Element Performance Inspection (EPI) Data Collection Tool
5.1.8 Extended Operations (ETOPS) (OP)

ELEMENT SUMMARY INFORMATION

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

- To ensure that the certificate holder provides safe and reliable operations in accordance with their approved ETOPS authorization.

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 Extended Operations (ETOPS) process.

- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Extended Operations (ETOPS) process.

Specific Instructions:

- To accomplish this EPI, the inspector should become familiar with the certificate holder's operations specifications and Extended Operations (ETOPS) procedures.

Related EPIs:

- 1.1.2 Appropriate Operational Equipment (AW)
- 3.1.3 Airmen Duties / Flight Deck Procedures (OP)
- 3.1.4 Operational Control (OP)
- 3.1.9 Aircraft Performance Operating Limitations (OP)
- 3.2.1 Dispatch / Flight Release (OP)
- 3.2.3 MEL / CDL Procedures (OP)
- 4.2.3 Training of Flight Crewmembers (OP)
- 4.2.5 Training of Dispatchers (OP)
- 4.2.9 Outsource Crewmember Training (OP)
- 4.2.11 Training of Flight Followers (OP)
- 4.3.2 Appropriate Airmen / Crewmember Checks and Qualifications (OP)
- 5.1.6 Use of Approved Areas, Routes and Airports (OP)
- 5.1.7 Special Navigation Areas of Operation (OP)
- 5.1.9 RVSM Authorization (AW)
- 6.1.1 Scheduling / Reporting System (OP)
- 7.2.1 Safety Program (Ground and Flight) (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
  119.33(a)(1)
  119.33(a)(2)
  119.33(a)(3)
  119.43(b)

- SRRs:

119.43(b)(1)
119.43(b)(2)
119.43(c)
119.49
119.49(a)
119.49(b)
119.5(f)(1)
119.5(f)(2)
121.106(a)
121.106(a)(1)
121.106(a)(2)
121.106(b)
121.122(a)
121.122(b)
121.122(c)
121.135(a)(1)
121.135(b)
121.135(b)(1)
121.135(b)(10)
121.135(b)(19)
121.135(b)(2)
121.135(b)(21)
121.135(b)(24)(i)
121.135(b)(24)(ii)
121.135(b)(3)
121.135(b)(5)
121.135(b)(6)
121.135(b)(7)
121.161(a)
121.161(a)(1)
121.161(a)(2)
121.161(a)(3)
121.161(d)
121.383(a)(1)
121.383(a)(2)
121.383(a)(3)
121.415(a)
121.415(a)(4)
121.565(a)
121.565(b)(2)
121.565(c)
121.624(a)
121.624(b)
121.624(b)(1)
121.624(b)(2)
121.624(c)
121.624(d)
121.631(c)
121.631(c)(1)
121.631(c)(2)
121.631(d)
121.631(e)
121.631(f)
121.633(a)
121.633(b)
121.633(b)(1)
121.633(b)(2)

- SRRs:

  121.646(a)
  121.646(a)(1)
  121.646(a)(2)
  121.646(a)(3)
  121.646(b)
  121.646(b)(1)(i)
  121.646(b)(1)(i)(A)
  121.646(b)(1)(i)(B)
  121.646(b)(1)(i)(C)
  121.646(b)(1)(ii)
  121.646(b)(1)(iii)
  121.646(b)(1)(iii)(A)
  121.646(b)(1)(iii)(B)
  121.646(b)(1)(iv)
  121.646(b)(2)
  121.646(b)(3)
  121.687(a)
  121.687(a)(6)
  121.689(a)
  121.689(a)(8)
  121.97(b)(1)(ii)
  121.99(c)
  121.99(d)
  121.99(e)
  121 App.P
  B.042
  B.055
  C.055
  D.086

Related CFRs & FAA Policy/Guidance:

- Related CFRs:

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- FAA Policy/Guidance:

  FAA Order 8900.1, Volume 3, Chapter 18, Section 4
  FAA Order 8900.1, Volume 4, Chapter 6, Section 3
  AC 120-42A

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 policies, procedures, instructions, and information for the Extended Operations (ETOPS) 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 Extended Operations (ETOPS) process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Extended Operations (ETOPS) 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.	Were en route alternate criteria met for ETOPS?	☐ Yes ☐ No, Explain
1.2.	Were crewmembers qualified in the certificate holder's ETOPS operations?	☐ Yes ☐ No, Explain
1.3.	Did all airports used in ETOPS have safe conditions and adequate ground equipment?	☐ Yes ☐ No, Explain
1.4.	Were only airplanes listed in operations specifications D086 used in ETOPS operations?	☐ Yes ☐ No, Explain

2.	Were the certificate holder's policies, procedures, instructions, and information for the Extended Operations (ETOPS) process followed?
	
	Related Performance JTIs:
	1. Check at air carrier specified location that the Certificate Holder has conducted flag ETOPS as provided by its operations specifications.
	    Sources: 119.49(a)
	2. Check at air carrier specified location that the Certificate Holder has conducted supplemental ETOPS as provided by its operations specifications.
	    Sources: 119.49(b)
		☐ Yes
		☐ No, Explain

3.	Were the Extended Operations (ETOPS) process controls followed?	☐ Yes ☐ No, Explain
4.	Did the records for the Extended Operations (ETOPS) process comply with the	☐ Yes

	instructions provided by the certificate holder?	☐ No, Explain
5.	Were the process measurements for the Extended Operations (ETOPS) process effective in identifying problems or potential problems and providing corrective action for them?	☐ Yes ☐ 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?	☐ Yes ☐ 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 who has overall responsibility for the Extended Operations (ETOPS) process.
2.	Identify the person who has overall authority for the Extended Operations (ETOPS) process.
3.	Review the duties and responsibilities for those who manage the Extended Operations (ETOPS) process.
4.	Review the appropriate organizational chart.
5.	Discuss the Extended Operations (ETOPS) 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 Extended Operations (ETOPS) process?	☐ Yes ☐ 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 Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain ☐ No Change
4.	Does the person with authority know that he/she has authority for the Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain ☐ No Change
5.	Does the person with responsibility for the Extended Operations (ETOPS) process meet the qualification standards?	☐ Yes ☐ No, Explain ☐ No Change
6.	Does the person with authority to establish and modify the Extended Operations (ETOPS) process meet the qualification standards?	☐ Yes ☐ No, Explain ☐ No Change

7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain ☐ No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain ☐ No Change
9.	Does the responsible person know who has authority to establish and modify the Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain ☐ No Change
10.	Does the individual with authority know who has the responsibility for the Extended Operations (ETOPS) process?	☐ Yes ☐ No, Explain ☐ 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.