|  |
| --- |
| DCT ID: 41276-FY21Q2-1.4.4-0001  1.4.4 Quality Control System, ED DCT, Airworthiness, CH/A: JN1R - ALTA AVIONICS LLC  Revision: 21.0 on 12/16/2019 |

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| --- | --- | --- |
| |  | | --- | | DCT To Go Report |  |  | | --- | | CH/A: JN1R - ALTA AVIONICS LLC  DCT ID:41276-FY21Q2-1.4.4-0001  MLF Label:  Quality Control System  DCT Type: ED DCT  Specialty: Airworthiness  DCT Revision: 21. 0 on 12/16/2019  (Released) | |
| Summary Information |
| |  |  | | --- | --- | | Purpose (Certificate Holder Responsibility): | To provide quality control of maintenance or alterations performed. | | Objective (FAA Responsibility): | Determine if the CH will be able to; (1) Comply with regulations; (2) Provide quality control of maintenance or alterations performed. | |
|  |
| Common Data Fields |
| |  |  |  |  | | --- | --- | --- | --- | |  | | | | | □ \*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**  145.109(d), 145.211(b), 145.211(c), 145.213, 145.221, 43.11, 43.9 | | **Advisory Circular (AC)**  AC-145-9 | | **FAA Order 8900.1**  8900.1 Vol 6 Ch 9 Sec 11, 8900.1 Vol 6 Ch 9 Sec 12 | |
| PI Instructions |
| |  | | --- | |  | |

| **Questions** | **Answers** | **Response Detail, Comments and Actions** |
| --- | --- | --- |
| **1.4.4 Quality Control System** | | |
| 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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No |   RSM  Section 7.1 President | |  | | --- | |  | |
| 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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No |   RSM:  Section 7.2 Accountable Manager | |  | | --- | |  | |
| 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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No |   QCM  Section 26;Continuing Analysis and Surveillance (CAS) | |  | | --- | |  | |
| 7    Does the Quality Control Manual specify in-progress inspection procedures to ensure inspections, testing, and calibrations are conducted at various stages while the work is in progress?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   4   12/14/2018 10:45:28 AM ,    **QID:** 1292,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM:  Section 14: Inspections | |  | | --- | |  | |
| 8    Do the quality control procedures establish and maintain proficiency of inspection personnel, including:         #1. Testing;        #2. Formal Training; and        #3. Recurrent Training?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   4   12/14/2018 10:45:28 AM ,    **QID:** 1297,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 21: Inspection Personnel | |  | | --- | |  | |
| 9    Do procedures require personnel to follow the Quality Control Manual?    **REFERENCES:** **SRR** 145.211(b) **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:40 AM ,    **QID:** 1333,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 7 General Inspection Procedures | |  | | --- | |  | |
| 10    Do procedures include instructions for revising the Quality Control Manual and notifying the responsible Flight Standards office of the revisions, including how often the responsible Flight Standards office will be notified of revisions?    **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   6/24/2019 9:38:17 AM ,    **QID:** 1334,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 5: Manual Control | |  | | --- | |  | |
| 11    Does the Quality Control Manual include applicable references to current manufacturer's inspection standards and data?    **REFERENCES:** **SRR** 145.109(d), 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   4   12/14/2018 10:45:30 AM ,    **QID:** 1335,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 7: General Inspection Procedures. | |  | | --- | |  | |
| 12    Do the procedures require the Repair Station to inspect each article it maintains per its quality control system or the air carrier's CAMP program per 145.213?    **REFERENCES:** **SRR** 145.213 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   9/27/2018 10:52:40 AM ,    **QID:** 1336,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | X | Not Applicable | | |  | | --- | |  | |
| 14    Do quality control procedures require taking corrective action on deficiencies and acting to prevent recurrences?    **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:40 AM ,    **QID:** 1338,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 25: Taking Corrective Action on Deficiencies. | |  | | --- | |  | |
| 15    Do the quality control procedures require that preliminary inspections of all articles maintained or altered check for:         #1. Proper documentation, identification, and traceability;        #2. Shipping damage and contamination;        #3. State of preservation and life limits;        #4. AD and Service Bulletins;        #5. Functional test or tear down inspections;        #6. FAA approval of new articles; and        #7. Determination of which repairs are necessary?   **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   3/1/2017 9:43:31 AM ,    **QID:** 1339,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   #QCM  Section: 8: Incoming Parts and Materials Inspection  QCM  Section 21: Inspection Personnel  Section 14.1 Preliminary Inspection | |  | | --- | |  | |
| 17    Does the Quality Control Manual specify who (by title) performs preliminary inspections?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1352,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14: Inspections | |  | | --- | |  | |
| 18    Does the Quality Control Manual specify when and how preliminary inspections are performed?    **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:40 AM ,    **QID:** 1353,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14: Inspections | |  | | --- | |  | |
