



## Chapter 03: Maintenance Operations

# 08. FAA Regulatory Compliance and Reporting

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Ensure compliance with FAA regulations and manage required reporting to maintain operational certificates and approvals.

## Purpose

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Establish systematic procedures for monitoring, maintaining, and reporting FAA regulatory compliance requirements. This process ensures continued authorization to perform maintenance activities while meeting all mandatory reporting obligations and maintaining current regulatory knowledge.

## Roles and Responsibilities

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### Safety Officer:

- Monitor safety compliance across all operations
- Conduct safety investigations and reporting
- Coordinate safety training and certification
- Ensure regulatory safety compliance
- Authorize safety equipment and improvements

### Chief of Maintenance:

- Review and approve complex or high-value work orders
- Assign qualified technicians to specific maintenance tasks
- Ensure regulatory compliance for all maintenance work
- Resolve scheduling conflicts and resource allocation issues
- Oversee maintenance quality and safety standards

## Process Steps

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### Regulatory Monitoring and Updates

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- **Monitor regulatory changes** - Review FAA notices, advisory circulars, and regulation updates affecting maintenance operations and compliance requirements
- **Update procedures and documentation** - Revise maintenance procedures, checklists, and training

materials to reflect current regulatory requirements

- **Distribute regulatory updates** - Communicate significant regulatory changes to all affected team members through training sessions and written notices
- **Maintain regulatory library** - Keep current copies of applicable regulations, advisory circulars, and technical standards readily available for reference

## Compliance Verification and Auditing

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- **Conduct internal audits** - Perform systematic reviews of maintenance operations to verify compliance with regulatory requirements and company procedures
- **Review maintenance records** - Examine maintenance documentation for accuracy, completeness, and regulatory compliance
- **Assess technician qualifications** - Verify current certifications, training requirements, and authorization levels for all maintenance personnel
- **Document compliance status** - Maintain records of compliance activities, audit findings, and corrective actions taken

## Mandatory Reporting Requirements

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- **Report suspected unapproved parts** - Submit required reports to FAA when suspected unapproved parts are discovered during maintenance activities
- **Document service difficulty reports** - Prepare and submit Service Difficulty Reports (SDRs) for significant maintenance issues and component failures
- **Report safety concerns** - Submit reports through appropriate channels for safety-related maintenance findings and operational concerns
- **Maintain reporting documentation** - Keep copies of all regulatory reports and correspondence with tracking of responses and follow-up actions

## Training and Certification Management

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- **Track certification requirements** - Monitor expiration dates and renewal requirements for all maintenance personnel certificates and authorizations
- **Coordinate required training** - Schedule and document completion of mandatory regulatory training and recurrent education requirements
- **Maintain training records** - Keep detailed records of all training completed, certifications earned, and competency assessments performed
- **Assess training effectiveness** - Review training programs and update content based on regulatory changes and operational experience

## Regulatory Inspection Preparation

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- **Prepare for regulatory inspections** - Organize documentation, update procedures, and ensure facility readiness for FAA surveillance and certification activities
- **Coordinate with inspectors** - Schedule inspection activities and provide required documentation and access to facilities and records
- **Address inspection findings** - Implement corrective actions for any discrepancies identified during regulatory inspections
- **Follow up on corrective actions** - Verify effectiveness of corrective measures and provide required documentation to regulatory authorities

## Process Mapping

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Flowchart to show sequential steps

## Tools and Resources

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- Current FAA regulations database and subscription services
- Regulatory compliance tracking software and documentation systems
- Internal audit checklists and compliance assessment tools
- Training records management system and certification tracking
- Regulatory reporting forms and submission procedures
- Quality management system documentation and procedures
- Communication systems for regulatory updates and notifications
- External regulatory consulting and legal support resources

## Success Metrics

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- **Completion Time:** Regulatory reports submitted within required timeframes; compliance updates implemented within 30 days.
- **Quality Standard:** 100% accuracy in regulatory compliance documentation and reporting.
- **Safety Standard:** Zero regulatory violations or enforcement actions related to maintenance operations.
- **Client Satisfaction:** Maintenance operations conducted without regulatory compliance delays affecting client service.

## Common Issues and Solutions

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- **Issue:** Difficulty staying current with rapidly changing regulatory requirements
- **Solution:** Implement subscription services for regulatory updates, establish regular review procedures, and maintain relationships with regulatory experts

**Issue:** Incomplete documentation affecting regulatory compliance verification


**Solution:** Establish standardized documentation procedures, implement regular compliance audits, and provide training on record keeping requirements


**Issue:** Team member resistance to compliance procedures affecting implementation


**Solution:** Provide clear training on regulatory requirements, explain compliance benefits, and establish accountability measures for procedure adherence


## Safety Considerations

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 **WARNING:** Failure to comply with regulatory requirements can result in certificate suspension or revocation

 **CAUTION:** All regulatory reporting must be accurate and submitted within required timeframes to avoid enforcement action

 **NOTE:** Regulatory compliance is every team member's responsibility and must be integrated into all maintenance activities

 **BEST PRACTICE:** Maintain proactive compliance monitoring and implement corrective actions before regulatory issues develop

## Regulatory References

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- **14 CFR Part 43** - Maintenance, Rebuilding, and Alteration
- **14 CFR Part 91** - General Operating and Flight Rules
- **14 CFR Part 145** - Repair Station Operating Certificate (if applicable)
- **AC 43-9C** - Maintenance Records
- **AC 21-29E** - Detecting and Reporting Suspected Unapproved Parts
- **FAA Order 8900.1** - Flight Standards Information Management System