

**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 manual, and to ensure that a list of current major alterations is kept by the Certificate Holder.

Objective (FAA oversight responsibility):

- 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 Reports process.

Specific Instructions:

- The inspector shall 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 shall ensure the Certificate Holder maintains a current list of major repairs and alterations for specific aircraft or components in accordance with its policies and procedures.

Related EPI(s):

- 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)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.12 SFAR 36 (AW)
- 1.3.13 Designated Alteration Station (DAS) (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)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirement(s) (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(24)
 - 121.135(b)(3)
 - 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)

Related CFR(s) & FAA Policy/Guidance:

- Related CFRs:
 - Intentionally left blank
- FAA Policy/Guidance:
 - FAA Order 8300.10, Volume 2, Chapter 71.
 - FAA order 8300.10, Volume 3, Chapter 42.

EPI SECTION 1 – PERFORMANCE OBSERVABLES	
Objective: (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Major Repairs and Alterations Records.	
Tasks	
To meet this objective, the inspector must accomplish the following tasks:	
1. Review the information listed in the Supplemental Information section of this data collection tool.	
2. Review the policies, procedures, instructions and information for the Major Repairs and Alterations Records process contained in the Certificate Holder's manual.	
3. Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.	
4. Observe the Major Repairs and Alterations Records process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's manual.	
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. Were the following Performance Measures met:	
1.1 Did the Certificate Holder promptly prepare a report for each major repair and major alteration upon its completion? <i>Related performance JTIs:</i> <ul style="list-style-type: none"> • Check at the records repository that the records indicate that the report of each major alteration or major repair of an airframe of an aircraft operated by it was prepared in the timeframe specified in accordance with Certificate Holder's design. <i>Sources: 121.707(a)</i> • Check at the records repository that the records indicate that the report of each major alteration or major repair of an aircraft engine of an aircraft operated by it was prepared in the timeframe specified in accordance with Certificate Holder's design. <i>Sources: 121.707(a)</i> • Check at the records repository that the records indicate that the report of each major alteration or major repair of a propeller of an aircraft operated by it was prepared in the timeframe specified in accordance with Certificate Holder's design. <i>Sources: 121.707(a)</i> • Check at the records repository that the records indicate that the report of each major alteration or major repair of an appliance of an aircraft operated by it was prepared in the timeframe specified in accordance with Certificate Holder's design. <i>Sources: 121.707(a)</i> • Check at the records repository that an aircraft was not operated after maintenance (major repair) was performed on the aircraft unless the certificate holder, or the person with whom the Certificate Holder arranged for the performance of the maintenance prepared or caused to be prepared an appropriate entry in the aircraft log, in accordance with 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>Certificate Holder's design. <i>Sources:</i> 121.709(a)(1)</p> <ul style="list-style-type: none"> • Check at the records repository that an aircraft was not operated after maintenance (major alteration) was performed on the aircraft unless the certificate holder, or the person with whom the Certificate Holder arranged for the performance of the maintenance prepared or caused to be prepared an appropriate entry in the aircraft log, in accordance with Certificate Holder's design. <i>Sources:</i> 121.709(a)(1) 	
<p>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?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • 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) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.3 Did the Certificate Holder keep a list of current major alterations to each airframe, engine, propeller, and appliance?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check at the records repository for a list of current major alterations to each airframe in accordance with Certificate Holder's design. <i>Sources:</i> 121.380(a)(2)(vii); 121.380(a) • Check at the records repository for a list of current major alterations to each engine in accordance with Certificate Holder's design. <i>Sources:</i> 121.380(a)(2)(vii); 121.380(a) • Check at the records repository for a list of current major alterations to each propeller in accordance with Certificate Holder's design. <i>Sources:</i> 121.380(a)(2)(vii); 121.380(a) • Check at the records repository for a list of current major alterations to each appliance in accordance with Certificate Holder's design. <i>Sources:</i> 121.380(a)(2)(vii); 121.380(a) • 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> 8300.10 Airworthiness Handbook (revision 13) Volume 2, Chapter 71, Section 1, Paragraph 7A(6)a • 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 design. <i>Sources:</i> 8300.10 Airworthiness Handbook (revision 13) Volume 2, Chapter 71, Section 1, Paragraph 7A(6)b • Check at the records repository that the list of current major alterations contains a date of accomplishment, if specified, in the certificate holder's design. <i>Sources:</i> 8300.10 Airworthiness Handbook (revision 13); Volume 3, 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>Chapter 42, Section 2, Paragraph 5C(9)(b)</p> <ul style="list-style-type: none"> • 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>Sources: 8300.10 Airworthiness Handbook (revision 13) Volume 3, Chapter 42, Section 2, Paragraph 5C(9)(b)</p>	
<p>1.4 Did the Certificate Holder retain a copy of each report of a major repair for the representative of the Administrator?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • Check at the records repository that a copy of each report of a major repair that is available to the representative of the Administrator who is assigned to it in accordance with Certificate Holder's design. <p>Sources: 121.707(b)</p> <ul style="list-style-type: none"> • Check at the records repository for records of current major repairs to each airframe are retained until the work is repeated or superseded by other work or for one year after the work is performed in accordance with Certificate Holder's design. <p>Sources: 121.380(c)(1)</p> <ul style="list-style-type: none"> • Check at the records repository for records of current major repairs to each engine are retained until the work is repeated or superseded by other work or for one year after the work is performed in accordance with Certificate Holder's design. <p>Sources: 121.380(c)(1)</p> <ul style="list-style-type: none"> • Check at the records repository for records of current major repairs to each propeller are retained until the work is repeated or superseded by other work or for one year after the work is performed in accordance with Certificate Holder's design. <p>Sources: 121.380(c)(1)</p> <ul style="list-style-type: none"> • Check at the records repository for records of current major repairs to each appliance are retained until the work is repeated or superseded by other work or for one year after the work is performed in accordance with Certificate Holder's design. <p>Sources: 121.380(c)(1)</p> <ul style="list-style-type: none"> • Check at the records repository that there is detailed records of all unscheduled maintenance that has not been superseded by work of equivalent scope and detail for major repairs, if specified, in the certificate holder's design. <p>Sources: 8300.10 Airworthiness Handbook (revision 13) Volume 2, Chapter 71, Section 1, Paragraph 7A(7)c</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>2. Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Major Repairs and Alterations Records process followed?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> • 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. <p>Sources: 8300.10 Airworthiness Handbook (revision 13) Volume 2, Chapter 71, Section 1, Paragraph 7A(6)a</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>

