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| DCT ID: 41276-FY21Q2-4.5.4-0001  4.5.4 (AW) Housing and Facilities, ED DCT, Airworthiness, CH/A: JN1R - ALTA AVIONICS LLC  Revision: 10.0 on 03/08/2019 |

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| |  | | --- | | DCT To Go Report |  |  | | --- | | CH/A: JN1R - ALTA AVIONICS LLC  DCT ID:41276-FY21Q2-4.5.4-0001  MLF Label:  (AW) Housing and Facilities  DCT Type: ED DCT  Specialty: Airworthiness  DCT Revision: 10. 0 on 03/08/2019  (Released) | |
| Summary Information |
| |  |  | | --- | --- | | Purpose (Certificate Holder Responsibility): | To provide housing, facilities, equipment, materials, and personnel during the performance of maintenance, preventive maintenance, and alterations consistent with its ratings. | | Objective (FAA Responsibility): | Determine if the CH will be able to; (1) Comply with regulations; (2) Provide housing, facilities, equipment, materials, and personnel for the performance of maintenance, preventive maintenance, and alterations consistent with its ratings. | |
|  |
| 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**  145.101, 145.103, 145.103(a), 145.209(c) | | **Advisory Circular (AC)**  AC-145-9 | |
| PI Instructions |
| |  | | --- | |  | |

| **Questions** | **Answers** | **Response Detail, Comments and Actions** |
| --- | --- | --- |
| **4.5.4 (AW) Housing and Facilities** | | |
| 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 7.1` President | |  | | --- | |  | |
| 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: CAS | |  | | --- | |  | |
| 7    Does the manual describe the Repair Station's housing, facilities, and operation, including a generic overview of the equipment and any facilities used for:         #1. Spray painting;        #2. Avionics;        #3. Engine or airframe repair; and        #4. Any other work that would have special requirements?   **REFERENCES:** **SRR** 145.103, 145.209(c) **Advisory Circular (AC)** AC-145-9  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   7/4/2014 2:19:18 PM ,    **QID:** 6498,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 9: Housing and Facilities | |  | | --- | |  | |
| 8    Does the Repair Station Manual description of the housing and facilities include a drawing showing the floor plan of the facility?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9  **NOTE:** The drawing could include the entrance(s), parking areas, and street locations. The drawing and description may include the type of heating, lighting, equipment location, shop areas, electrical, and compressed air outlets.  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   3/15/2017 10:15:21 AM ,    **QID:** 6503,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 9: Housing and Facilities | |  | | --- | |  | |
| 9    Do the procedures require the Repair Station to provide housing for the facilities, equipment, materials, and personnel consistent with its ratings and limitations?    **REFERENCES:** **SRR** 145.101, 145.103(a)  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   10/19/2016 10:23:20 AM ,    **QID:** 6505,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 9: Housing and Facilities | |  | | --- | |  | |
| 11    Do the procedures specify how the Repair Station ensures that equipment is in place and under its control when work is performed?    **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:** 6507,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 9: Housing and Facilities | |  | | --- | |  | |
| 12    Do the procedures describe the stock room, how inventory is requisitioned for particular jobs, and how shelf life inventory is maintained?    **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:** 6508,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 9: Stock Control, Segregation and Identification  Section 10: Shelf Life Program | |  | | --- | |  | |
| 13    Do the procedures describe how parts will be segregated and protected?    **REFERENCES:** **SRR** 145.103(a) **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:** 6509,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 9: Stock Control, Segregation and Identification  Section 10: Shelf Life Program | |  | | --- | |  | |
| 14    Do the procedures require approved storage areas for HAZMATs?    **REFERENCES:** **SRR** 145.103(a)  **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:** 6510,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 27: Hazardous Materials | |  | | --- | |  | |
| 15    Do the procedures require the Repair Station to provide facilities for performing maintenance, preventive maintenance, or alterations of articles or the specialized services for which it is rated, including:         #1. Sufficient work space and areas to segregate and protect articles during all maintenance, preventive maintenance, or alterations;        #2. Segregated work areas for environmentally hazardous or sensitive operations (e.g., painting, cleaning, welding, avionics work, electronic work, and machining) to be done without adversely affecting other maintenance or alteration articles or activities;        #3. Racks, hoists, trays, stands, and other segregation means to store and protect all articles undergoing maintenance, preventive maintenance, or alterations;        #4. Sufficient space to segregate articles and materials stocked for installation from articles undergoing maintenance, preventive maintenance, or alterations; and        #5. Ventilation, lighting, and control of temperature, humidity, and other climatic conditions to ensure personnel perform maintenance, preventive maintenance, or alterations to the required standards?   **REFERENCES:** **SRR** 145.103(a)  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   2   7/4/2014 2:19:18 PM ,    **QID:** 6511,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM  Section 9: Housing and Facilities | |  | | --- | |  | |
| 18    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) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   RSM/QCM/FM/TPM | |  | | --- | |  | |
| 20    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: CAS | |  | | --- | |  | |
| 22    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: CAS | |  | | --- | |  | |
| 24    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 |   TMP  Section 7: 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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