

Revision: 16.0 on 09/19/2019

DCT To Go Report

CH/A: JN1R - ALTA AVIONICS LLC DCT ID: 41276-FY21Q2-4.4.6-0001 MLF Label: Record Systems DCT Type: ED DCT Specialty: Airworthiness DCT Revision: 16.0 on 09/19/2019 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): To record/document maintenance and alterations on aircraft and/or parts thereof.

Objective (FAA Responsibility): Determine if the CH will be able to; (1) Comply with regulations; (2) Produce records/documents of maintenance and alterations on aircraft and parts thereof; (3) Periodically verify records/documents meet the requirements of the RSM and/or QCM.

Common Data Fields

<input type="checkbox"/> *If work is offsite of the airfield, include one of the following		◦ City	
▷ Address:		◦ State	
▷ Latitude/Longitude:		◦ Postal Code	
Start Date		◦ Country	
End Date		◦ Latitude	
Location: (Nearest) Airfield		◦ Longitude	
◦ Address 1		Related/Affiliated Maintenance Designator	
◦ Address 2		CH/A Provided	No
◦ Address 3			

Supplemental Information

SRR
145.205(a), 145.209(i), 145.219(a), 145.219(b), 145.219(c), 145.219(d), 145.221(a), 145.221(b), 145.221(e), 43.5, 43.5(a), 43.5(b), 43.5(c), 43.9(a)

Advisory Circular (AC)
AC-145-10, AC-145-9

FAA Order 8900.1
8900.1 Vol 6 Ch 9 Sec 6

PI Instructions

Questions	Answers	Response Detail, Comments and Actions
4.4.6 Record Systems		
2 Does the process design ensure the individual with responsibility provides both financial and human resources for the safety and quality performance of this element? Safety Attribute: Responsibility, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:48 PM , QID: 51943, Response Details: Responsibility ED/EP/SP DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No	
4 Is the person with authority clearly identifiable, qualified and knowledgeable to effectively plan, direct and control resources, change procedures and make key determinations including safety risk acceptance decisions for this element? Safety Attribute: Authority, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:48 PM , QID: 51944, Response Details: Authority ED/EP/SP DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No	
6 Do process measurement(s) exist to evaluate the performance of this element and implement corrective action if necessary? Safety Attribute: Process Measurement, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:48 PM , QID: 51945, Response Details: Process Measurement ED/EP/SP DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No	

Questions	Answers	Response Detail, Comments and Actions
<p>7 Does the manual describe the required records and the recordkeeping system used to:</p> <p>#1. Obtain required records; #2. Store required records; and #3. Retrieve required records?</p> <p>REFERENCES: SRR 145.209(i)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 7/4/2014 2:09:20 PM , QID: 6194, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>8 Do the procedures specify that all records are retained in English and in a format acceptable to the FAA?</p> <p>REFERENCES: SRR 145.219(a)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 1 5/14/2014 10:51:14 AM , QID: 6198, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>9 Do the procedures specify that records must be retained for at least two years from the date the article is approved for return to service?</p> <p>REFERENCES: SRR 145.219(c)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 1 5/14/2014 10:51:14 AM , QID: 6199, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>10 Do the procedures specify who reviews the records for accuracy and completeness before approval for return to service?</p> <p>REFERENCES: Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 6</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/18/2015 9:00:06 AM , QID: 6200, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>11 Do the procedures specify that records must be made available for inspection by the FAA and NTSB?</p> <p>REFERENCES: SRR 145.219(d) Advisory Circular (AC) AC-145-9</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 3/29/2014 7:31:15 AM , QID: 6201, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>13 Do the procedures require personnel to be trained on recordkeeping procedures?</p> <p>REFERENCES: Advisory Circular (AC) AC-145-10</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 1 5/14/2014 10:51:14 AM , QID: 6203, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>14 Do the procedures specify that a copy of the maintenance release is provided to the Owner/Operator for:</p> <p>#1. Maintenance; #2. Preventive maintenance; or #3. Alteration(s)?</p> <p>REFERENCES: SRR</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	

