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| DCT ID: 41276-FY21Q2-4.7.4-0001  4.7.4 Parts and Materials, ED DCT, Airworthiness, CH/A: JN1R - ALTA AVIONICS LLC  Revision: 12.0 on 09/19/2019 |

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| |  | | --- | | DCT To Go Report |  |  | | --- | | CH/A: JN1R - ALTA AVIONICS LLC  DCT ID:41276-FY21Q2-4.7.4-0001  MLF Label:  Parts and Materials  DCT Type: ED DCT  Specialty: Airworthiness  DCT Revision: 12. 0 on 09/19/2019  (Released) | |
| Summary Information |
| |  |  | | --- | --- | | Purpose (Certificate Holder Responsibility): | To have components, parts, and materials that meet original type design or properly altered condition. | | Objective (FAA Responsibility): | Determine if the CH: (1) Followed the accepted or approved process; and (2) Used components, parts, and materials that met original type design or properly altered condition. | |
|  |
| 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**  145.211(c), 43.10(c) | | **Advisory Circular (AC)**  AC-145-9, AC-20-62, AC-21-29 | | **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** |
| --- | --- | --- |
| **4.7.4 Parts and Materials** | | |
| 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:CAS | |  | | --- | |  | |
| 7    Does the Quality Control Manual include procedures for receiving and documenting:         #1. Articles;        #2. Standard parts;        #3. Preliminary inspections; and        #4. Raw materials?   **REFERENCES:** **SRR** 145.211(c) **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 11  **NOTE:** An article refers to an aircraft, an aircraft component, or an aircraft part being serviced.  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   3/15/2017 10:13:58 AM ,    **QID:** 7668,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection | |  | | --- | |  | |
| 8    Do the quality control procedures require incoming inspections of raw materials and standard parts to check for:         #1. Proper documentation, identification, and traceability;        #2. Conformity to a specification and acceptable quality;        #3. Shelf life;        #4. Contamination;        #5. Shipping Damage; and        #6. State of Preservation?   **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   3/15/2017 10:13:59 AM ,    **QID:** 7672,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection | |  | | --- | |  | |
| 9    Do the procedures specify how Life Limited Parts (LLP) are controlled and documented?    **REFERENCES:** **SRR** 43.10(c) **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 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   3/18/2015 11:38:01 AM ,    **QID:** 7678,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Materials Inspection | |  | | --- | |  | |
| 10    Do the procedures require parts and materials to be protected in storage and during transit to prevent damage, contamination, loss, or substitution until installation?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 8900.1 Vol 6 Ch 9 Sec 12  **NOTE:** Sensitive parts and equipment (e.g., oxygen parts, O-rings, or electrostatic sensitive devices) must be properly stored, packaged, identified, and protected from contamination and damage.  **Safety Attribute:** Procedures,   **Question Type:** Output Validation,    **Scoping Attribute:** IF (FAR PART = "145" ) THEN ACTIVATE QUESTION,   **Rev.**   3   3/18/2015 11:38:02 AM ,    **QID:** 7679,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 9: Stock Control, Segregation and Identification | |  | | --- | |  | |
| 11    Do the parts and materials storage procedures require the Repair Station to follow the original manufacturer's environmental requirements?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 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.**   2   3/18/2015 11:38:02 AM ,    **QID:** 7680,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts Material Inspection | |  | | --- | |  | |
| 12    Do the procedures specify how parts, articles, and in-process items are identified to show:         #1. Basic part information (e.g., name, make, model, serial number, batch, lot, etc.);        #2. Serviceability status, readily distinguishing serviceable parts and materials from unserviceable parts and materials; and        #3. Rejected parts, including questionable parts, awaiting disposition?   **REFERENCES:** **FAA Order 8900.1** 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   3/18/2015 11:38:03 AM ,    **QID:** 7681,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Inspection | |  | | --- | |  | |
| 13    Do the procedures require the Repair Station to retain records showing all parts, materials, and incoming articles are traceable to an approved source?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9, AC-20-62 **FAA Order 8900.1** 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.**   2   3/18/2015 11:38:03 AM ,    **QID:** 7685,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Inspection  RSM  Section 7.10: Parts Inspector | |  | | --- | |  | |
| 14    Do the procedures specify how parts and materials received in lots (e.g., hardware, sheet stock, welding rod, coating powders, etc.) and then subsequently divided into smaller quantities remain traceable to the approved source?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 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.**   2   3/18/2015 11:38:03 AM ,    **QID:** 7686,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 8: Incoming Parts and Inspection | |  | | --- | |  | |
| 15    Do the procedures require disposing of scrap parts and material in a manner that will not allow their approval for return to service?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9 **FAA Order 8900.1** 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   3/18/2015 11:38:03 AM ,    **QID:** 7687,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   QCM  Section 15: Parts | |  | | --- | |  | |
| 16    Do the procedures require training on the identification and reporting of suspected unapproved parts for personnel who handle or receive parts?    **REFERENCES:** **Advisory Circular (AC)** AC-145-9, AC-21-29 **FAA Order 8900.1** 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   3/18/2015 11:38:03 AM ,    **QID:** 7688,   **Response Details:** EP & ED DCTs (Both OP and AW) | |  |  | | --- | --- | | ◯ | Yes | | ◯ | No | | ◯ | Not Applicable |   TPM  Section 7: Initial Training | |  | | --- | |  | |
| 24    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/TPM/FM | |  | | --- | |  | |
| 26    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 | |  | | --- | |  | |
| 28    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 | |  | | --- | |  | |
| 30    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  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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