VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 2 GENERAL INFORMATION FOR AIR CARRIER CERTIFICATION AND FRACTIONAL OWNERSHIP APPLICATION

Section 5 Evaluate Applicant’s Refueling Procedures and Facilities (Parts 121, 125, and 135)

2-216 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3356.

B. Avionics: 5356.

2-217 OBJECTIVE. This section provides guidance for evaluating an applicant’s refueling procedures and facilities.

2-218 GENERAL.

A. Applicant’s Procedures. An applicant must have procedures for handling and dispensing aircraft fuels (reference Title 14 of the Code of Federal Regulations (14 CFR) part 121, Operating Requirements: Domestic, Flag, and Supplemental Operations, § 121.135(b)(19); part 125, Certification and Operations: Airplanes Having a Seating Capacity of 20 or More Passengers or a Maximum Payload Capacity of 6,000 Pounds or More, and Rules Governing Persons on Board Such Aircraft, § 125.73(j); and part 135, Operating Requirements: Commuter and On Demand Operations and Rules Governing Persons on Board Such Aircraft, § 135.23(j)). The following must be included as components of the applicant’s manual:

- Dispensing equipment procedures;
- Electrostatic protection procedures;
- Contamination protection procedures; and
- Related recordkeeping procedures.

B. Applicant’s Manuals. The applicant’s manuals must include procedures for vendors and contractors. Title 14 CFR does not establish standards for fueling facilities, but this does not relieve the applicant of overall responsibility for conducting those operations within established industry standards.

2-219 FUELS.

A. Aviation Gasoline (AVGAS). The naming system for the grades of aviation gasoline is derived from the general term “AVGAS” followed by the grade marking. The grades are identified by their performance numbers, as recognized by all military and commercial specifications (e.g., 80, 100LL, and 100).
1) The naming system for AVGAS grades is printed on all containers in white letters and numbers on a red background.

2) Storage containers are also marked with a circular band around the piping, the color of which matches the dye in the AVGAS flowing through the line. The dyes are red for AVGAS 80, blue for AVGAS 100LL, and green for AVGAS 100. A minimum 4-inch wide band is recommended. If the pipeline is painted the color of the AVGAS, then no banding is needed.

B. Jet Fuels. The classifications of aviation turbine fuels are universally referred to as “jet fuels.”

1) The naming system for the jet fuel is printed on all containers in white letters on a black background to distinguish it from aviation gasoline.

2) Examples of jet fuel storage container markings include the following:

   - Jet A fuel containers are marked with a single 4-inch wide (minimum) black band around the piping;
   - Jet A-1 fuel containers are marked with two 4-inch wide (minimum) black bands; and
   - Jet B-1 fuel containers are marked with three 4-inch wide (minimum) yellow bands.

2-220 GEOGRAPHIC CONSIDERATIONS. Inspections of contract fueling facilities by the office having the geographic responsibility must be coordinated with the certificate-holding district office (CHDO).

2-221 REVIEWING THE MANUAL. Maintenance aviation safety inspectors (ASI) must determine whether the applicant’s manual contains appropriate instructions for storage and dispensing of aviation fuels. The instructions must be in accordance with current industry standards, such as Air Transportation Association of America (ATA) Spec 103: Standards for Jet Fuel Quality Control at Airports.

2-222 INSPECTING THE FACILITIES. The Maintenance ASIs are responsible for ensuring that the applicant’s facilities comply with the manual procedures and established industry standards. For contracted services, it is still the applicant’s responsibility to ensure adherence to its manual procedures and standards.

2-223 COORDINATION REQUIREMENTS. This task requires coordination with the applicant.

2-224 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions).

   - Title 49 of the Code of Federal Regulations (49 CFR) part 173,
   - Advisory Circular (AC) 20-125, Water in Aviation Fuels,
   - AC 150/5230-4, Aircraft Fuel Storage, Handling, and Dispensing on Airports,
• National Fire Protection Association (NFPA) pamphlets 70 and 407,
• ATA Spec 103,
• Appropriate chapters of this order, and
• Air Transportation Oversight System (ATOS) Element Performance Inspection (EPI): 1.3.16.

B. Forms. None.

C. Job Aids. Job Task Analysis (JTA): 2.3.29, 3.3.56.

2-225 PROCEDURES.

A. Review the Applicant’s Manual. Ensure that the manual indicates whether services will be performed by the operator or contracted out.

1) Review the applicant’s manual to ensure that it defines the following:
   • Lines of authority and responsibilities;
   • The applicant’s training program; and
   • The vendor’s training program, if applicable.

2) Ensure that the manual contains procedures for the following:
   • Inspection of incoming fuels;
   • Elimination of fuel contamination;
   • Use of dispensing equipment;
   • Refueling and defueling, by specific make and model of aircraft;
   • Protection from fire (including electrostatic protection); and
   • Supervising and protecting passengers during refueling.

3) Ensure that the manual includes procedures for record retention and ongoing inspections of the following:
   • Fuel (millipore checks, etc.);
   • Storage facilities and dispensing equipment;
   • Filters;
   • Safety equipment;
   • Training programs for servicing personnel;
   • Individual training records; and
   • Vendors (in accordance with applicant’s program).

4) If the manual is acceptable at this point, continue on to the facilities inspection. If the manual is unacceptable, return it to the applicant for corrections and/or revisions.

B. Inspect the Facility.

1) Ensure that:
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- Personnel training requirements are documented and current;
- Training is conducted according to the manual curriculum;
- Piping is marked and color-coded to identify fuel type and grade; and
- Control/cutoff valves are clearly marked with instructions for emergency use (e.g., on/off).

2) Ensure that the fuel farm/storage area provides for the following:

- Proper security (fenced and posted);
- Proper display of “Flammable” and “No Smoking” signs; and
- Markings to identify type/grade of fuel.

3) Ensure that the equipment includes the following:

- A positive low point sump; and
- Adequate fire extinguishers.

4) Ensure that fuel filters/filter separators contain, at a minimum, the following:

- An inlet strainer;
- Inflow and outflow filter/separators sized to match maximum pump flow capacity;
- Differential pressure check system;
- Positive water defense system;
- Sump drain with outlet located to facilitate capture of outflow; and
- Fuel sampling (millipore or equivalent) fittings downstream of all filters and filter/separators.

5) Ensure that hoses, nozzles, and outflow connectors are:

- Specifically designed and tested for delivery of aviation fuels;
- Controlled by spring-loaded, non-bypassable automatic (deadman) fuel flow cutoff valves;
- Equipped with dust cap or other feature that will minimize contaminant introduction into fuel/system;
- Equipped with non-bypassable 100 mesh nozzle/connector screens; and
- Color coded to identify fuel type.

6) Ensure that electrical equipment, switches, and wiring are of a type or design approved for use in hazardous locations (explosion proof, e.g., free of exposed conductors, contacts, switches, connectors, motors).

7) Verify that grounding and bonding equipment ensures that piping, filters, tanks, and electrical components are electrically bonded together and interconnected to an adequate electrical ground. The system should have ground wires, bonding wires, and clamps adequate to facilitate prompt, definite electrical ground connection between the fueler/pit/cabinet, grounding system, and aircraft being fueled.

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8) Ensure that fuel tenders and fueling pits have the following:

- Appropriate markings displayed (e.g., “DANGER,” “FLAMMABLE,” “NO SMOKING,” fuel grade, standard hazardous material placard, filter due dates, and emergency fuel shutoff);
- Appropriately placed fire extinguishers; and
- Air filter/spark arrestor and a leak-free exhaust system terminating in a standard baffled original equipment type muffler, if equipped with internal combustion engine.

C. Debrief Applicant. If any deficiencies are noted, discuss possible corrective actions.

2-226 TASK OUTCOMES.

A. Complete the PTRS Record. File PTRS data sheet.

B. Complete the Task. Successful completion of this task will result in continuation of the certification task in accordance with the appropriate certification process.

C. Document the Task. File all supporting paperwork in the applicant’s office file.

2-227 FUTURE ACTIVITIES. Transfer from certification process to normal surveillance activities.

RESERVED. Paragraphs 2-228 through 2-245.
CHAPTER 7 INITIAL CERTIFICATION/RENEWAL OF A PART 133 OPERATOR

Section 1 Determine an Applicant’s Ability to Conduct Operations under Part 133, Rotorcraft External-Load Operations

2-931 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE. 1202.

2-932 OBJECTIVE. The objective of this task is to determine an applicant’s ability to conduct operations under Title 14 of the Code of Federal Regulations (14 CFR) part 133, Rotorcraft External-Load Operations. Successful completion of this task results in issuance of a part 133 operating certificate, operations specifications (OpSpecs) if appropriate, or the denial of a certificate.

2-933 GENERAL BACKGROUND. This chapter gives guidelines for certification and renewal of rotorcraft external-load operators. Part 133 prescribes rules governing the operation of rotorcraft (specifically helicopters) in operations involving loads that are carried outside the aircraft fuselage.

A. Authority. Amendments to the original part 133 greatly increase the scope of activity permitted under the regulations. For the sake of clarity, the new regulations are outlined below and will be developed in depth at appropriate points in this chapter.

B. Certification Process. The certification process consists of five phases: Preapplication, Formal Application, Document Compliance, Demonstration and Inspection, and Certification. The complexity of the certification process is determined by the applicant’s proposed operation (see Volume 2, Chapter 1, Section 1, General Information and the Certification Process).

C. Eligibility. During initial contact with an applicant who is seeking an external-load operating certificate, it must be determined if the proposed operation is applicable to part 133. In making this determination, the following eligibility requirements must be met.

1) For a minimum of 6 months, the applicant must have the exclusive use of at least one aircraft that is properly certificated and equipped and meets all airworthiness requirements for the appropriate class of rotorcraft external-load operations.

2) The applicant must have the services of a chief pilot who holds at least a commercial pilot certificate with a rotorcraft category, helicopter class and, if appropriate, a type rating or an appropriate letter of authorization (LOA).

D. Canadian-Registered Rotorcraft. U.S. operators may add Canadian-registered rotorcraft to a Rotorcraft External-Load Operating Certificate in accordance with the following conditions:
1) Operators and new applicants for a part 133 Rotorcraft External-Load Operator Certificate must have and maintain the exclusive use of at least one rotorcraft that is U.S.-registered and meets the requirements of part 133, § 133.19. Any Canadian-registered rotorcraft added to a part 133 Rotorcraft External-Load Operating Certificate and used in part 133 operations must:

   a) Be type certificated under 14 CFR part 27 or 14 CFR part 29, the regulations preceding those parts, or 14 CFR part 21, § 21.25.

   b) Hold a U.S. type certificate (TC) in the normal or restricted category.

   c) Meet the original type design or properly altered condition.

   d) Have records showing maintenance in accordance with the manufacturer’s instructions for continued airworthiness and the regulations of the country of registry.

   e) Undergo an airworthiness inspection prior to addition to a part 133 certificate.

E. North American Free Trade Agreement (NAFTA). Certain specialty air services (SAS) authorized by the NAFTA require use of rotorcraft external-loads. NAFTA operators do not require part 133 certification because they hold equivalent authorization from their respective NAFTA civil aviation authority (CAA). However, the rotorcraft authorized by a NAFTA Certificate of Authorization must have an original Federal Aviation Administration (FAA) or Transport Canada Civil Aviation (TCCA) civil type certificate. Ex-military aircraft that have restricted-category certification based on military experience only, are not eligible. For more information, see Volume 12, Chapter 1, Section 4, North American Free Trade Agreement (NAFTA).

F. Flight Standards District Office (FSDO) Working File. This file will form the basis for the eventual operator file if certification is successful, or will provide information justifying denial of the certificate. It is important that this file is kept up to date with any forms, correspondence, etc., to and from the applicant.