Questions	Answers	Response Detail, Comments and Actions
<p>145.219(b) Advisory Circular (AC) AC-145-9</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 7/4/2014 2:09:20 PM , QID: 6204, Response Details: EP & ED DCTs (Both OP and AW)</p>		
<p>17 Do the procedures specify that FAA Form 8130-3, or other means of documenting return to service, include a:</p> <p>#1. Description of the work performed; #2. Record of the parts used (as applicable); #3. Return to service date; #4. Name of the person who performed the work; #5. Signature and certificate number of the person performing the work; and #6. Total time of LLP or time since the last overhaul (as applicable)?</p> <p>REFERENCES: Advisory Circular (AC) AC-145-9</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 7/4/2014 2:14:43 PM , QID: 6220, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>19 Do the procedures require that SDRs be reported to the FAA within 96 hours of discovery of serious failures, malfunctions, or defects of an article?</p> <p>REFERENCES: SRR 145.221(a)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 1 5/14/2014 10:51:14 AM , QID: 6231, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>20 Do the procedures require all SDRs to be documented with the following information:</p> <p>#1. Aircraft registration number; #2. Type, make, and model of the article; #3. Date of discovery of the failure, malfunction, or defect; #4. Nature of the failure, malfunction, or defect; #5. Time since last overhaul, as applicable; #6. Apparent cause of the failure, malfunction, or defect; and #7. Other pertinent information necessary for complete identification, determination of seriousness, or corrective action?</p> <p>REFERENCES: SRR 145.221(b)</p> <p>NOTE: The SDR must include as much of the information as is available.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 7/4/2014 2:14:44 PM , QID: 6232, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>21 Do the procedures describe how all records are checked for completeness and accuracy?</p> <p>REFERENCES: FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 6</p> <p>NOTE: All records include records of maintenance, inspection, and engineering.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 3/18/2015 9:00:07 AM , QID: 6240, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	
<p>22 Do the procedures require maintenance records to reflect the requirements of the Air Carrier/Air Operator's manual?</p> <p>REFERENCES: SRR 145.205(a) Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 6</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	

Questions	Answers	Response Detail, Comments and Actions
<p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") AND (OTHER CERTIFICATES OR APPROVALS = "PERFORMS AIR CARRIER MAINTENANCE") THEN ACTIVATE QUESTION, Rev. 2 3/18/2015 9:00:07 AM , QID: 6241, Response Details: EP & ED DCTs (Both OP and AW)</p>		
<p>27 Do the procedures include instructions for how to process records of any special inspection such as hydrostatic tests?</p> <p>REFERENCES: Advisory Circular (AC) AC-145-9</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 1 5/14/2014 10:51:14 AM , QID: 6255, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	
<p>28 Do the procedures specify instructions and methods for retaining the required personnel roster and the associated history of added or removed personnel authorizations?</p> <p>REFERENCES: FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 6</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 3/18/2015 9:00:07 AM , QID: 6256, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	
<p>30 Do the procedures require, when approving for return to service any aircraft, airframe, aircraft engine, propeller, or appliance, that has undergone maintenance, or alteration that:</p> <p>#1. A maintenance record entry be made per 43.9 or 43.11, as appropriate;</p> <p>#2. A repair or alteration FAA Form authorized by or furnished by the FAA to be executed as prescribed by the FAA; and</p> <p>#3. Any aircraft operating limitations or flight data contained in the approved aircraft flight manual changed by repairs or alterations be revised and set forth as prescribed in 91.9?</p> <p>REFERENCES: SRR 43.5, 43.5(a), 43.5(b), 43.5(c)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 12/28/2016 9:28:12 AM , QID: 6263, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	
<p>31 Do the procedures specify that maintenance entries include:</p> <p>#1. A description of the work performed;</p> <p>#2. The date the work is completed; and</p> <p>#3. The identification of the person performing the work?</p> <p>REFERENCES: SRR 43.9(a)</p> <p>NOTE: The description of work should thoroughly describe the work performed including all discrepancies, parts used, and any special processes.</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 7/4/2014 2:14:45 PM , QID: 6267, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	
<p>33 Does the RSM have a procedure for reporting SDRs on behalf of a 121 certificate holder that includes:</p> <p>#1. Notifying the 121 certificate holder when a report is filed; and</p> <p>#2. Providing a copy of the SDR to the 121 certificate holder?</p> <p>REFERENCES: SRR 145.221(e)</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") AND (OTHER CERTIFICATES OR APPROVALS = "PERFORMS AIR CARRIER MAINTENANCE") THEN ACTIVATE, Rev. 2 3/15/2017 10:15:15 AM , QID: 50377, Response Details: EP & ED DCTs (Both OP and AW)</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	
<p>35 Do procedures exist in enough detail to meet the regulatory and guidance requirements for this element to produce the intended results?</p> <p>Safety Attribute: Procedures, Question Type: Output Validation,</p>	<p><input type="radio"/> Yes</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Not Applicable</p>	

