that a list of persons, identified by name, occupational title, and the inspections they are authorized to perform, is maintained per the operator's design</li> </ol> <p><i>Sources:</i> 121.135(a)(1); 121.371(d)</p> <ol style="list-style-type: none"> <li>2. Check, to ensure the operator verified that persons with whom it arranged to perform required inspections (RII) maintained a list of persons, identified by name, occupational title, and the inspections they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections.</li> </ol> <p><i>Sources:</i> 121.135(a)(1); 121.371(d)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.6	<p>Were the required inspections that were not completed as a result of shift changes and/or re-inspection of previous inspection findings properly documented and completed before the aircraft was released to service?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.7	<p>Were the required inspections performed by persons other than those who performed the items of work required to be inspected?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that no required inspections were performed by the person, who performed the item of work</li> </ol> <p><i>Sources:</i> 121.135(a)(1); 121.367; 121.369(b); 121.369(b)(7)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.8	<p>Did the operator follow policies, procedures, instructions and information for this element?</p> <p>Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.9	Did the operator follow controls for this element?	<input type="checkbox"/> Yes

	Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.10	Did the records for this element comply with the instructions?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.11	Were the process measurements for this element: <ul style="list-style-type: none"> <li>• Effective in identifying actual or potential problems, and</li> <li>• Did the operator identify and take corrective action for identified problems?</li> </ul> Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.12	Did the operator follow its method for evaluating the impact of changes in this process to other related processes that interface with this process?  Updated: Rev # 4 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.13	Did the observed interactions between personnel accomplishing interfacing processes produce the desired result?  Updated: Rev # 4 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

**EPI SECTION 1 - PERFORMANCE OBSERVABLES**  
**Drop-Down Menu**

1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Policies, procedures, instructions, or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

<b>EPI SECTION 2 - MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES</b>	
<b>Objective:</b>	
Answers to questions in this section address the responsibility and authority of the people who manage this process. They will help determine if there is a qualified and knowledgeable person who:	
<ul style="list-style-type: none"> <li>• Is responsible for the process,</li> <li>• Is answerable for the quality of the process,</li> <li>• Has the authority to establish and modify the process.</li> </ul>	
<b>Note:</b> <i>The person with the authority may or may not be the person with the responsibility.</i>	
<b>Tasks</b>	
	The inspector shall accomplish the following tasks:
1	Identify the person who has overall responsibility for the processes associated with this element.
2	Identify the person who has overall authority for the processes associated with this element.
	<b>Note:</b> If there have been no major changes in key personnel or the program since the last SAI or EPI was accomplished, then only answer questions 1 and 2 below, and select "No Change" (N/C) for the remaining questions. If changes have occurred that affect the responsibility or authority attributes for this element, then accomplish all tasks and answer all questions.
3	Review the duties and responsibilities for the person(s) who manage the processes associated with this element.
4	Review the appropriate organizational chart.
5	Discuss the processes associated with this element with the management personnel identified in tasks 1 and 2.
6	Review the qualifications and work experience of the management personnel identified in tasks 1 and 2.

<b>Questions</b>		
2.1	Is the identified person who is responsible for the quality of the processes associated with this element actively filling that position?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.2	Is the identified person who has authority to establish and modify the operator's policies, procedures, instructions and information for the processes associated with this element actively filling that position?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.3	Does the responsible person know that he/she has responsibility for the processes associated with this element?  Updated: Rev # 2 on 03/03/2010	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable

	Kind Of Question: Flag, Supplemental, Domestic	
2.4	Does the person with authority know that he/she has authority for the processes associated with this element?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.5	Does the person with responsibility for the processes associated with this element meet the qualification and work experience standards?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.6	Does the person with authority to establish and modify the processes associated with this element meet the qualification and work experience standards?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.7	Does the person with responsibility understand the controls, process measurements, and interfaces associated with this element?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.8	Does the person with authority understand the controls, process measurements, and interfaces associated with this element?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.9	Does the person with responsibility know who has authority to establish and modify the processes associated with this element?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable
2.10	Does the person with authority know who has the responsibility for the processes associated with this element?  Updated: Rev # 2 on 03/03/2010 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change <input type="checkbox"/> Not Observable

<b>EPI SECTION 2 - MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES</b>	
<b>Drop-Down Menu</b>	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand policies, procedures, instructions, or 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.