G. Recordkeeping. The operator is required to maintain records for the inspector’s use to determine compliance with the regulations. The operator is required to maintain training and currency records for the pilots and the chief pilot of an operation. For further details, see Volume 5, Chapter 10, Section 1, Verify Qualification for External Load Operations; and Volume 6, Chapter 5, Section 1, Conduct a Part 133 Base Inspection).

2-934 PREAPPLICATION PHASE. In the case of rotorcraft external-load operations, the inspector has some discretion in deciding whether to hold a preapplication meeting. Because very long distances between the operation site and the FSDO occur frequently, the inspector may decide to brief an applicant by phone call and/or correspondence. See Volume 2, Chapter 1, Section 1, paragraph 2-5, Phase One—Preapplication and subparagraph 2-941I (below) for guidance and procedures for the preapplication meeting.

2-935 FORMAL APPLICATION PHASE. A formal application meeting is generally held after the application package is received and informally reviewed. If the application needs
revision, the inspector should be prepared to discuss in detail all items that need correction or revision.

2-936 DOCUMENT COMPLIANCE PHASE.

A. Document Review. In addition to the application, the specific documents that must be submitted during the document compliance phase for a part 133 certification include:

- The rotorcraft lease, if appropriate;
- Two copies of the Rotorcraft Load Combination Flight Manual;
- Evidence that the chief pilot meets the requirements of § 133.21;
- Evidence that pilots meet instrument qualifications and currency for instrument flight rules (IFR) operations, if proposed;
- The proposed OpSpecs, if applicable; and
- The Class D training programs, including initial and recurrent training, if applicable.

B. Establish Exclusive Use of at Least One Rotorcraft. A permanent registration certificate (not a temporary certificate) or information from the aircraft registration data bank is acceptable as proof of ownership for the purpose of § 133.19. An agreement is required when the certificate holder does not own at least one rotorcraft that is certificated for external-load operations. Occasionally, the person who owns the aircraft also owns the corporation that is applying for the operating certificate. In such cases, the applicant and the person owning the aircraft are not considered the same entity. Therefore, an agreement is necessary.

1) Any lease agreement furnished must identify the rotorcraft by type, registration number, and manufacturer’s identification number.

2) The wording of the agreement must show that the certificate holder has sole possession, control, and use of the aircraft for flight. Further, the agreement must indicate the person or entity that is responsible for ensuring that necessary maintenance is scheduled and performed.

3) The agreement must provide for at least 6 consecutive months of exclusive use with no escape clause. There is no requirement that the lease have 6 months remaining at the time of certificate issuance or renewal.

4) If unable to determine exclusive use of the rotorcraft, the inspector obtains a copy of the lease and sends it to the appropriate Regional Council through the regional Flight Standards division for evaluation.

C. Rotorcraft Load Combination Flight Manual. The applicant is required to prepare a manual that describes characteristics of the rotorcraft used so the maximum safety of working conditions during an external-load operation can be achieved. The requirements prescribed in part 133 and subparts G in both parts 27 and 29 are described in Volume 3, Chapter 51, Section 3, Evaluate a Rotorcraft-Load Combination Flight Manual (RLCFM).
D. Testing and Currency Requirements. If the applicant cannot produce evidence that all pilots meet the appropriate regulatory requirements, knowledge and skill tests should be conducted during the demonstration and inspection phase. The chief pilot may test other pilots once the chief pilot meets the requirements of § 133.21. Logbook entries, including those showing external-load operating experience, and previous letters of endorse- ment are acceptable forms of evidence to indicate compliance with §§ 133.21, 133.23, 133.37, and 14 CFR part 61, § 61.57(e).

E. Operation Specifications. Standardized OpSpecs are available for operators certificated under part 133 and may be issued for all classes of operations if so desired. For Class D and/or IFR authorizations, OpSpecs will be issued to outline the operations that a certificate holder is allowed to conduct, to supplement the operating rules, and to contain limitations that are not specifically covered in the regulations. Inspectors must carefully evaluate OpSpecs to ensure that they are not used as a regulatory device.

F. Class D Training Program. Section 133.37(b) states that operators may not use crewmembers or other operations personnel for a Class D external-load operation unless they have successfully completed either an approved initial or recurrent training program. The training program must be submitted for Federal Aviation Administration (FAA) approval when an applicant is initially certificated for Class D or adding a Class D authorization. A person who has performed a Class D external-load operation within the past 12 calendar-months does not need to undergo recurrent training. Although possibly self-trained, the chief pilot for Class D operations must have completed the training program for initial certification.

G. Airworthiness. Airworthiness inspectors must examine the following documents:

- Rotorcraft maintenance records,
- Records to show FAA approval of the attaching means,
- Airworthiness and registration certificates,
- Approved rotorcraft flight manual, and
- Records to show engineering approval of the personnel lifting device (Class D only).

2-937 DEMONSTRATION AND INSPECTION PHASE.

A. Knowledge and Skill Test. The chief pilot designated by the applicant must pass a knowledge and skill test administered by the FAA inspector. The test must cover the subjects prescribed in § 133.23. A detailed description of the chief pilot tests are found in Volume 5, Chapter 10, Administer a Title 14 CFR Part 133 Chief Pilot Knowledge and Skill Test. Subsequent knowledge and skill tests administered to other pilots employed by the operator are usually given by the chief pilot but may be given by an FAA inspector.

B. Operational Flight Check. If the external-load operator cannot provide a reliable record of having transported a similar load previously, § 133.33 operating rules require the operator to demonstrate by an operational flight check, the ability to transport an external-load in a safe manner. The term “differs substantially from any ... previously carried” is to be defined by
the inspector, using the examples provided as a guide. These flight tests are conducted while the inspector observes from the ground.

1) An example of Class B loads that do not differ substantially from each other would be an air conditioner and electrical transformers. These loads are not considered substantially different because both are non-aerodynamic.

2) An example of two loads that differ substantially would be an air conditioner and a large pane of glass. These loads are substantially different because the pane of glass can be aerodynamic under certain conditions. The inspector should follow § 133.41(c)(1) through (6) to the extent deemed appropriate and necessary for a particular load combination.

C. Single Pilot Operation From the Left Pilot Station. Most rotorcraft are certified to be flown from the right pilot station seat. As some operators prefer to fly from the left pilot station during external-load operations, they have modified their aircraft to permit such operation. Regardless of the pilot station location, the pilot must have an adequate field of view and access to the controls and cockpit displays required for safe operation, including the execution of emergency procedures. For a pilot to conduct single pilot operations from the left seat of a rotorcraft certified for right seat operation, the aircraft may be modified to provide a pilot in the left seat access to all necessary controls and displays, which include the load release mechanisms. FAA approval of these modifications may be obtained from an Aircraft Certification Office (ACO) through the Supplemental Type Certificate process, or from a FSDO through the field approval process. Either process requires both an FAA evaluation of the modified rotorcraft and ACO approval of the Flight Manual Supplement.

2-938 CERTIFICATION PHASE.

A. Airworthiness Certification. Upon fulfillment of all requirements of part 133, an applicant is eligible for a rotorcraft external-load operator certificate. This certificate becomes a current and valid airworthiness certificate for each normal or transport category rotorcraft listed in a letter accompanying the certificate. Including incidental operations, this applies only when the rotorcraft is operated under part 133. The Rotorcraft External-Load Operating Certificate and List of Approved Rotorcraft must be carried aboard the rotorcraft.

B. Restricted Category Rotorcraft. Rotorcraft that are certificated in the restricted category for the special purpose of external-load operations under § 21.25(b)(7), are issued restricted category airworthiness certificates for the purpose of conducting external-load operations. Therefore, these aircraft do not need to be listed on the List of Approved Rotorcraft that accompanies the Rotorcraft External-Load Operator Certificate. The Restricted Category Airworthiness Certificate must be carried aboard the restricted category rotorcraft.

2-939 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of part 133 regulatory requirements and FAA policies, qualification as an aviation safety inspector (operations), and experience as a rotorcraft external-load pilot.
B. Coordination. This task requires coordination with the FSDO airworthiness unit and with the Aviation Data Systems Branch, AFS-620.

2-940 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):
   - Title 14 CFR parts 1, 27 (subpart G), 29 (subpart G), 61, 91, and 133;
   - Advisory Circular (AC) 133-1, Rotorcraft External-Load Operations in Accordance with Federal Aviation Regulations Part 133; and
   - PTRS Procedures Manual (PPM).

B. Forms.
   - FAA Form 1360-33, Record of Visit, Conference, or Telephone Call;
   - FAA Form 8430-21, Operating Certificate (Figure 2-9); and
   - FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application (Figure 2-35).

C. Job Aids.
   - Part 133 Certification Process Flowchart (Figure 2-36);
   - Part 133 Certification Job Aid (Figure 2-37); and
   - Sample letters and figures.

2-941 PREAPPLICATION PHASE PROCEDURES.

A. Initial Inquiry. Upon initial inquiry from an applicant, ask for the location of the principal base of operation. If the principal base of operation is in the jurisdiction of another FSDO, provide the applicant with the location and telephone number of that office. However, continue to give the applicant the information needed to begin certification.

B. Applicant Resources. Make sure the applicant is aware of the certification and operating requirements of part 133. If the applicant requests, provide copies of part 133 and AC 133-1. If there are any questions, explain:
   - The general applicability and definition of terms;
   - The certification requirements;
   - The operating rules; and
   - Part 133 required records and reports.

C. Other Regulations. Advise the applicant that he/she is responsible for complying with other federal, state, and/or local regulations.

D. Special Considerations for Part 133. Discuss the following special considerations of part 133:
• Classes of operation sought,
• Requirements for IFR operations, including OpSpecs,
• Qualifications and experience required for chief pilot,
• Requirement for a Rotorcraft Load Combination Flight Manual, and
• Requirement for OpSpecs and a training program if a Class D or IFR authorization is sought.

E. **Letter of Intent.** Based on the size and scope of the operation, determine if a letter of intent (Figure 2-38) is required. If no letter of intent is required, give the applicant three copies of FAA Form 8710-4 (two for the application; one for a “working copy”).

F. **PTRS.** Open PTRS file.

G. **FSDO Review of Letter of Intent.** Within the time frame of the FSDO guidelines, review the letter of intent for completeness, accuracy, and acceptability.

1) The letter of intent should contain the following:
   
a) Specific classes for which the operator is applying.

   b) Company legal name including any doing business as (DBA), the principal operation base address, the mailing address, and phone numbers (the use of a post office box number as the only address of the principal base of operations is not acceptable unless it reflects the actual, physical location of the base).

   c) Type, make, model, and quantity of rotorcraft to be operated.

   d) Estimated date when operations will begin.

   e) Names and addresses of any management personnel and/or chief pilot.

2) Determine if the applicant meets the basic requirements for certification. If the applicant does not satisfy the basic requirements, discuss those specific areas that must be complied with before certification can begin.

H. **Application.**

1) If the review of the letter of intent indicates that the applicant meets the basic requirements for a part 133 operation, give the applicant three copies of FAA Form 8710-4 (Figure 2-35) and samples of the following materials, which are to be submitted with the application package:

   • Copy of FAA Form 8400-8, Operation Specification and a sample of part 133 OpSpecs if applying for a Class D or an IFR authorization;
   • Copy of the certification job aid (Figure 2-37);
   • Sample letter nominating a chief pilot (Figure 2-39);
• Sample Rotorcraft-Load Combination Flight Manual (Volume 3, Chapter 51, Section 3, Evaluate a Rotorcraft-Load Combination Flight Manual (RLCFM), Figure 3-133); and
• Sample schedule of events (Figure 2-40).