| 19    Does the Quality Control Manual describe how discrepancies are recorded if found during preliminary inspections?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:40 AM ,    **QID:** 1354,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14: Inspections | |  | | --- | |  | |
| 20    Do the quality control procedures require retention of preliminary inspections as part of the work order file (work package)?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:40 AM ,    **QID:** 1356,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14: Inspections | |  | | --- | |  | |
| 23    Do the quality control procedures require that records be kept with parts?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1359,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 11: Handling of Units/Appliances | |  | | --- | |  | |
| 24    Does the Quality Control Manual include procedures for detecting and reporting suspected unapproved parts?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1360,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials | |  | | --- | |  | |
| 25    Do the quality control procedures require incoming inspections of raw materials to ensure acceptable quality?    **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1362,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8. Incoming Parts and Materials. | |  | | --- | |  | |
| 26    Does the Quality Control Manual specify who (by title) performs incoming inspections?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1363,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8. Incoming Parts and Materials. | |  | | --- | |  | |
| 27    Does the Quality Control Manual specify how incoming inspections are performed?    **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   4   3/1/2017 9:43:32 AM ,    **QID:** 1364,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8. Incoming Parts and Materials. | |  | | --- | |  | |
| 28    Does the Quality Control Manual specify which technical data is required to perform incoming inspections?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1365,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 21: Inspection Personnel | |  | | --- | |  | |
| 29    Does the Quality Control Manual specify procedures to control items with shelf life limitations?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1366,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection | |  | | --- | |  | |
| 30    Do the procedures describe actions taken if materials:         #1. Meet specification; and        #2. Do not meet specification?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1367,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8. Incoming Parts and Materials. | |  | | --- | |  | |
| 31    Does the Quality Control Manual specify how materials are identified if found acceptable or not acceptable?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1370,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8. Incoming Parts and Materials | |  | | --- | |  | |
| 32    Does the Quality Control Manual specify the procedures used for testing materials that require special testing?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1371,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection. | |  | | --- | |  | |
| 33    Does the Quality Control Manual specify the disposition of incoming inspection records?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1372,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection. | |  | | --- | |  | |
| 34    Does the Quality Control Manual specify how traceability of materials received in lots, such as weld wire and coating powders, is ensured?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1373,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 11: Handling of Article/Appliances | |  | | --- | |  | |
| 35    Does the Quality Control Manual include procedures for:         #1. Reporting malfunctions, defects or serious failures;        #2. Ensuring continuity of inspection responsibility;        #3. Segregating repairable from non-repairable articles; and        #4. Tagging or identifying articles, including repairable and non-repairable articles?   **REFERENCES:** **SRR** 145.221 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   9/27/2018 10:52:39 AM ,    **QID:** 1374,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14: Inspections  Section 15: Parts | |  | | --- | |  | |
| 36    Does the Quality Control Manual specify who (by title) performs the receiving inspection?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1379,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection  Section 14: Inspections | |  | | --- | |  | |
| 37    Does the Quality Control Manual specify how the receiving inspection is performed?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:39 AM ,    **QID:** 1380,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection  Section 14: Inspections | |  | | --- | |  | |
| 38    Does the Quality Control Manual specify who (by title) issues:         #1. Stamps;        #2. Badges; or        #3. Authorizations?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1381,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 21: Inspection Personnel | |  | | --- | |  | |
| 39    Does the Quality Control Manual include procedures to trace (to the individual) work sign-off authorizations?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1385,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14: Preliminary Inspection | |  | | --- | |  | |