Questions	Answers	Response Detail, Comments and Actions
Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:47 PM , QID: 51940, Response Details: EP & ED DCTs (Both OP and AW)		
37 Do controls exist within this element that ensure risks are reduced to an acceptable level? Safety Attribute: Controls, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:47 PM , QID: 51941, Response Details: Controls ED/EP/SP DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No	
39 Does the certificate holder have a method to evaluate the impact of changes on related processes (interfaces) for this element? Safety Attribute: Interfaces, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:47 PM , QID: 51942, Response Details: Interfaces ED/EP/SP DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No	
41 Does the process design require that individuals understand their safety role and how it contributes to the safety performance of this element? Safety Attribute: Safety Ownership, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "135" OR "145" OR "141" OR "142" OR "147") AND NOT (SAFETY PROGRAMS = "SMSVP") THEN ACTIVATE, Rev. 2 3/8/2019 12:47:48 PM , QID: 51946, Response Details: Safety Ownership ED/EP/SP DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No	

Response Details List EP & ED DCTs (Both OP and AW) (Released, 1.0)	
1	Unclear procedure(s)
2	Conflicting procedure(s)
3	Used workaround(s)
4	Skipped process step(s)
5	Personnel failed to follow process (procedures, guidance, etc)
6	Procedures/guidance not available
7	Procedures/guidance not current
8	Inconsistent procedure(s)
9	Undocumented procedure(s)
10	Minor typographical error(s) (i.e. record entries)
11	Information missing
12	Communication failure(s)
13	Personnel failed to perform task
14	Process failed to meet desired outcome
15	Process oversight failure
16	Equipment/tools not available
17	Equipment/tools not adequate
18	Equipment/tools not calibrated
19	Facilities not adequate
20	Other
Response Details List N/A Response Detail (Released, 2.0)	
1	Not applicable or authorized for the certificate holder or applicant
2	Other
Response Details List Controls ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)	
1	Failure to identify hazards or ineffective risk controls
2	Failure to develop and maintain risk controls
3	Failure to effectively mitigate risk before applying risk controls
4	Risk controls ineffective
5	Unclear risk controls

6	Failure to assess risk for a new system
7	Failure to assess risk when revising an existing system
8	Failure to assess risk when developing operational procedures
9	Failure to maintain records of outputs of risk control assessments
10	Other
Response Details List Interfaces ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)	
1	Internal communication failure(s)
2	External communication failure(s)
3	Lack of interfaces
4	Inconsistent interfaces
5	Poor coordination between departments and employees
6	Failure of interfaces between processes or procedures
7	Other
Response Details List Responsibility ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)	
1	Failed to provide financial resources
2	Failed to provide sufficient human resources
3	Individual not clearly identified
4	Failure to ensure safety of process
5	Failure to oversee operations conducted under the certificate
6	Failed to ensure quality performance of process
7	Process oversight failure
8	Communication failure(s)
9	Other
Response Details List Authority ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)	
1	Process oversight failure
2	Unacceptable safety risk acceptance
3	Ineffective planning of resources
4	Ineffective use of resources
5	Ineffective control of resources
6	Failure to implement safety risk processes
7	Process owner not clearly identified
8	Unqualified
9	Other
Response Details List Process Measurement ED/EP/SP DCTs (Both OP and AW) (Released, 1.0)	
1	Inadequate monitoring of operations processes
2	Ineffective evaluations of processes or systems
3	Undocumented or insufficient investigations
4	Failure to conduct audits
5	Ineffective audits
6	Failure to detect changes in the operational environment
7	Personnel failed to perform/follow process (procedures, guidance, etc.)
8	Process failed to meet desired outcome
9	Process oversight failure
10	Other
Response Details List Safety Ownership ED/EP/SP DCTs (Both OP and AW) (Released, 3.0)	
1	Unaware of or ineffective safety policies or processes
2	Unaware of or ineffective safety related reporting tools
3	Unclear safety policy
4	Ineffective safety related training
5	Lack of safety culture

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6	Unclear safety objectives
7	Other