2) Discuss how to complete the forms.

3) Advise the applicant to submit the forms in duplicate with original signatures.

4) Explain the certification process, including the requirements for each phase.

I. Preapplication Meeting.

1) Determine if a preapplication meeting is necessary based on the following considerations about the applicant:
   - Previous experience in part 133 external load operations,
   - Size, scope, and safety features of the operation,
   - Area of operation,
   - Whether a Class D or an IFR authorization is sought, and
   - Applicant’s ability to comply with the requirements.

2) If a preapplication meeting is not necessary, schedule a date and time for a formal application meeting.

3) If a preapplication meeting is necessary, schedule a date and time. At the preapplication meeting discuss the following:
   - Area of operation (local or across FSDO boundaries), including the location of principal base of operation, and the location of any probable satellite bases;
   - Type of class loads the operator is seeking;
   - Operator’s previous experience with part 133 operations;
   - Category and class of rotorcraft the operator will use;
   - Qualifications and experience of the proposed chief pilot;
   - Applicability of parts 91 and 133;
   - AC 133-1, Rotorcraft External-Load Operations in Accordance with 14 CFR Part 133;
   - Previous or pending enforcement action on the operator;
   - Purpose of the part 133 certification job aid and schedule of events;
   - Questions about the contents or requirements of the Rotorcraft Load Combination Flight Manual;
   - Requirements for developing a training program for Class D operations;
   - Certification process in detail, including the requirements for:
     - Formal application phase,
     - Document compliance phase,
- Demonstration and inspection phase, and
- Certification phase.

**J. FSDO Records.** Inspectors should track all certificate action in the PTRS Activity Code 1202.

**K. FSDO Working File.** Establish a FSDO working file to include any correspondence, copies of documents, or forms developed before, during, and after certification.

**L. Other FSDO Actions.** In order to determine the applicant’s and the pilots’ enforcement history, follow office procedures to contact the Enforcement Information Subsystem (EIS) in Oklahoma City.

1) If a certificate action indicates that the applicant cannot be certificated while an order is in effect, inform the applicant in writing (Figure 2-41) that the applicant is not eligible for certification until the enforcement action is fulfilled.

2) If a certificate action is in effect for the chief pilot designee, inform the applicant in writing (Figure 2-42) that the pilot is not eligible to be chief pilot until the enforcement action is fulfilled. Continue with the certification process only when another chief pilot designee has been indicated clear through EIS.

3) If a certificate action is in effect for any of the other pilots (other than chief pilot) employed by the applicant, continue with the certification process. Inform the applicant that the pilot in question will not be eligible to conduct external-load operations until the terms of the enforcement action have been satisfied.

4) Place the EIS output in the working file.

**M. Terminating the Preapplication Phase.** Begin the formal application phase with the receipt of the application package.

2-942 **FORMAL APPLICATION PROCEDURES.** Review the application package and determine whether it is of sufficient quality to proceed with certification within the time frame of FSDO guidelines.

**A. Application Review.** Review FAA Form 8710-4 and the other documents in the package to determine whether they are of sufficient quality to continue with certification. Examine the documents in-depth during the document compliance phase. (An example of a properly completed application is shown in Figure 2-35.)

**B. Application Inaccurate or Incomplete.** If the application package is not complete or accurate, notify the applicant in writing (Figure 2-43) of the changes needed before certification can continue.

**C. Necessity of Formal Application Meeting.** Determine if the optional formal application meeting is necessary.
1) If a formal application meeting is not necessary, schedule the certification inspection of the principal base of operations. With the applicant participating, review the procedures required during the demonstration and inspection phase.

2) If a formal application meeting is necessary, schedule a date and time.

**D. Formal Application Meeting.**

1) Discuss the acceptability of the application package.

2) Review the proposed schedule of events, and make any necessary adjustments.

3) Review the specific requirements appropriate to each class of authorization.

4) Discuss the requirements for the Rotorcraft Load Combination Flight Manual.

5) Review the requirements for the Class D training program.

6) Discuss the preparation of OpSpecs for Class D and/or IFR.

7) Discuss the rotorcraft ownership or lease agreement.

8) Review the applicant’s previous experience in external-load operations.

9) Review the experience and qualifications of the designated chief pilot.

10) Discuss any discrepancies in the application package and the proper corrective actions.

**E. Coordinate with Airworthiness Unit.**

1) Notify airworthiness that a maintenance inspector must review the maintenance records during this phase.

2) During the demonstration and inspection phase, coordinate with the airworthiness unit when inspecting the installation and operation of the external-load attaching means.

3) Notify the airworthiness unit that the personnel lifting device for Class D operations must be approved during the demonstration and inspection phase.

**F. Terminating Formal Application Phase.** Accept the formal application package in writing (Figure 2-44). Begin the document compliance phase by conducting an in-depth review of all required documents.

**2-943 DOCUMENT COMPLIANCE PROCEDURES.** After accepting the application package, evaluate the information in the following documents.

**A. The Application Form (FAA Form 8710-4).**
1) In Block 1, the applicant indicates one of the following three choices:
   - Original Issuance if the application is for initial certification;
   - Amendment if the application is for a change to an existing certificate; or
   - Renewal if the application is for renewal of an existing certificate.

2) In Block 1, the applicant also indicates the certificate number if the application is for amendment or renewal. The applicant must also indicate the load classes sought. “Class D” may be typed into the appropriate block.

3) In Block 2, the applicant indicates the name (including DBAs), mailing address, and telephone number of the operator.

4) In Block 3, the applicant indicates the address and telephone number of the principal base of operations. Check to ensure that the applicant has not used a post office box number for the principal base’s address.

5) In Block 4, the applicant indicates the name of the designated chief pilot and that pilot’s airman certificate grade and number.

6) In Block 5, the applicant indicates all rotorcraft to be used by registration number, make and model, and load class. The applicant must also indicate whether the attaching device for each rotorcraft has been previously approved. The applicant may use the Remarks column to indicate the rotorcraft to be used in Class D or IFR operations.

7) At the bottom of the form, the applicant must date and sign the application. The person signing the application must also include their title (for example, Director of Operations, President.)

8) The reverse side of the form is for later FAA use.

B. Rotorcraft Lease.

1) Review the rotorcraft lease for the following:
   - Name of owners,
   - Name of certificate holder/applicant,
   - Identification and type of aircraft,
   - Duration of lease,
   - Indication of sole possession, control, and use for flight, including an agreement for performance of required maintenance,
   - Signatures of the owners and certificate holder or applicant, and
   - Dates of the signatures.

2) Determine whether the operator has the exclusive use of at least one rotorcraft for a minimum of 6 consecutive months.

C. Rotorcraft Load Combination Flight Manual. See volume 3, chapter 51, section 3.
D. **Letter of Designation of Chief Pilot.** Verify that the chief pilot has been nominated, and has accepted the designation, and then verify that both the operator and chief pilot have signed the letter.

E. **Qualifications of Chief Pilot.** Determine if the chief pilot designee meets the requirements of § 133.21, has passed the knowledge and skill test for external-load operations, has previous experience in external-load operations, and has a satisfactory safety record. If it is necessary to administer a knowledge and skill test for the chief pilot, conduct it during the demonstration and inspection phase.

F. **Operation Specifications.** See Volume 3, Chapter 18, Operations Specifications (Class D or IFR authorizations only.)

G. **Rotorcraft and Equipment Maintenance Records. (Airworthiness)**

H. **Training Program.** Examine Class D training programs for the following elements:

1) For pilot crewmembers, initial and recurrent ground training should include the following:

- Reviewing contents of the OpSpecs;
- Calculating weight and balance, including longitudinal and lateral weight and balance;
- Determining single engine hovering out-of-ground effect performance considering weight and density altitude;
- Reviewing normal and emergency communications procedures, including hand signals;
- Reviewing crew coordination procedures;
- Reviewing preflight procedures for all equipment;
- Reviewing congested area plan requirements;
- Briefing all persons involved with the external-load operation;
- Using approved personnel lifting devices;
- Operating the winch, including weight, longitudinal and lateral center of gravity (CG), and operational limitations, preflight, and normal and emergency procedures;
- Avoiding collisions and obstacles;
- Reviewing other information necessary to ensure pilot competence. For example, for each aircraft make and model used, examine the training program for information about the following:

  - Major aircraft systems,
  - Limitations of the aircraft make and model,
  - Performance characteristics,
  - Fuel consumption,
  - Approved aircraft flight manual, approved Rotorcraft Load Combination Flight Manual, and approved supplements,
• Procedures for normal and emergency situations,
• Explanations of the causes of loss of tail rotor effectiveness and procedures to recover, and
• Avoidance of potentially hazardous meteorological conditions.

2) For pilots, initial flight training while carrying a ballast to simulate persons on the personnel lifting devices should include the following:

• Computing weight and balance, including longitudinal and lateral CG calculations, and performance planning;
• Executing takeoffs and landings;
• Maintaining directional control while hovering;
• Accelerating from a hover;
• Executing approaches to landing or work areas;
• Operating the winch, if so equipped;
• Using safety devices that prevent inadvertent release of the load;
• Releasing the load in an emergency;
• Single engine hovering and maneuvering for landing; and
• Avoiding collisions and obstacles.

3) For flight crewmembers (for example, winch operators) initial ground training should include the following:

• Reviewing normal and emergency communications procedures, including hand signals;
• Operating the winch, including weight and operational limitations, preflight, and normal and emergency procedures;
• The appropriate portions of the rotorcraft load combination flight manual;
• Reviewing crew coordination procedures;
• Taking a preflight of lifting equipment;
• Using the approved personnel lifting devices;
• Using personal safety equipment, such as harnesses, clothing, gloves, etc.;
• Recognizing the onset of hazardous load oscillations;
• Recognizing other dangerous situations; and
• Avoiding collisions and obstacles.

4) For flight crewmembers (for example, winch operators), initial flight training while carrying a simulated load (ballast) should include the following:

• Operating the winch, if so equipped;
• Communicating among crewmembers, including hand signals as well as normal and emergency communications procedures;
• Using safety devices that prevent inadvertent release of the load;
• Releasing the load in an emergency;
• Using the approved personnel lifting device;
• Using personal safety equipment, such as harnesses, clothing, and gloves;
• Stabilizing oscillating winch loads; and
• Avoiding collisions and obstacles.

5) For ground crew personnel, initial ground and flight training while carrying a simulated load should include:

• Reviewing normal and emergency communications procedures, including hand signals;
• Reviewing crew coordination procedures;
• Making a preflight of the lifting equipment;
• Using the approved personnel lifting device;
• Operating the winch, including limitations and normal and emergency procedures;
• The appropriate portions of the rotorcraft load combination flight manual;
• Recognizing dangerous situations;
• Recognizing the onset of hazardous oscillation of the load; and
• Using personal safety equipment, such as helmets, gloves, and goggles.

I. Unsatisfactory Items. If there are any unsatisfactory items, advise the applicant in writing that the items must be corrected (Figure 2-45).

1) Minor corrections may be made in the office without returning the entire package. For substantial corrections, place a reasonable time limit on when the corrections should be completed.

2) Place a copy of the letter in the file.

J. Terminating the Document Compliance Phase. When all documents are satisfactory, conclude the document compliance phase. Proceed with the demonstration and inspection phase.

2-944 DEMONSTRATION AND INSPECTION PROCEDURES.

A. Conduct Knowledge and Skill Tests. See Volume 5, Chapter 10, Administer a Title 14 CFR Part 133 Chief Pilot Knowledge and Skill Test.

