

Element Performance Inspection (EPI) Data Collection Tool
4.3.3 Advanced Qualification Program (AQP) (OP)
Revision#: 7 Revision Date: 09/30/2013

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): To ensure that the operator's Advanced Qualification Program (AQP) provides training that supports safe and reliable operations.

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 Advanced Qualification Program.

Specific Instructions:

- To accomplish this EPI the inspector should become familiar with, and observe training and qualification events conducted in accordance with, the operator's approved AQP.
- This EPI should be assigned to an aircrew program manager (APM), a partial program manager (PPM), an assistant APM, or a specially trained member of the CMT.
- The 4.2 Training Program elements, as applicable, still apply to operators with an Advance Qualification Program (AQP). The requirements of 14 CFR parts 61, 63, 65, 121, and/or the practical test standards (PTS) not specifically addressed in an approved AQP curriculum continue to apply to the operator.

Related EPIs:

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SUPPLEMENTAL INFORMATION

Regulatory Requirements:

- 119.43, Certificate holder's duty to maintain operations specifications.
- 121.135, Manual contents
- 121.403, Training program: Curriculum.
- 121.405, Training program and revision: Initial and final approval.
- 121.407, Training program: Approval of airplane simulators and other training devices.
- 121.422, Aircraft dispatchers: Initial and transition ground training.
- 121.903, General requirements for Advanced Qualification Programs
- 121.909, Approval of Advanced Qualification Program
- 121.911, Introduction curriculum
- 121.913, Qualification curriculum
- 121.915, Continuing qualification curriculum
- 121.917, Other requirements
- 121.919, Certification
- 121.921, Training devices and simulators

121.923, Approval of training qualification, or evaluation by a person who provides training by arrangement
121.925, Recordkeeping requirements

Related CFRs & FAA Policy/Guidance:

Related CFRs:

Intentionally left blank

FAA Policy/Guidance:

FAA Order 8000.88, PRIA Guidance for FAA Inspectors, Chapter 1-3.
AC 120-29, Criteria for Approval of Category I and Category II Weather Minima for Approach.
AC 120-54, Advanced Qualification Program.
AC 120-68, Pilot Records Improvement Act of 1996.

EPI SECTION 1 - PERFORMANCE OBSERVABLES	
Objective: 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.	
Tasks	
	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.

Questions		
1.1	<p>Did the operator or training center maintain its records in sufficient detail to establish the qualification of personnel trained under the Advanced Qualification Program (AQP)?</p> <p>Updated: Rev # 3 on 12/03/2009 SRRs: 121.925 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check that the operator using AQP maintains current records of each crewmember and aircraft dispatcher. <i>Sources:</i> 121.135(b)(26); 121.683(a)(1) 2. Check that the operator using AQP maintains records of each crewmember and aircraft dispatcher (domestic and flag operations only) for each action taken concerning the release from employment or physical or professional disqualification of any flight crewmember and keep the record for at least six months thereafter. <i>Sources:</i> 121.135(b)(26); 121.683(a)(2) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.2	<p>Were all training devices and/or flight simulators used by the operator or training center properly evaluated and approved for the AQP?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable

	<p>1. Check that each simulator used under AQP has been given a functional preflight check before being used.</p> <p><i>Sources:</i> 121.407(a)(4)</p> <p>2. Check that for each simulator used under AQP the operator keeps a daily discrepancy log with each discrepancy entered in that log by the appropriate instructor or check airman at the end of each training or check flight.</p> <p><i>Sources:</i> 121.407(a)(5)</p>	
1.3	<p>Were flight crewmembers properly paired?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.4	<p>Did the person used in a seat substitution meet the AQP requirements to occupy that seat?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.5	<p>Did the operator adhere to its instructor quality assurance program?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.6	<p>Did the operator adhere to its evaluator quality assurance program?</p> <p>Updated: Rev # 3 on 12/03/2009 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 instructors qualified for the module they were teaching?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.8	<p>Did the operator or the training center utilized by the operator, conduct AQP training for newly hired personnel, instructors, and evaluators in accordance with its approved program?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check that the operator using AQP is conducting indoctrination for newly hired personnel.</p> <p><i>Sources:</i> 121.135(b)(15); 121.911(a)</p> <p>2. Check that the operator using AQP is conducting indoctrination for its</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	<p>instructors.</p> <p>Sources: 121.135(b)(15); 121.911(c)</p> <p>3. Check that the operator using AQP is conducting indoctrination for its evaluators.</p> <p>Sources: 121.135(b)(15); 121.911(d)</p>	
1.9	<p>If the operator using the AQP contracts with another party to conduct training, qualifications, or evaluations, were those activities conducted in accordance with the operator's approved program?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check that the operator using AQP, that had AQP required training, qualification, or evaluation functions performed by another person (a training center), that the training, qualification, or evaluation was conducted in accordance with the operator's program.</p> <p>Sources: 121.135(b)(15); 121.135(b)(26); 121.923(a)(1); 121.923(a)(2); 121.923(a)(3); 121.923(c)(1); 121.923(c)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.10	<p>Did the operator follow policies, procedures, instructions, and information for this element?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.11	<p>Did the operator follow controls for this element?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.12	<p>Did the records for this element comply with the instructions?</p> <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.13	<p>Were the process measurements for this element:</p> <ul style="list-style-type: none"> • Effective in identifying actual or potential problems; and • Did the operator identify and take corrective action for identified problems? <p>Updated: Rev # 3 on 12/03/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.14	<p>Did the operator follow its method for evaluating the impact of changes in this process to other related processes that interface with this process?</p> <p>Updated: Rev # 7 on 09/30/2013</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable

	Kind Of Question: Flag, Supplemental, Domestic	
1.15	<p>Did the observed interactions between personnel accomplishing interfacing processes produce the desired result?</p> <p>Updated: Rev # 7 on 09/30/2013 Kind Of Question: Flag, Supplemental, Domestic</p>	<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.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Objective:	
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"> • Is responsible for the process, • Is answerable for the quality of the process, • Has the authority to establish and modify the process. 	
Note: <i>The person with the authority may or may not be the person with the responsibility.</i>	
Tasks	
	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.
	Note: 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.

Questions		
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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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 # 3 on 12/03/2009	<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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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 # 3 on 12/03/2009 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

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
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.