

Revision: 14.0 on 09/28/2020

DCT To Go Report

CH/A: JN1R - ALTA AVIONICS LLC DCT ID: 41276-FY21Q2-1.4.1-0001 MLF Label: Personnel Records DCT Type: ED DCT Specialty: Airworthiness DCT Revision: 14.0 on 09/28/2020 (Released)

Summary Information

Purpose (Certificate Holder Responsibility): To have personnel records of the accountable persons available and maintained on a roster.

Objective (FAA Responsibility): Determine if the CH will be able to; (1) Comply with regulations; (2) Have personnel records of the accountable persons available and maintained on a roster

Common Data Fields

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

Supplemental Information

SRR
145.151, 145.153(b), 145.155, 145.157(a), 145.159, 145.161(a), 145.161(b), 145.209(a), 65.101, 65.103, 65.15(c), 65.81, 65.81(a)

Advisory Circular (AC)
AC-145-10, AC-145-9, AC-65-24

FAA Order 8900.1
8900.1 Vol 5 Ch 5 Sec 4, 8900.1 Vol 6 Ch 9 Sec 13

PI Instructions

Questions	Answers	Response Detail, Comments and Actions
1.4.1 Personnel Records		
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	

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Questions	Answers	Response Detail, Comments and Actions
<p>7 Do the procedures describe each management position, including the duties and responsibilities and the area of assigned responsibility?</p> <p>REFERENCES: SRR 145.209(a) Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 2 3/17/2015 4:06:39 PM , QID: 1167, 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 require that management duties and responsibilities of each management position be performed in the manager's absence?</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: 1168, 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 require the Repair Station to:</p> <p>#1. Designate an employee as the accountable manager; #2. Provide qualified personnel to plan, supervise, perform, and approve for return to service articles receiving maintenance, preventive maintenance, or alterations performed; #3. Ensure it has a sufficient number of employees with the training or knowledge and experience in the performance of maintenance, preventive maintenance, or alterations to ensure all work is performed per 14 CFR Part 43; and #4. Determine the abilities of noncertificated employees performing maintenance functions based on training, knowledge, experience, or practical tests?</p> <p>REFERENCES: SRR 145.151 Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/17/2015 4:06:42 PM , QID: 1169, 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 require that supervisors employed by Repair Stations in the United States be appropriately certificated under 14 CFR Part 65?</p> <p>REFERENCES: SRR 145.153(b), 65.103, 65.81 Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13</p> <p>Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/17/2015 4:06:43 PM , QID: 1174, 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 require that inspection personnel be evaluated to ensure they are:</p> <p>#1. Thoroughly familiar with applicable regulations; #2. Thoroughly familiar with inspection methods, techniques, practices, aids, equipment, and tools used to determine the airworthiness of the article on which maintenance, preventive maintenance, or alterations are being performed; #3. Proficient with inspection equipment and visual inspection aids appropriate for the article being inspected; and #4. Able to understand, read, and write English?</p> <p>REFERENCES: SRR 145.155 Advisory Circular (AC) AC-145-10, AC-145-9</p>	<p><input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable</p>	

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Questions	Answers	Response Detail, Comments and Actions
FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13 Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/17/2015 4:06:41 PM , QID: 1175, Response Details: EP & ED DCTs (Both OP and AW)		
12 Do the procedures require the Repair Station to maintain and make available in a format acceptable to the FAA a roster with the names of: #1. Management and supervisory personnel; #2. Inspection personnel; and #3. Personnel authorized to sign a maintenance release to approve for return to service? REFERENCES: SRR 145.161(a) Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13 NOTE: This includes names of the repair station officials responsible for its management and the names of its supervisors who oversee maintenance functions. Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/17/2015 4:06:41 PM , QID: 1180, Response Details: EP & ED DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	
13 Do the procedures require a summary of the employment of each individual on the personnel rosters that contains enough information to show compliance with the experience requirements of 14 CFR Part 145, including: #1. Present title; #2. Total years of experience and the type of maintenance work performed; #3. Past relevant employment with names of employers and periods of employment; #4. Scope of present employment; and #5. The type of mechanic or repairman certificate held and the ratings on that certificate, if applicable? REFERENCES: SRR 145.161(a) Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13 Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/17/2015 4:06:42 PM , QID: 1184, Response Details: EP & ED DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	
14 Do the procedures require the roster to be updated within 5 business days to show changes caused by: #1. Terminations; #2. Reassignments; #3. Changes in duties or scope of assignments; or #4. Additions of personnel? REFERENCES: SRR 145.161(b) Advisory Circular (AC) AC-145-9 FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13 Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 3 3/17/2015 4:06:42 PM , QID: 1190, Response Details: EP & ED DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	
15 Do the procedures require that each person being recommended for certification as a repairman: #1. Is employed by the Repair Station; and #2. Meets the eligibility requirements of 65.101? REFERENCES: SRR 145.159, 65.101, 65.81(a) Advisory Circular (AC) AC-65-24 FAA Order 8900.1 8900.1 Vol 5 Ch 5 Sec 4	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Observable <input type="radio"/> Not Applicable	

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Questions	Answers	Response Detail, Comments and Actions
Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") AND (PERSONNEL = "REPAIRMEN") THEN ACTIVATE, Rev. 5 9/28/2020 10:15:17 AM , QID: 1195, Response Details: EP & ED DCTs (Both OP and AW)		
16 Do the procedures include instructions for surrendering repairman certificates when required by 14 CFR Part 65? REFERENCES: SRR 65.15(c), 65.81(a) Advisory Circular (AC) AC-145-9 Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") AND (PERSONNEL = "REPAIRMEN") THEN ACTIVATE, Rev. 4 6/25/2018 8:51:37 AM , QID: 1198, Response Details: EP & ED DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	
17 Do the procedures require that each person authorized to approve an article for return to service employed by Repair Stations in the United States be appropriately certificated under 14 CFR Part 65? REFERENCES: SRR 145.157(a) FAA Order 8900.1 8900.1 Vol 6 Ch 9 Sec 13 Safety Attribute: Procedures, Question Type: Output Validation, Scoping Attribute: IF (FAR PART = "145") THEN ACTIVATE QUESTION, Rev. 1 10/19/2016 10:27:53 AM , QID: 50641, Response Details: EP & ED DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	
19 Do procedures exist in enough detail to meet the regulatory and guidance requirements for this element to produce the intended results? Safety Attribute: Procedures, 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: 51940, Response Details: EP & ED DCTs (Both OP and AW)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Not Applicable	
21 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	
23 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	
25 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)

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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/O Response Detail (Released, 2.0)	
1	Personnel (e.g., key certificate holder personnel not present/available)
2	Equipment (e.g., equipment not present/available/in serviceable condition)
3	Event did not occur (e.g., did not observe an intoxicated passenger on the flight)
4	Time Constraints (e.g., resources/workload)
5	Weather (e.g., weather needed for observation not present or weather made observation impossible)
6	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

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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
6	Unclear safety objectives
7	Other