B. Conduct Rotorcraft and Equipment Inspection (Airworthiness).

C. Conduct Operational Flight Checks (if Required).

1) Have the operator determine if the weight of the rotorcraft-load combination and the location of its CG are within approved limits, the external-load is securely fastened, and whether the external-load interferes with devices provided for its emergency release.

2) Observe an initial lift-off to verify that controllability is satisfactory.
3) Have the pilot execute a 360 degree pedal turn (to the right or left, as appropriate) to verify that directional control is satisfactory while the rotorcraft is hovering.

4) Verify that no attitude is encountered in forward flight in which the rotorcraft is uncontrollable or hazardous aerodynamic turbulence occurs. Check that hazardous oscillations of the external-load do not occur. This may be verified by other ground personnel for the inspector.

5) Have the pilot increase forward speed to determine if directional stability is maintained as both the aircraft and external-load accelerate.

6) If appropriate, have the pilot maintain horizontal flight at the maximum speed for which authorization is requested; observe whether load oscillations occur that would interfere with aircraft stability.

7) For Classes B, C, and D, observe normal operation of the lifting device during flight or hovering to ensure that it does not interfere with flight control.

8) Have the pilot maneuver the external-load into its release position and execute the release for appropriate load classes. Note any difficulties or discrepancies in the proper positioning of the load and the aircraft exit from the site.

9) Make notes during and immediately after the operational flight check for later placement in the office file and to refer to, before debriefing the applicant.

D. Conduct a Base Inspection. See Volume 6, Chapter 5, Section 1, Conduct a Part 133 Base Inspection.

E. Results of Inspections and Testing.

1) If any demonstrations are unsatisfactory, advise the applicant in writing (Figure 2-46) of areas that need corrective action. Reschedule the inspections or tests, as appropriate.

2) If all demonstrations are satisfactory, proceed with certification.

F. Terminating Demonstration and Inspection Phase. When all demonstrations and inspections are complete and satisfactory, proceed with the certification phase.

2-945 CERTIFICATION PROCEDURES. When all certification requirements have been met, call AVN-120 for a certificate number. Complete inspection reports and job aids. Have the administrative staff prepare the operating certificate.

A. Prepare and Issue Operating Certificate. Use FAA Form 8430-21 for an operating certificate (Figure 2-9). The following information must be typed on the certificate.

1) Enter the full legal name of the company below the words, “This certifies that.” Show other names (such as DBAs) on the certificate. If necessary, list them on a separate, attached letter (Figure 2-47).
2) Enter the address of the principal base of operations below the full legal name. Do not use a post office box address unless it also reflects the physical location of the principal base of operations.

3) Do not modify the preprinted certification statement of authority. Complete the statement by typing “ROTORCRAFT EXTERNAL-LOAD OPERATIONS” in the space provided.

4) Directly adjacent to the words, “… regulations, and standards,” indicate all load classes for which the operator is authorized. If Class D or IFR operations are authorized, type in the phrase, “and the terms, conditions, and limitations contained in the approved OpSpecs. Class [all loads the operator is approved for] loads are authorized.” Type in the phrase “valid only for the rotorcraft on the attached list.”

5) Include the expiration date, which is the last day of the 24th calendar-month after the date of issue.

6) Enter the certificate number (see this volume’s Chapter 1, Section 1, General Information and the Certification Process).

7) Enter the date all requirements for certification are met. State the reissue date, if appropriate.

8) Type the four-character alphanumeric designator and the city and state of the certificate holding district office into the space provided (for example, WP03, San Francisco, CA).

9) Enter the full title of the person signing the certificate. Enter the acronym of the region and the FSDO acronym and number (for example, Manager, AWP-FSDO-03).

10) Submit the certificate for the FSDO manager to sign.

B. List of Authorized Rotorcraft. Prepare a list of authorized rotorcraft (Figure 2-48) and attach to the operating certificate. A change in the list of authorized rotorcraft will not require a reissue of the operating certificate unless there is a change in authorized operating classes caused by addition or deletion of a particular rotorcraft to the list.

C. Application Completion. On the reverse side of FAA Form 8710-4, complete the inspection report.

1) Approve each suitable rotorcraft by the following:

- Make and model;
- Registration number;
- Approval date;
- Load class (A, B, C, or D);
- Weight authorization;
- Limitations and remarks; and
• Inspector’s signature.

2) Include any pertinent remarks.

3) Indicate how the chief pilot met the knowledge and skill requirements (i.e., actual test or previous logbook endorsement). In addition, indicate:

   • The chief pilot’s name;
   • The load classes the chief pilot is authorized for (type in class D, if appropriate); and
   • The date the chief pilot met the knowledge and skill requirements.

4) Sign the application or have it signed by the inspector who tested or verified the chief pilot's experiences.

5) Indicate the authorized load classes (type in Class D, if appropriate).

6) Include the certificate number after obtaining it from AFS-620.

7) Indicate the date the certificate was issued.

8) Enter the FSDO acronym.

9) Have the certification project manager approve and sign the application.

D. Certificate Denial. If certification requirements are still not met, issue a letter of denial (Figure 2-49). Indicate disapproval on FAA Form 8710-4, make any necessary comments, and have the FSDO manager sign and date the application.

E. Certification File. Upon issuance of a certificate, assemble a file that contains the following:

   • Copy of the letter of intent, if applicable;
   • Copy of the application;
   • Copy of the certification job aid;
   • Schedule of Events;
   • Copy of the operating certificate and approved list of rotorcraft;
   • Copy of the Rotorcraft Load Combination Flight Manual;
   • Copy of the letter designating chief pilot;
   • Summary of any difficulty encountered during certification and its resolution;
   • Approved copies of the OpSpecs and of the training program for Class D; and
   • Copy of the approved OpSpecs for IFR.

F. Vital Information Subsystem. Enter all appropriate information in the Vital Information Subsystem Air Operator Basic File and Air Operator Aircraft Auxiliary File.
G. Flight Standards District Office Working File. Establish an official FSDO working file on the operator, which consists of:

- The Enforcement Information Subsystem/Accident Incident Data Subsystem profile on the applicant and personnel, including a negative report, if applicable;
- The surveillance reports;
- All general correspondence relevant to the operator;
- A copy of the knowledge, skills, and ability test or results, as appropriate;
- Current working documents;
- Current approved congested area plan; and
- Amendment and revision authorization letter.

H. PTRS. Make final PTRS work entry for this task.

2-946 TASK OUTCOMES. Completion of this task results in one or more of the following.

- Issuance of OpSpecs authorizing operations under part 133,
- Issuance of an operating certificate for Class D and/or IFR operations, if appropriate,
- Written notification to the applicant denying the application, with indication of the return of all original documents to the applicant, and
- A letter to the applicant confirming termination of the certification process per the applicant’s request.

2-947 FUTURE ACTIVITIES. Future activities include:

- Possible review of a congested area plan.
- Surveillance scheduled and conducted according to national guidelines and as congested area plans are received.
- Renewal conducted every 24 calendar-months.
- Possible amendment of the certificate at request of the operator.
Figure 2-9, FAA Form 8430-21, Operating Certificate

Operating Certificate

This certifies that

MID-CONTINENTAL HELICOPTER, INC.
d/b/a Verti-Flite
1234 Avalon Avenue
San Francisco, CA 95123

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein, for the issuance of this certificate and is authorized to operate as an Air Operator and conduct

Rotorcraft External-Load Operations

in accordance with said Act and the rules, regulations, and standards; and the terms, conditions, and limitations contained in the approved operations specifications. Classes A, B, C, and D loads are authorized.

This certificate is not transferable and, unless canceled, suspended, superseded, surrendered or revoked, shall continue in effect until March 31, 1997.

Certificate number: RM1-L-001-A
Effective Date: March 10, 1995
Issued at: WP03, San Francisco, CA

By Direction of the Administrator

[Signature]
Manager, AMF-PEDO-83

FAA Form 8430-21 (8-97)
Figure 2-35, FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application

Rotorcraft External-Load Operator Certificate Application

INSTRUCTIONS: Submit this form in triplicate to local FAA District Office

1. APPLICATION FOR (CHECK APPLICABLE BOX)
   - [ ] ORIGINAL ISSUANCE
   - [ ] AMENDMENT
   - [ ] RENEWAL

2. NAME AND ADDRESS OF APPLICANT (Include Zip Code)
   - Gery L. Exell
   - 858 Westview Lane, Pine Tree, GA 31087

3. PRINCIPAL OR LOCAL BASE OF OPERATIONS (Airport, City, State, and Zip Code)
   - Gery L. Exell
   - 858 Westview Lane, Pine Tree, GA 31087

4. NAME OF CHIEF PILOT OR PILOT IN CHARGE OF LOCAL OPERATION
   - Charles Anthony Borg

5. ROTORCRAFT TO BE USED

<table>
<thead>
<tr>
<th>REGISTRATION NUMBER</th>
<th>TYPE</th>
<th>LOAD CLASS (X)</th>
<th>MAKE</th>
<th>MODEL</th>
<th>A</th>
<th>B</th>
<th>C</th>
<th>YES/NO</th>
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<tr>
<td>N125VF</td>
<td>Bell</td>
<td>206</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
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CERTIFICATION

I certify that the statements made on this application form and any attachments are true and correct, and that the operations indicated on this application will be conducted within the requirements of the Federal Aviation Act of 1958 and the applicable Federal Aviation Regulations.

DATE: 03/10/1996
TITLE OF AUTHORIZED OFFICER: President
SIGNATURE OF APPLICANT OR AUTHORIZED OFFICER: [Signature]

FAA Form 8710-4 (04/94) SUBPENDED FAA FORM 8242-6 and FAA FORM 8000.32
Figure 2-36, Part 133 Certification Process Flowchart

APPLICATION PHASE

Start → Initial Inquiry → Letter of Intent Required? → Applicant Receives Form 8710-4 → Certification Team Assigned

Pre-application Meeting

<table>
<thead>
<tr>
<th>Yes</th>
<th>Letter of Intent</th>
<th>PLCF Manual</th>
<th>14 CFR</th>
<th>Chief Pilot Requirements</th>
<th>8710-4 Discussion</th>
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<tbody>
<tr>
<td>No</td>
<td></td>
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</tbody>
</table>

Acceptable?

Yes →

No →

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Figure 2-36, Part 133 Certification Process Flowchart (Continued)
Figure 2-36, Part 133 Certification Process Flowchart (Continued)

DEMONSTRATION AND INSPECTION

In Field
- Records, Recordkeeping (Commercial Only)
- Knowledge and Skill Test
- Inspect Aircraft
- Compliance with Local Regulations

Acceptable?