| 40    Do the quality control procedures require that stamps (if used) be checked for legibility?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1386,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 7: General Inspection Procedures. | |  | | --- | |  | |
| 41    Do the quality control procedures require that stamps, badges, or authorizations be returned to or revoked by the responsible manager after termination or reassignment of an employee?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1387,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 8: Roster of Repair Station Personnel | |  | | --- | |  | |
| 42    Does the Quality Control Manual include security procedures for the work sign-off system used (stamps or electronic)?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   10/27/2015 4:50:44 PM ,    **QID:** 1388,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | X | Not Applicable |   Do not use stamps or electronic signatures for signoff. | |  | | --- | |  | |
| 43    Does the Quality Control Manual describe the system for inspecting all articles involved in accidents for hidden damage, including:         #1. Who (by title) performs the inspections;        #2. How inspections are recorded;        #3. Where defects are recorded;        #4. How inspections of adjacent areas around the obvious damage are executed;        #5. Who communicates with the customer; and        #6. What methods are used for making sure the record of this inspection is made part of the work order file?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:38 AM ,    **QID:** 1389,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.3: Hidden Damage Inspection. | |  | | --- | |  | |
| 44    Does the Quality Control Manual specify, for in-process inspections:         #1. Who (by title) performs the inspections;        #2. How the inspection and defects or discrepancies (if found) are recorded;        #3. How steps performed out of sequence are authorized and recorded;        #4. How rework is performed if the in-process inspection is not satisfactory;        #5. What methods are used for recording inspections in the work order file;        #6. Who determines when they are performed, and how that person makes that determination; and        #7. How articles are inspected and documentation is reviewed for maintenance performed by contracted facilities?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   3/29/2014 7:36:49 AM ,    **QID:** 1396,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   #1-#6  QCM  Section 14.2: In Progress Inspection.  #7  QCM  Section 8: Incoming Parts and Materials Inspection. | |  | | --- | |  | |
| 45    Does the Quality Control Manual specify, for final inspections:         #1. Who (by title) performs inspections;        #2. How inspections are performed and recorded; and        #3. How rework is performed if the final inspection is not satisfactory?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:38 AM ,    **QID:** 1404,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5: Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 46    Do the quality control procedures require qualified and certificated inspectors to understand, read, and write English?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:38 AM ,    **QID:** 1408,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 21: Inspection Personnel | |  | | --- | |  | |
| 47    Do the quality control procedures require final inspectors to be authorized on the roster of inspection personnel?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:38 AM ,    **QID:** 1409,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 8: Roster of Repair Station Personnel | |  | | --- | |  | |
| 48    Do the quality control procedures require final inspectors to be familiar with the regulations and inspection techniques, and to have access to all applicable technical data, including:         #1. How all other maintenance, inspection forms, electronic media, and records are checked for completion before final airworthiness determinations are made;        #2. How parts are identified once final inspections are completed;        #3. When final inspections result in accepting parts and when they result in rejecting parts; and        #4. How to use inspection cards or forms, checklists, etc., to record inspections and correct any discrepancies if 100-hour or annual inspections are performed?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:38 AM ,    **QID:** 1410,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 21: Inspection Personnel  Section 14: Inspections  Section 15: Parts  #4: N/A | |  | | --- | |  | |
| 49    Do the procedures require that personnel inspecting articles and approving them for return to service after major repairs or alterations be trained, qualified, and authorized?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1416,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 50    Do the quality control procedures require that approval for return to service forms meet the requirements of 43.9 and 43.11?    **REFERENCES:** **SRR** 43.11, 43.9 **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:38 AM ,    **QID:** 1417,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 51    Does the Quality Control Manual specify who (by title) is authorized to complete approval for return to service forms and how that person is authorized?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1418,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 52    Do the quality control procedures require a qualified and authorized person to assume the responsibilities of approval for return to service if the person who normally performs it is not available?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1419,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 53    Do the quality control procedures require the maintenance release document to include or reference a list of approved parts?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1420,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable | | |  | | --- | |  | |