<ul style="list-style-type: none"> • 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 design. <i>Sources:</i> 8300.10 Airworthiness Handbook (revision 13) Volume 2, Chapter 71, Section 1, Paragraph 7A(6)b • Check at the records repository that the list of current major alterations contains a date of accomplishment, if specified, in the certificate holder’s design. <i>Sources:</i> 8300.10 Airworthiness Handbook (revision 13); Volume 3, Chapter 42, Section 2, Paragraph 5C(9)(b) • 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. <i>Sources:</i> 8300.10 Airworthiness Handbook (revision 13) Volume 3, Chapter 42, Section 2, Paragraph 5C(9)(b) • Check at the records repository that there is detailed records of all unscheduled maintenance that has not been superseded by work of equivalent scope and detail for major repairs, if specified, in the certificate holder’s design. <i>Sources:</i> 8300.10 Airworthiness Handbook (revision 13) Volume 2, Chapter 71, Section 1, Paragraph 7A(7)c 	
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 in the Certificate Holder's manual?	<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: To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Major Repairs and Alterations Records is qualified, knowledgeable, and recognizes that responsibility and/or authority. (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:	
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.	
NOTE: If no personnel or major program changes (as defined by the Principal Inspector) 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 2.1 & 2.2 below, and provide the name/title.	
3. Review the duties and responsibilities for the person(s) who manage the Major Repairs and Alterations Records process documented in the Certificate Holder’s manual.	
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:	
2. Are the following aspects of the Management Responsibility and Authority Attributes addressed for the Major Repairs and Alterations Records process:	
2.1 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: <input type="text"/>
2.2 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: <input type="text"/>
2.3 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"/> Not Applicable
2.4 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"/> Not Applicable

2.5 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"/> Not Applicable
2.6 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"/> Not Applicable
2.7 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"/> Not Applicable
2.8 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"/> Not Applicable
2.9 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"/> Not Applicable
2.10 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"/> Not Applicable

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.