Yes

No

CERTIFICATION

Issue Certificate
- Prepare Certification Report

Step
Figure 2-37, Part 133 Certification Job Aid

<table>
<thead>
<tr>
<th>14 CFR PART 133 INITIAL CERTIFICATION</th>
<th>NAME OF APPLICANT</th>
</tr>
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<tr>
<td>CERTIFICATION TEAM DESIGNATED</td>
<td></td>
</tr>
<tr>
<td>Name</td>
<td>Specialty</td>
</tr>
<tr>
<td>(Certification Project Manager)</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>REMARKS:</th>
<th>Inspector's Initials</th>
<th>Date</th>
<th>S</th>
<th>U</th>
<th>N/A</th>
</tr>
</thead>
</table>

1. Initial contact with ____________

2. Applicant given copy of Advisory Circular (AC) 133-1

3. Applicant advised how to obtain pertinent regulations

4. Letter of Intent submitted

5. Letter of Intent reviewed and accepted

6. Preapplication Meeting

7. Formal Application Package received and accepted

8. Formal Application Meeting

9. Formal Application Package reviewed in depth
   a. FAA Form 8710-4
   b. Schedule of events
   c. Rotorcraft-Load Combination Flight Manual (RLCFM)
   d. Class D training program
   e. Operations specifications (OpSpecs)
Figure 2-37, Part 133 Certification Job Aid (Continued)

<table>
<thead>
<tr>
<th>14 CFR PART 133 INITIAL CERTIFICATION</th>
<th>NAME OF APPLICANT</th>
</tr>
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<td>REMARKS:</td>
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</table>

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<tr>
<th>Inspector's Initials</th>
<th>Date</th>
<th>S</th>
<th>U</th>
<th>N/A</th>
</tr>
</thead>
</table>

- **f.** Rotorcraft ownership/lease
- **g.** Experience/qualifications of chief pilot & other pilots

10. Aircraft

- **a.** Equipped for A loads
- **b.** Equipped for Class B/C loads
- **c.** Equipped for Class D loads
  - Personal lifting device
- **d.** Section 133.39(a) placard
- **e.** Section 133.49(b) marking adjacent to load carrying device
  - States maximum load
  - Matches RLCFM
- **f.** Inspections
  - Installation & function load carrying/attach device
  - Maintenance records
- **g.** Minimum Equipment List (MEL) for multiengine aircraft
### 14 CFR PART 133 INITIAL CERTIFICATION

#### REMARKS:

|Inspector's | Date | S | U | N/A |
|Initials   |      |   |   |     |

11. Class D Authorization
   
   a. OpSpecs
   
   b. Use of FAA-approved PLD
   
   c. Use of grd. flt. crew comm. equipment
   
   d. Communications equipment inspected by Avionics
   
   e. Initial/Recurrent training programs

12. IFR Authorization
    
    a. OpSpecs
    
    b. At least one pilot current & qualified for IFR flt. in helicopters
    
    c. At least one rotorcraft certificated for IFR flight

13. Pilots
    
    a. Chief pilot appropriately qualified
    
    b. All pilots passed knowledge test
    
    c. All pilots passed skill test

14. Applicant understanding of section 133.45 Operating Limit
Figure 2-37, Part 133 Certification Job Aid (Continued)

<table>
<thead>
<tr>
<th>14 CFR PART 133 INITIAL CERTIFICATION</th>
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<td>Inspector's</td>
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<td></td>
<td>Initials</td>
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<tr>
<td></td>
<td>Date</td>
</tr>
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<td></td>
<td>S</td>
</tr>
<tr>
<td>a. Passenger carrying during external-load operations</td>
<td></td>
</tr>
<tr>
<td>b. Weight &amp; balance limits</td>
<td></td>
</tr>
<tr>
<td>c. Operating airspeed limits</td>
<td></td>
</tr>
<tr>
<td>d. Restricted category rotocraft over densely populated areas, congested areas, near busy airports where passenger carrying operations are conducted</td>
<td></td>
</tr>
<tr>
<td>15. Certificate number obtained from AFS-620</td>
<td></td>
</tr>
<tr>
<td>17. Certification report &amp; district office file prepared</td>
<td></td>
</tr>
<tr>
<td>18. Surveillance plan established</td>
<td></td>
</tr>
<tr>
<td>ADDITIONAL REMARKS:</td>
<td></td>
</tr>
</tbody>
</table>
Figure 2-38, Part 133 Sample Letter of Intent

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

October 13, 1996

Federal Aviation Administration

Flight Standards District Office 67

3420 Norman Berry Dr.

Atlanta, GA 30354

Dear Inspectors:

This notifies you of our intent to become a rotorcraft external-load operator under Title 14 of the Code of Federal Regulations (14 CFR) part 133.

We plan to commence operation on April 10, 1997, and will be ready for certification inspection of our facility and equipment by March 15. Our application is for Class B, C, and D loads and IFR operations using one Bell 47, one Bell 206, and two Boeing-Vertol BV-234 helicopters.

Our principal operation base is located at 585 Westview Lane, Pine Tree, GA 31087. Our business phone number is (404) 555-1212. Mr. Brian Morgan is our chief pilot and may be reached at the above address.

Enclosed are three copies of FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application.

Sincerely,

Stephen Burkholder

Chairman
Figure 2-39, Letter of Nomination for Designation as a Chief Pilot

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

October 13, 1996

Federal Aviation Administration

Flight Standards District Office 67

3420 Norman Berry Dr.

Atlanta, GA 30354

Dear Inspectors:

I am writing to inform you that, as part of our application for an external-load operating certificate, I wish to designate the following person as chief pilot, with your approval:

Elizabeth Sheley

Ms. Sheley has accumulated over 2000 hours as pilot in command (PIC) of rotorcraft and most recently was employed as an external-load pilot for the Public Utilities Commission. In this capacity, she flew Bell 206 and Sikorsky S-65 series helicopters. Ms. Sheley completed the state and FAA knowledge and skill tests on June 9, 1995.

All records of experience and training are available for your review.

Sincerely,

Stephen Burkholder

Chairman

I accept this nomination for designation as chief pilot.

[signature]

__________________________________________________________________________________

[type name of chief pilot]
Figure 2-40, Part 133 Sample Schedule of Events

<table>
<thead>
<tr>
<th>NAME OF OPERATOR</th>
<th>NAMES OF MANAGEMENT PERSONNEL</th>
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<tbody>
<tr>
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<td>Names</td>
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<td></td>
<td>Titles</td>
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<td></td>
<td>(Certification Project Manager)</td>
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</tbody>
</table>

| ADDRESS | |
|---------| |

<table>
<thead>
<tr>
<th>14 CFR PART 133 SCHEDULE OF EVENTS</th>
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<tbody>
<tr>
<td>NAME OF OPERATOR</td>
</tr>
<tr>
<td>------------------</td>
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<th>U</th>
<th>N/A</th>
</tr>
</thead>
</table>

| PRE-APPLICATION | |
|-----------------| |
| Letter of Intent| |

| FORMAL APPLICATION | |
|--------------------| |
| Schedule of Events | |
| Application (FAA Form 8716-4) | |

| DOCUMENT COMPLIANCE PHASE | |
|---------------------------| |
| Applicant (FAA Form 8710-4) | |
| Rotorcraft-Load Combination Flight Manual (RLCFM) | |
| Letter of Designation of Chief Pilot | |
| Qualifications of Chief Pilot | |
| Operations Specifications (OpSpecs) (Class D & IFR Authorizations Only) | |
| Rotorcraft & Equipment Maintenance Records | |
| Class D Training Programs | |

| DEMONSTRATION AND INSPECTION | |
|------------------------------| |
| Knowledge and Skill Test | |
| Rotorcraft & Equipment Inspection (Airworthiness) | |
| Operational Flight Checks (if required) | |
| Base Inspection | |

**REMARKS:**

---

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Figure 2-41, Letter Indicating Applicant Not Eligible for Certification Because of Pending Enforcement Action

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

This letter is to inform you that you are ineligible for certification as a rotorcraft external-load operator (part 133 of Title 14 of the Code of Federal Regulations).

During precertification review of enforcement history, it was determined that [type of enforcement action and justification for discontinuing certification process].

If you have any questions concerning this matter or desire to reapply once the enforcement sanction has been fulfilled, please contact this office at [telephone number].

Sincerely,

[FSDO manager’s signature]
Figure 2-42, Letter Indicating Chief Pilot Designee Not Eligible Because of Pending Enforcement Action

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

This letter is to inform you that your nominee for chief pilot, Ms. Elizabeth Sheley, is not eligible for the position.

During precertification review, it was determined that enforcement action is in effect against Ms. Sheley’s airman certificate.

If you have any questions concerning this matter or desire to submit another nominee for chief pilot, please contact this office at [telephone number].

Sincerely,

[FSDO manager’s signature]
Figure 2-43, Part 133 Letter Rejecting Application Package

FAA Letterhead

[date]

Rotor Whirl, Incorporated
585 Westview Lane
Pine Tree, GA 31087

Dear Mr. Burkholder:

This letter is to inform you that the application package submitted to become a rotorcraft external-load operator (part 133 of Title 14 of the Code of Federal Regulations) is not acceptable. The following is a list of discrepancies noted:

List the specific items found in each document.

List any items or documents that are missing.

All items in the application package are returned with this letter. Additionally, blank forms [application, etc. are also enclosed if you intend to submit a corrected application package. If you intend to terminate the certification process or if you have any questions, please contact this office at [telephone number].

Sincerely,

[FSDO manager’s signature]
Figure 2-44, Part 133 Letter Accepting Formal Application Package

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

This letter is to inform you that your application for a rotorcraft external-load operating certificate (part 133 of Title 14 of the Code of Federal Regulations) has been accepted for review.

The next step in the certification process is to review the following:

List the documents, as appropriate to the applicant.

FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application

Lease Agreements

Rotorcraft-Load Combination Flight Manual

Letter of Designation of Chief Pilot

Qualifications of Chief Pilot

Operations Specifications (OpSpecs)

Rotorcraft and Equipment Maintenance Records

Training Programs

You will be notified of the results of this review and any further actions required.

Sincerely,

[CPM’s signature]
Figure 2-45, Letter Explaining Document Deficiencies

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

During the document compliance phase of certification, the following items were found deficient and are being returned for correction:

List the specific items and discrepancy, for example:

1. FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application, should indicate the registration numbers of the aircraft to be used.

2. The Class D training program does not include any training on appropriate hand signals to be used by ground personnel in the event of radio communication failure.

If you have any questions concerning this matter, please contact this office at [telephone number].

Sincerely,

[principal operations inspector’s (POI) signature]
Figure 2-46, Letter Explaining Inspection Deficiencies

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

During the [type of inspection, i.e., rotorcraft equipment, operational flight check, base inspection] the following deficiencies were noted:

List specific deficiencies.

It will be necessary to correct these items before the certification process can continue. You should inform this office when you anticipate completing these corrections so that the schedule of events for certification may be adjusted.

Sincerely,

[CPM’s signature]
Dear Inspectors:

The following corporate names (DBA) may be associated with external-load operations (part 133 of Title 14 of the Code of Federal Regulations) authorized upon certification of Rotor Whirl, Incorporated:

Burkholder & Associates

59206 Mill Run Rd.

Bowie, MD 20716

Sincerely,

Stephen Burkholder
Figure 2-48, List of Authorized Rotorcraft

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

This letter authorizes the following rotorcraft to be operated in accordance with Title 14 of the Code of Federal Regulations (14 CFR) part 133, and the provisions and limitations of the attached operating certificate:

List each helicopter by make, N-number and external-load class, for example:

Bell 206       N1478A       Class A, B
Bell 222       N1479A       Class B, C & D

Sincerely,

[POI’s signature]
Figure 2-49, Part 133 Letter Denying Certification

FAA Letterhead

[date]

Rotor Whirl, Incorporated

585 Westview Lane

Pine Tree, GA 31087

Dear Mr. Burkholder:

This letter is to inform you that your applicant for an external-load operating certificate is denied.

The reasons for denial are as follows:

List specific reasons in detail.

Cite Title 14 of the Code of Federal Regulations (14 CFR) sections where possible.

If you have any questions concerning the above, please contact this office at [telephone number].

Sincerely,

[FSDO manager’s signature]

RESERVED. Paragraphs 2-948 through 2-965.
VOLUME 2  AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 9  CERTIFICATION OF A PART 141 PILOT

Section 1  Initial Certification or Renewal of a Part 141 Pilot School

2-1066 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE. 1240.

2-1067 OBJECTIVE. Determine whether an applicant for a Title 14 of the Code of Federal Regulations (14 CFR) part 141 pilot school meets the rules concerning the operation of a pilot or provisional pilot school. Successful completion of this task results in the issuance, renewal, or denial of Federal Aviation Administration (FAA) Form 8000-4, Air Agency Certificate. These procedures are followed for the issuance of a provisional pilot school certificate, for added ratings (amendments), and for certificate renewal.

