

Element Performance Inspection (EPI) Data Collection Tool

1.2.2 Major Repairs and Alterations Records (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure that reports of major repairs and major alterations are prepared, submitted, made available for inspection, and transferred in accordance with the applicable Federal Aviation Regulations and the certificate holder's system, and to ensure that a list of current major alterations is kept by the certificate holder.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Major Repairs and Alterations Records process.
- To determine if there were any changes in personnel identified by the certificate holder as having responsibility and/or authority for the Major Repairs and Alterations Records process.

Specific Instructions:

- The inspector will ensure that the certificate holder prepares a report for major repairs and alterations and that a copy of the major alteration is conveyed to the FAA. Further, the inspector will ensure the certificate holder maintains a list of current major repairs and alterations for specific aircraft or components in accordance with its policies and procedures.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.6 AD Management (AW)
- 1.3.7 Outsource Organization (AW)
- 1.3.9 Engineering / Major Repairs and Alterations (AW)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.12 SFAR36 (AW)
- 1.3.13 Designated Alteration Station (DAS) (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(26)

- SRRs:
 - 121.135(b)(3)
 - 121.368(d)(10)
 - 121.368(d)(9)
 - 121.380(a)(2)(vii)
 - 121.380(c)(1)
 - 121.380(c)(3)
 - 121.380a
 - 121.380a(a)
 - 121.380a(b)
 - 121.707(a)
 - 121.707(b)
 - 43.5(b)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8900.1, Vol 3, Ch 31, Sec 5
 - FAA Order 8900.1, Vol 3, Ch 43, Sec 1
 - FAA order 8900.1, Vol 6, Ch 2, Sec 6

EPI Section 1 - Performance Observables	
Objective: The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.	
Tasks	
	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the the certificate holder's policies, procedures, instructions, and information for the Major Repairs and alterations Records process.
3.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the certificate holder's Major Repairs and Alterations Records process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Major Repairs and Alterations Records process with the personnel (other than management) who perform the duties and responsibilities required by the process.

Questions	
	To meet this objective, the inspector must answer the following questions:
1.	Determine whether the following performance measures were met:
1.1.	Did the certificate holder promptly prepare a report for each major repair or major alteration upon its completion? <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Did the certificate holder submit a copy of each report of a major alteration to the representative of the Administrator who is assigned to it? <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <i>Related Performance JTIs:</i> 1. Check at the records repository and FAA Location that a copy of each report of a major alteration that was submitted to the representative of the Administrator who is assigned to it agree in accordance with Certificate Holder's design. <i>Sources:</i> 121.707(b)
1.3.	Did the certificate holder keep a list of current major alterations to each airframe, engine, propeller, and appliance? <input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <i>Related Performance JTIs:</i> 1. Check at the records repository that the list of current major alterations contains the associated item to which the major alteration has been installed, if specified, in the certificate holder's design. <i>Sources:</i> FAA Order 8900.10, Vol 3, Ch 31, Sec 5, Para 3079,6, a. 2. Check at the records repository that the list of current major alterations contains a description, or reference to the FAA- approved technical data used to make the major alteration, if specified, in the certificate holder's

	<p>design.</p> <p><i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 31, Sec 5, Para 3079, 6, b.</p> <p>3. Check at the records repository that the list of current major alterations contains a brief description of the work, if specified, in the certificate holder's design.</p> <p><i>Sources:</i> FAA Order 8900.1, Vol 6, Ch 2, Sec 6, Para 993,C,9,b.</p>	
1.4.	Did the certificate holder retain a copy of each report of a major repair for the representative of the Administrator?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, procedures, instructions, and information for the Major Repairs and Alterations Records process followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Major Repairs and Alterations Records process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Major Repairs and Alterations Records process comply with the instructions provided by the certificate holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the Major Repairs and Alterations Records process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI Section 1 - Performance Observables Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI Section 2 - Management Responsibility & Authority Observables

Objective: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Major Repairs and Alterations Records process.
2.	Identify the person who has overall authority for the Major Repairs and Alterations Records process.
3.	Review the duties and responsibilities for those who manage the Major Repairs and Alterations process.
4.	Review the appropriate organizational chart.
5.	Discuss the Major Repairs and Alterations Records process with the management personnel identified in tasks 1 and 2
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Major Repairs and Alterations Records process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the Major Repairs and Alterations Records process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

		<input type="checkbox"/> No Change
7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the Major Repairs and Alterations Records process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI Section 2 - Management Responsibility & Authority Observables Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.