| 54    Do the procedures ensure that only those articles for which the Repair Station is rated are approved for return to service?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **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:** 1421,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 55    Does the Quality Control Manual specify how repairs or alterations are determined to be major or minor?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:37 AM ,    **QID:** 1422,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 56    Does the Quality Control Manual specify how major and minor repairs and alterations are recorded?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   9/27/2018 10:52:37 AM ,    **QID:** 1423,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 58    Does the Quality Control Manual include procedures to ensure the inspectors' responsibilities are properly performed if they cannot complete the task?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **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:** 1425,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5. Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 59    Does the Quality Control Manual include procedures to ensure continuing responsibility for maintenance in progress with:         #1. Status books;        #2. Shift change logs; or        #3. Similar documents?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   3/17/2015 4:06:40 PM ,    **QID:** 1426,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | X | Yes | | ◯ | No | | O | Not Applicable | | |  | | --- | |  | |
| 60    Do the Quality Control Manual procedures for completing forms instruct the user to enter the following for blocks that are not used:         #1. N/A (not applicable) or N/R (not required);        #2. Their initials; and        #3. The current date?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   3/29/2014 7:43:41 AM ,    **QID:** 1430,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   FM  Instructions on each form. | |  | | --- | |  | |
| 61    Does the Quality Control Manual require documentation (e.g., form, router, task card, etc.) for all maintenance processes?    **REFERENCES:** **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11, 8900.1 Vol 6 Ch 9 Sec 12  **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:** 1434,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | X | Not Applicable | | |  | | --- | |  | |
| 62    Does the Quality Control Manual explain how form revisions are accepted and approved before release?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11, 8900.1 Vol 6 Ch 9 Sec 12  **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:** 1435,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 5: Manual Control | |  | | --- | |  | |
| 63    Does the Quality Control Manual describe how a form is introduced (at what point during the maintenance process), and when it should be completed?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   9/27/2018 10:52:37 AM ,    **QID:** 1436,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   FM  Instructions | |  | | --- | |  | |
| 64    Does the Quality Control Manual explain which detailed forms and checklists should be used when performing inspections, such as:         #1. Annual;        #2. 100-hour;        #3. Progressive;        #4. Other approved inspection programs; or        #5. Engine overhaul inspection sheets?   **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **NOTE:** These forms do not need to be included in the manual. These forms should be referenced in the manual, and instructions for completing these forms (if required) may be in a separate document.  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   9/27/2018 10:52:37 AM ,    **QID:** 1437,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   FM  Altimeter / Transponder Certifications.  91.411, 91.413. | |  | | --- | |  | |
| 66    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) | |  |  | | --- | --- | | X | Yes | | ◯ | No | | ◯ | Not Applicable | | |  | | --- | |  | |
| 67    Does the Quality Control Manual have procedures for a final inspection that includes a review of documents used during maintenance and an inspection of the article?    **REFERENCES:** **SRR** 145.211(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   1   12/14/2018 10:45:30 AM ,    **QID:** 54495,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 14.5 Final Inspection and Approval for Return to Service. | |  | | --- | |  | |
| 69    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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No |   QCM  Section 26: Continuing Analysis and Surveillance (CAS) | |  | | --- | |  | |
| 71    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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No |   QCM  Section 26: Continuing Analysis and Surveillance (CAS) | |  | | --- | |  | |
| 73    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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No |   TPM  Initial Training. | |  | | --- | |  | |

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| **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 |
| 6 | Unclear safety objectives |
| 7 | Other |

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