2-1068 GENERAL. Before beginning any certification process, inspectors should review Volume 3, Chapter 1, Section 1, The General Process for Approval or Acceptance, and Volume 2, Chapter 1, Section 1, the Generic Process for Certificating Organizations. Definitions of the terms used in this chapter are contained in Volume 3, Chapter 53, Section 1, Introduction to Part 141 Related Tasks.

2-1069 PREAPPLICATION PHASE. For an initial certification, inspectors should discuss the following items with an applicant during an initial inquiry about a part 141 certificate. These items may also be reviewed during renewal or during amendment, as necessary.

A. Pilot School Ratings. Effective August 4, 1997, new school ratings specified the courses that a school is authorized to conduct. The phase-in period existed until August 3, 1998. On or after August 4, 1998, all schools must conform to the new ratings as listed below.

1) Certification and Rating Courses (Appendixes A through J).

- Recreational pilot course,
- Private pilot course,
- Instrument rating course,
- Commercial pilot course,
- Airline transport pilot (ATP) course,
- Flight instructor course,
- Flight instructor instrument course,
- Ground instructor course,
- Additional aircraft category or class rating course,
- Aircraft type rating course, and
- Special curriculum course under part 141, § 141.57.
2) Special Preparation Courses (Appendix K).

- Pilot refresher course,
- Flight instructor refresher course,
- Ground instructor refresher course,
- Agricultural aircraft operations course,
- Rotorcraft external-load operations course,
- Special operations course, and
- Test pilot course.

3) Pilot Ground School Course (Appendix L).

B. Recreational Pilot Course. The approval of one or more courses of training that result in the original issuance of a recreational pilot certificate entitles the school to have a recreational pilot rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a recreational pilot rating for the following courses, as appropriate:

- Airplane—single-engine,
- Rotorcraft—helicopter, and/or
- Rotorcraft—gyroplane.

C. Private Pilot Course. The approval of one or more courses of training that result in the original issuance of a private pilot certificate entitles the school to have a private pilot rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a private pilot rating for the following courses, as appropriate:

- Airplane—single-engine,
- Airplane—multiengine,
- Rotorcraft—helicopter,
- Rotorcraft—gyroplane,
- Powered-lift,
- Glider,
- Lighter-than-air airship, and/or
- Lighter-than-air balloon.

D. Instrument Rating Course. The approval of one or more courses of training that result in the original issuance of an instrument rating entitles the school to have an instrument rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to an instrument rating for the following courses, as appropriate:

- Instrument—airplane,
- Instrument—helicopter, and/or
- Instrument—powered-lift.
E. Commercial Pilot Course. The approval of one or more courses of training that result in the original issuance of a commercial pilot certificate entitles the school to have a commercial pilot rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a commercial pilot rating for the following courses, as appropriate:

- Airplane—single-engine,
- Airplane—multiengine,
- Rotorcraft—helicopter,
- Rotorcraft—gyroplane,
- Powered-lift,
- Glider,
- Lighter-than-air airship, and/or
- Lighter-than-air balloon.

F. ATP Course. The approval of one or more courses of training that result in the original issuance of an ATP certificate entitles the school to have an ATP rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to an ATP rating for the following courses, as appropriate:

- Airplane—single-engine,
- Airplane—multiengine,
- Rotorcraft—helicopter, and/or
- Powered-lift.

G. Flight Instructor Course. The approval of one or more courses of training that result in the original issuance of a flight instructor certificate entitles the school to have a flight instructor rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a flight instructor rating for the following courses, as appropriate:

- Airplane—single-engine,
- Airplane—multiengine,
- Rotorcraft—helicopter,
- Rotorcraft—gyroplane,
- Powered-lift, and/or
- Glider.

H. Flight Instructor Instrument Rating Course. The approval of one or more courses of training that result in the original issuance of a flight instructor instrument certificate entitles the school to have a flight instructor instrument rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a flight instructor instrument rating for the following courses, as appropriate:

- Flight Instructor Instrument—airplane,
- Flight Instructor Instrument—helicopter, and/or
- Flight Instructor Instrument—powered-lift.

I. **Ground Instructor Course.** The approval of one or more courses of training that result in the original issuance of a ground instructor certificate entitles the school to have a ground instructor rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a ground instructor rating for the following courses, as appropriate:

- Ground Instructor Instrument—basic,
- Ground Instructor Instrument—advanced, and/or
- Ground Instructor Instrument—instrument.

J. **Additional Aircraft Category or Class Rating Course.** The approval of one or more courses of training that results in the issuance of an additional aircraft category or class rating to an existing pilot certificate entitles the school to have “Additional Aircraft Category or Class Rating” placed on its school certificate. The approval of one or all of the following additional aircraft rating courses entitles the school to the above listed rating:

- Airplane—single-engine,
- Airplane—multiengine,
- Rotorcraft—helicopter,
- Rotorcraft—gyroplane,
- Powered-lift,
- Glider,
- Lighter-than-air airship, and/or
- Lighter-than-air balloon.

K. **Aircraft Type Rating Course.** The approval of one or more courses of training that result in the issuance of an aircraft type rating entitles the school to have aircraft type rating placed on its school certificate. The approval of one or all of the following aircraft type rating courses entitles the school to an aircraft type rating for the following courses, as appropriate:

- A type rating in an airplane category, single-engine class,
- A type rating in an airplane category, multiengine class,
- A type rating in a rotorcraft category, helicopter class, and/or
- A type rating in a powered-lift category.

L. **Special Preparation Course.** The approval of one or more courses of training that prepares the graduate with the necessary skills, competency and proficiency to exercise safely the privileges of the certificate, rating or authorization for which the course is established entitles the school to have that special preparation rating placed on its school certificate. The approval of one or all of the following special preparation courses entitles the school to that special preparation rating for the following courses, as appropriate:

- Pilot refresher course,
- Flight instructor refresher course,
- Ground instructor refresher course,
- Agricultural aircraft operations course,
- Rotorcraft external-load operations course,
- Special operations course, and/or
- Test pilot course.

**M. Pilot Ground School Course.** The approval of one or more ground school courses under the provisions of part 141, appendix L entitles the school to have pilot ground school rating placed on its school certificate.

**N. Special Curriculum Course.** The approval of a special curriculum course under § 141.57 entitles the school to have “Special Curriculum Course” appear on its school certificate.

**O. Denied Ratings.** An applicant may reapply at any time for an FAA Form 8000-4 or rating in the same manner as prescribed for initial application. At the inspector’s discretion, reinspection of previously approved areas may not be necessary. However, if more than 120 days have elapsed, a complete inspection should be accomplished before issuance of the certificate.

**P. Certification Team Assignment.** As described in the procedures in Volume 2, Chapter 1, Section 1, the Flight Standards District Office (FSDO) manager assigns the applicant a certification team. The manager also designates one member of the team as the certification program manager (CPM).

### 2-1070 FORMAL APPLICATION PHASE.

**A. The Formal Application Meeting.** If the certification team decides to have a formal application meeting, all members of the team should be present.

**B. Meeting Topics.** The meeting should review, but not be limited to, the following:

- The application,
- The schedule of events, if applicable,
- The training course outline (TCO) and curriculum, and
- Personnel, aircraft, and facility requirements.

**C. Application Denial.** Denial of an application must be substantiated with documentation of the reasons for denial.

### 2-1071 DOCUMENT COMPLIANCE PHASE.

**A. TCOs.** Training course outlines (TCOs) must be submitted in duplicate. However, during initial approval of the TCO, the inspector may request only one copy for review. Once the TCO has met all the requirements, the applicant submits the required two copies.

**B. Commercially Produced Syllabuses.** Commercially produced syllabuses should be submitted a minimum of 30 days before the expected training begins. See §§ 141.53 and 141.55.
C. Special Curriculums. A pilot school or provisional pilot school may apply for approval to conduct a special course of pilot training provided the training curriculum is not one that is prescribed in the appendixes of part 141. A special course of airman training must contain features that can be expected to achieve a level of pilot competency equivalent in scope and depth to that achieved by the curriculum prescribed in the appendixes of part 141 or the requirements of 14 CFR, part 61. A designated pilot examiner (DPE) may only conduct a practical test for pilot certification provided the applicant has completed the pilot school/provisional pilot school’s training course requirements and has received a graduation certificate. A pilot school may not apply for examining authority unless the training course meets the requirements set forth in the appropriate appendixes of part 141. A pilot school may not apply for a training course under § 141.55(d) or (e) unless that pilot school has held a pilot school certificate (emphasis added: pilot school certificate) for at least 24 calendar-months. If a pilot school applies for a special course of airman training with reduced training times, then that pilot school must comply with the provisions set forth in § 141.55(d) and (e). In accordance with § 141.55(d)(3) and (e)(4), a pilot school may not be approved for examining authority for a special course of airman training that has been approved for reduced training times. A provisional pilot school may not apply for a special course of airman training with reduced training times under § 141.55(d) and (e).

1) An original and one copy of a proposed special curriculum must be submitted along with a cover letter requesting FAA approval at least 60 days before the training is scheduled to begin. Approval or denial should be accomplished within 30 days, allowing the school sufficient time to develop a TCO based on the special curriculum.

2) When a special curriculum is approved, each page of the original and office copies should be dated and signed by the principal operations inspector (POI). The original copy of the special curriculum should be returned to the school.

3) When a special curriculum is disapproved, the original and copy submitted to the FAA should be returned to the applicant along with a letter clearly explaining why the materials were disapproved (Figure 2-62). A copy of the letter is retained in the school’s file at the FSDO. If major changes to a special curriculum or TCO are necessary, the letter to the school should clearly state that additional time will be needed for review when resubmitted.

D. Title 14 CFR Part 141 Appendixes. It is imperative that when a school applicant applies for its ratings, the TCOs be reviewed carefully against the part 141 appendixes. For schools that submit TCOs and meet minimum time requirements of part 141, in accordance with § 141.55(d) or (e) (as appropriate), it is imperative that these school’s TCOs cover all of the aeronautical knowledge areas and areas of operations required for the certificate and ratings. The following are the certification and rating courses, special preparation courses, and pilot ground school courses contained in these part 141 appendixes.

1) Certification and Rating Courses.

a) Recreational Pilot Certification Course—Appendix A prescribes the requirements for the recreational pilot certificate with the following ratings:
• Airplane single-engine,
• Rotorcraft helicopter, and
• Rotorcraft gyroplane.

b) Private Pilot Certification Course—Appendix B prescribes the requirements for the private pilot certificate for the following ratings:

• Airplane single-engine,
• Airplane multiengine,
• Rotorcraft helicopter,
• Rotorcraft gyroplane,
• Powered-lift,
• Glider,
• Lighter-than-air airship, and
• Lighter-than-air balloon.

c) Instrument Rating Course—Appendix C prescribes the requirements for an instrument rating for the following:

• Instrument—airplane,
• Instrument—helicopter, and
• Instrument—powered-lift.

d) Commercial Pilot Certification Course—Appendix D prescribes the requirements for the commercial pilot certificate for the following ratings:

• Airplane single-engine,
• Airplane multiengine,
• Rotorcraft helicopter,
• Rotorcraft gyroplane,
• Powered-lift,
• Glider,
• Lighter-than-air airship, and
• Lighter-than-air balloon.

e) Airline Transport Pilot Certification Course—Appendix E prescribes the requirements for the Airline Transport Pilot (ATP) certificate for the following ratings:

• Airplane single-engine,
• Airplane multiengine,
• Rotorcraft helicopter, and
• Powered-lift.

f) Flight Instructor Certification Course—Appendix F prescribes the requirements for the flight instructor certificate for the following ratings:
• Airplane single-engine,
• Airplane multiengine,
• Rotorcraft helicopter,
• Rotorcraft gyroplane,
• Powered-lift, and
• Glider.

**g)** Flight Instructor Instrument (for an Airplane, Helicopter, or Powered-Lift Instrument Instructor Rating, as Appropriate) Certification Course—Appendix G prescribes the requirements for the flight instructor instrument certificate for the following ratings:

• Flight Instructor Instrument—airplane,
• Flight Instructor Instrument—helicopter, and
• Flight Instructor Instrument—powered-lift.

**h)** Ground Instructor Certification Course—Appendix H prescribes the requirements for the ground instructor certificate for the following ratings:

• Ground Instructor—Basic,
• Ground Instructor—Advanced, and
• Ground Instructor—Instrument.

**i)** Additional Aircraft Category or Class Rating Course—Appendix I prescribes the requirements for an additional aircraft rating for the following:

• Airplane single-engine,
• Airplane multiengine,
• Rotorcraft helicopter,
• Rotorcraft gyroplane,
• Powered-lift,
• Glider,
• Lighter-than-air airship, and
• Lighter-than-air balloon.

**j)** Aircraft Type Rating Course, for Other Than an Airline Transport Pilot Certificate—Appendix J prescribes the requirements for an aircraft type rating for the following:

• A type rating in an airplane category, single-engine class,
• A type rating in an airplane category, multiengine class,
• A type rating in a rotorcraft category, helicopter class, and
• A type rating in a powered-lift category.

**2) Special Preparation Courses**—Appendix K prescribes the requirements for the following special preparation courses:

• Pilot refresher course,
• Flight instructor refresher course,
• Ground instructor refresher course,
• Agricultural aircraft operations course,
• Rotorcraft external-load operations course,
• Special operations course, and
• Test pilot course.

3) Pilot Ground School Course—Appendix L prescribes the requirements for pilot ground school courses.

E. Part 61 Amendments. If ground or flight time requirements are amended in part 61, at the time of renewal of the part 141 pilot school certificate, affected TCOs must be amended to meet these new training time requirements.

2-1072 DEMONSTRATION AND INSPECTION PHASE.

A. Facilities and Training Aids. A pilot school is required to have certain facilities in order to obtain and maintain an FAA Form 8000-4. Included in these facilities are the business office and main base of operations, pilot briefing areas, aeronautical knowledge training facilities, use of airports, and satellite bases.

1) The applicant having ownership of the required facilities or by having a written agreement with the facility owners may show continuous use of facilities. A written agreement must state that the applicant has the required continuous use of the necessary facilities for at least 6 months from the date of the application for the initial certification or renewal of a school certificate.

2) Each pilot school or provisional pilot school is required to maintain a principal business office with a mailing address the same as that on the school certificate. The purpose of a principal business office is to provide a specific location for the required school files and records, and a location where the operation of school business may be conducted. This requirement should not be construed to mean that all school functions, such as scheduling flights, training functions, etc., must be conducted at the principal business office.

a) While part 141 does not require that a business office be a room with four walls and a door, the regulation does prohibit the sharing of a single business office by more than one pilot school. Therefore, walls or partitions to ensure separation from another pilot school’s activity should conspicuously isolate the business office.

b) The business office should be situated so the required school files and student training records are kept up to date and available to students and instructors alike. This serves the purpose of providing on-the-spot information regarding training progress and other business interests.

c) If the pilot school should choose to change the location of its business office or base of operations, the school is required to notify the jurisdictional FSDO in writing of the planned move at least 30 days prior to the change. Such written notice should be accompanied by
a new application, FAA Form 8420-8, Application for Pilot School Certificate, showing the change of address or the change in the base of operations as appropriate. In any case, the notice of a change of operating base must be accompanied by necessary amendments to approved TCOs.

d) Primary category aircraft (PCA) are eligible for use for flight instruction.

3) A school is required to have continuous use of a pilot briefing area at each airport where training flights originate. This does not include airports used as destinations for cross-country flight training. The briefing area must meet the requirements of § 141.43. Pilots not participating in the school’s training programs can use the briefing facilities, provided that orderly school functions are maintained. However, no other pilot school may use the area during the period it is to be used by the applicant. Briefing areas are subject to FSDO approval under the provisions of § 141.43.

   a) To meet the requirements of § 141.43, the equipment should include a chalkboard and tables of adequate size to lay out aeronautical charts.

   b) If a school offers instrument or commercial pilot courses, it needs to have access to a flight service station (FSS). A telephone in the briefing room is acceptable.

   c) To preclude a disruption of schedules due to excessive travel time and a lack of communications between the flight line, business office, and briefing area, the area should be located near enough to the airport where training flights originate.

4) The FAA recognizes that pilot training methods differ from other kinds of training. Pilot schools enroll students with widely varying backgrounds, goals, and varying degrees of motivations and aviation experience. For this reason, it is understandable that it is not always possible to schedule large classes for aeronautical knowledge training at one time. Individual instruction is often necessary for maximum benefit to a particular student. Therefore, it is anticipated that FAA-approved schools will use classrooms, small isolated rooms, training booths, or other areas with an instructor or a training aid, as appropriate. Each aeronautical knowledge training area is required to be heated, lighted, and ventilated to meet the applicable building code requirements for the area concerned. All ground instructional facilities are subject to approval by the jurisdictional FSDO under § 141.45.

5) A certificate holder may use training aids to improve communication between instructors and students.

   a) Training aids are instructional aids defined by the National Education Association as “devices that assist an instructor in the teaching and learning processes by presenting, supporting, or supplementing material, usually intermittently. They are not self-supporting.” The key factor is that such aids support, supplement, or reinforce.

   b) Identified in each course outline, training aids should be easily understood, readily visible, and compatible with the learning outcomes expected in the completion standards for the lesson. They must be accurate and appropriate to the course. The effectiveness of aids is
judged by their organization, sequencing, pattern of logic, and their overall effectiveness when used in support of obtaining the objectives and standards prescribed by the training syllabus.

c) Recent years have seen an abundance of excellent new material and techniques in training aids. The aids present many advantages for the school. Each school must keep in mind the teaching goals to be achieved, including the continuous monitoring of student progress necessary to develop effectively the knowledge of each student according to the training syllabus. Aids do not replace the instructor. It is not expected that students be sent off alone to learn from a training aid.

d) Notwithstanding the complexity or design of a training aid, the chief instructor or an authorized, qualified representative must determine through personal review or testing that the standards for each lesson have been attained through use of the training aid. The purpose of this personal review or testing is to ensure that students meet the completion standards and understand missed questions, if a knowledge test is given. Only through such evaluation can the instructor make a sound determination that the student should progress to the next lesson or that the student requires review of subjects or procedures previously covered. This helps in determining the effectiveness of the training aid.

6) An applicant for a pilot school or provisional pilot school certificate must show that it has the continuous use of each airport where training flights originate (airports where flights are dispatched or initiated).

a) Airports that the applicant use must meet the requirements of § 141.38.

b) Landing area outline lights, water area boundary lights, or temporary lighting such as flare pots or deployed portable electric runway lighting systems do not meet the requirements of § 141.38(e).

c) Though the wind tee and tetrahedron may serve as landing direction or wind indicators, according to the FAA-H-8083-25, Pilot’s Handbook of Aeronautical Knowledge, pages 12-8 and 12-9, the Aeronautical Information Manual (AIM) cautions against using the tetrahedron as a wind indicator (AIM page 4-3-4). The wind tee, under certain circumstances, may be either an active runway or wind indicator.

d) When required, the traffic direction indicator (refer to § 141.38(d)) must show the direction of traffic patterns for all runways regardless of landing or takeoff direction.

NOTE: When referring to pilot schools approved for lighter-than-air balloons, the term “airport” should be taken to mean launch site. An important training element in balloon training is proper site selection. Before the launch of a balloon, an instructor authorized by the school must approve the site. The specific equipment requirements of § 141.37, (i.e., runway lights, traffic direction indicators, and wind direction indicators) are inappropriate for lighter-than-air balloon operations. Wind direction may be determined by means of a pilot balloon. The area downwind from the launch site should be free of obstructions for 100 feet for each knot of wind. For example, a 4-knot wind requires a 400-foot area free of
obstruction downwind. Landing site selection will be determined by the pilot-in-command (PIC).

B. Satellite Bases. A school may conduct aeronautical knowledge or flight training in an approved course of training at one or more satellite bases. An assistant chief instructor must be designated for each satellite base, and the airport, facilities, and personnel used at the satellite base must meet the requirements of part 141, including approval of the satellite base and its facilities in the approved TCOs for courses given at those bases.

1) If a valid reason exists, training may be conducted for periods up to 7 days at a satellite base without approval of the jurisdictional FSDO. For example, runways may be closed at the main operations base for maintenance, or other activities may be underway on the airport. The jurisdictional FSDO must be notified in writing if training is conducted at a satellite base for more than 7 consecutive days.

2) When the jurisdictional FSDO is notified that a school will conduct training at an unapproved satellite base for more than 7 consecutive days, an operations inspector should determine if the operations are of a temporary nature or if they will involve extended use of the unapproved base. If, in the opinion of the operations inspector, temporary use of the unapproved base will not derogate safety or the quality of training, temporary operations at that base may be authorized for a period of time not to exceed 30 days.

3) If operations at the unapproved satellite base will exceed a period of 30 days, the school should apply to the jurisdictional FSDO for the approval of a satellite base on FAA Form 8420-8. Along with the application, two copies of the appropriate amendments for each approved training course to be given at the satellite base must be submitted.

4) Each satellite base that approval is requested for is inspected to ensure that each meets the requirements of part 141 and training, as described in each approved course of training, can be effectively accomplished. (See Volume 6, Chapter 7, Section 1, Conduct Facility Inspection of a Part 141 Pilot School.)

5) If a satellite base is located in an area under the jurisdiction of another FSDO within the same region, the FSDOs involved must coordinate directly with each other.

6) If the applicant intends to conduct training at a satellite base located in another FAA region, the FSDO where the applicant’s principal business office and main operating base is located is responsible for inspection and approval of the satellite base.

   a) The jurisdictional FSDO should request assistance through the regional office to make arrangements through the region where the satellite base will be located in certificating and providing surveillance of operations at the satellite base. In some FSDOs the geographic unit may be responsible for surveillance and inspection.

   b) If a region determines that it cannot provide such assistance because of inspector workload or other reasons, the region should make arrangements to allow the certificate-holding district office (CHDO) to cross regional boundaries and conduct the necessary inspections and surveillance.
c) When another region agrees to provide assistance in inspecting and surveying a satellite base, a copy of the school certificate and a list of approved courses, including a copy of each inspection report or any other action, must be furnished by the CHDO through regional channels.

d) Coordination between all FSDOs where the school maintains a satellite base must be accomplished before issuance of the FAA Form 8000-4.

7) The inspector completing FAA Form 8420-8 as shown in Figure 2-63 accomplishes approval of the satellite base. One copy of the form may be returned to the applicant, and one copy is placed in the school files at the FSDO. Amendments to each course of training to be given at the satellite base are approved individually, as appropriate.

8) When an application is disapproved, the applicant should be notified in writing (Figure 2-64). This notification should include all of the reasons why the application was disapproved.

9) When an operator plans to conduct training at a location other than the main base of operations for more than 7 consecutive days, the CHDO must notify the FSDO having jurisdiction over the area where training will be given. The new training location is not considered a separate school operating under the main base operating certificate number designation; a separate operating certificate is not issued. CHDOs should coordinate efforts to ensure that standardized certification of applicants within their FSDO area occurs and that the necessary work program functions are accomplished.

C. Aircraft, Flight Simulators, and Flight Training Devices. As specified in §§ 141.39 and 141.41, each aircraft used by a school for pilot training is required to be a civil aircraft of U.S. registry. Training aircraft must be certificated in the standard airworthiness category except that aircraft used for a course of training in agricultural aircraft operations, external-load operations, and similar aerial work operations (e.g., banner towing and sky writing) may be certificated in the restricted category. When a personal computer-based aviation training device (PCATD) is used in an approved training course, the full extent of that use should be clearly stated in the training syllabus and the learning outcomes should be well defined. This is necessary to provide the instructor with proper guidance, and give the FAA a baseline from which to judge the adequacy of the device to be used. No other special airworthiness certificate is acceptable.

1) Each aircraft used by a school for flight training must be inspected and maintained in accordance with 14 CFR part 91, §§ 91.409(b) (applies to aircraft used to give flight instruction for hire), 91.409(c)(2), or 91.409(d) or (e).

   a) This requires aircraft used in an approved course of training to have 100-hour and annual inspections or to be maintained following a procedure prescribed under § 91.409(c)(2).

   b) It should be clearly understood that these inspection requirements include aircraft used for dual instruction, solo, and PIC flights.
c) Aircraft to be used by pilot schools will be inspected by an airworthiness inspector.

2) When a student enrolled in an approved school provides an aircraft for personal use in an approved course, that aircraft must meet the requirements of the training aircraft described in the appropriate TCO. In addition, that aircraft must meet the same inspection requirements as aircraft operated by the approved school.

3) Aircraft used for instrument training should be equipped as follows to meet the requirements of part 141:

   a) If the approved training syllabus requires flights under instrument flight rules (IFR), the aircraft used must be one in which instrument flight is authorized by its operating limitations and by its equipment.

   b) If the approved training syllabus requires only simulated IFR operations, the aircraft must be equipped and maintained for IFR operations. However, IFR operations need not be authorized by its operating limitations.

   c) An aircraft not completely equipped for IFR operations may be used for instruction in the control and maneuvering of an aircraft by reference to instruments if it is approved in the TCO. For example, an airplane need only be equipped with appropriate flight instruments needed for the basic instrument portion of a course.

4) The commercial pilot certification course (airplane), set forth in part 141, appendix D, requires flight instruction in an airplane with retractable gear, flaps, and controllable propeller.

   a) Single or multiengine airplanes may be used to fulfill this requirement. Use of an appropriately equipped multiengine airplane to meet the complex airplane requirements for a commercial single-engine airplane certificate does not result in the issuance of a multiengine rating.

   b) If a school applies for a commercial pilot certification course (airplanes) with a seaplane-class rating (using seaplanes for the entire course), a special curriculum should be submitted under § 141.57 that includes the general requirements of Appendix D, Commercial Pilot Certification Course. The complex airplane used in such a course must have flaps, a controllable propeller, and floats. The use of an amphibian airplane in a commercial pilot certification or course could qualify a student for both a land and sea-class rating, provided the TCO was so approved.

5) A variety of airplanes is used in pilot training. Some are uncomplicated while others are more complicated, and their checklists vary accordingly. The requirements for a checklist defined in the terms of “pretakeoff” and “prelanding” in § 141.75(a) are broad and allow less complicated aircraft to be equipped with relatively simple checklists. The FAA expects (because of good operating practices) that schools should expand checklists for aircraft that are more complicated.
6) Under § 141.75, when the manufacturer provides a pilot’s operating handbook or aircraft flight manual, it must be carried aboard the aircraft. (A school may elect to issue copies of aircraft checklists and handbooks to students.) The primary purpose of carrying the handbook aboard the aircraft is to provide the pilot with information such as performance data, servicing instructions, and weight and balance information. Some handbooks contain checklists that may be useful in developing a standard checklist. They should be available to the pilot during emergency procedures training or an actual emergency, particularly when there is only one pilot aboard the aircraft.

7) The training syllabus should clearly state the full extent that an approved training course uses a PCATD. The objectives to be achieved in using the PCATD should be well defined.

   a) Section 141.41(a) prescribes the requirements that may be used to obtain the maximum flight training credit allowed for flight simulators in an approved pilot training course.

   b) Section 141.41(b) provides for the use of flight training devices (FTD) that do not meet the more complex requirements of § 141.41(a). A large number of training devices currently being used by pilot schools do not meet all of the requirements proposed in § 141.41(a). In recognition of the fact that these devices can be used to provide effective instruction in certain operations, provisions for their use have been made. Once again, however, it is imperative that the training syllabus clearly defines their use.

   c) Because of limitations, full credit against flight time is not allowed for instruction in FTDs not meeting all of the requirements proposed in § 141.41(a). The provisions in part 141 allow credit for instruction in FTDs for a certain percentage of the credit of the training time.

   d) Discretion must be used when approving a training syllabus that substitutes instruction in an FTD or flight simulator for the flight time required in a complex airplane. Any use of a flight simulator or FTD in lieu of flight time in a complex airplane must be justified with clearly stated objectives in the training syllabus that are applicable to the skills expected to be learned in a complex airplane. Approval of the TCO must be based on the ability of the flight simulator or FTD to provide effective training for a complex airplane.

   e) Guidance from the National Simulator Team in Atlanta, Georgia, may be needed to approve a school’s simulators.

   f) In addition to the permitted use of flight simulators and FTDs that are covered in the appendixes of part 141, part 61, § 61.4 also covers the approval of flight simulators and FTDs.

D. Flight Instructor Responsibilities. Part 141 requires all flight instructors employed by a school to be qualified to teach each course of training they are assigned. Certain knowledge and proficiency tests, to be accomplished before being assigned to an approved course of training, are also prescribed.
1) The instructor must satisfactorily accomplish a flight check for each course of training taught.
   a) This flight check is given to the instructor by the designated chief instructor, assistant chief instructor, or check instructor.
   b) The instructor must accomplish a flight check every 12 months thereafter for each course of training the instructor participates in.
   c) The pilot school must maintain a record of these flight checks to show compliance with § 141.79(d).

2) The instructor must satisfactorily accomplish a one-time practical test in each type of aircraft (e.g., Cessna 150, Cessna 172) before giving any flight instruction in the particular aircraft.

3) The chief instructor, assistant chief instructor, or check instructor must brief all instructors teaching that course on the objectives and standards of the course.
   a) The pilot school must maintain a record verifying this briefing to show compliance with §§ 141.79(d) and 141.81(c).
   b) At any time, an inspector may ask an instructor to explain the objectives and standards of an approved course.

4) The instructor must maintain records of instructor briefings and instructor practical tests in either a logbook or in the permanent school records at the home base of operations.

5) Student pilots cannot be authorized to start a solo practice flight from an airport until an authorized flight instructor, who is present at the airport, has approved the flight. Solo cross-country flights, when properly dispatched from the originating airport, are considered to have approval for the entire flight (§ 141.79(b)).
   a) If unexpected weather or mechanical problems delay a student en route or a student intends to remain overnight, the school should either:
      - Arrange for another instructor based at the point of delay to dispatch the flight, or
      - Have a school instructor dispatch the flight by telephone.
   b) Cross-country flights should be made to specific airports that the school determines are suitable. The operator may wish to provide students with a list of these suitable airports or include the list in the appropriate TCO.

E. Other School Personnel. Section 141.33 states that an applicant for a pilot school or provisional pilot school certificate must show that there are adequate personnel and authorized
instructors, including a chief instructor, for each course of training. All instructors (flight or ground) must be qualified and competent to perform their assigned duties.

1) In addition, each dispatcher, aircraft handler, line crewman, and serviceman to be used must have been instructed in the procedures and responsibilities of employment. The inspector should recommend that the pilot school keep a record of this instruction in the employee’s personnel file.

2) A pilot school may elect to use verbal instructions, manuals, or any other means to ensure that dispatchers, aircraft handlers, line crewmen, and servicemen are knowledgeable and capable of performing their assigned duties. A school needs to provide only the employees necessary to conduct training adequately.

2-1073 CERTIFICATION PHASE.

A. Ratings. FAA Form 8000-4 must list the various training course ratings for which a pilot school/provisional pilot school qualifies for a special curriculum under §§ 141.11 and 141.57, if applicable. These ratings do not specifically address each approved course of training that a school may be authorized to give. Under the broad listing of ratings found in §§ 141.11 and 141.57, if applicable, a school could be authorized to conduct nearly a hundred different courses.

B. Approved Courses. The certification team issues a list on approved courses of training, identifying each authorized course by its title, with the FAA Form 8000-4. All courses must conform to the ratings listed in § 141.11.

1) The list is typed on FAA stationery, in a format similar to that shown in Figure 2-65, and signed by the FSDO manager. The original is given to the school and a copy placed in the FSDO file.

2) If a list of approved courses is amended, the original is returned to the jurisdictional FSDO. The list remains in effect until it is amended or the school certificate is expired, surrendered, suspended, or revoked.

2-1074 SCHOOL ENROLLMENT AND GRADUATION.

A. Enrollment. When a certificate holder enrolls or reenrolls a student in an approved course of training, § 141.93 requires the student be furnished the following information and materials:

1) A certificate of enrollment containing the name of the course the student is enrolled in and the date of enrollment.

2) A copy of the training syllabus required under § 141.55(c)(7).

3) A copy of the safety procedures and practices developed by the school, such as procedures for the use of training aids, off-limit areas, handling of aircraft, parking instructions,
and other safety instructions that the school deems necessary. These safety procedures must include the following:

a) The weather minimums required for dispatching dual and solo flights. For example, minimum ceiling visibility and wind velocities for local flights and specific weather minimums for cross-country flights;

b) The procedures for starting and taxiing aircraft on the ramp;

c) The precautions and procedures for aircraft fire;

d) The redispach procedures after unplanned landings on and off airports. This should include emergency security of the aircraft and a list of telephone numbers of persons to contact;

e) The procedures for listing aircraft discrepancies and how corrective action is taken, including the importance of not using an aircraft with a listed discrepancy until a properly qualified person determines its airworthiness;

f) The securing of aircraft when not in use;

g) The fuel reserves necessary for local and cross-country flights;

h) The avoidance of other aircraft in flight and on the ground;

i) The minimum altitude limitations certain minimum altitudes may be specified for teaching and practicing stalls or other maneuvers;

j) The instructions concerning simulated forced landings. Instructions should be clear on simulated emergency landings with respect to engine cooling down during prolonged glides, engine response with rapid throttle application, and a specific minimum altitude for terminating simulated emergency landings and other instructions deemed necessary by the school;

k) The assigned practice areas, including descriptions and diagrams of the areas and special instructions with respect to how to operate in them, how to get to them, and minimum altitudes en route; and

l) Any instructions or guidance that the school believes necessary to provide the highest standards of safety and operational control expected of an FAA-approved school.

B. Credit for Previous Training. When a student transfers from one FAA-approved school to another approved school, course credits obtained in the previous course of training may be credited in accordance with § 141.77 by the receiving school. However, the receiving school must determine the amount of credits to be allowed by flight check or knowledge test or both. Credit for ground school only instruction may be determined by an oral examination.
1) A student may not be credited with more training by the receiving school than was credited at the school the student transferred from.

2) A student who enrolls in a course of training may receive credit for 25 percent of the curriculum requirement for knowledge and experience gained in a noncertificated flight school.

3) The amount of credit for previous training allowed, whether received from an FAA-approved school or other source, must be placed in the student’s enrollment record at the time of enrollment.

4) Transferred documentation must be made a part of the receiving school’s permanent record.

5) When a student transfers from one FAA-approved school to another, or terminates training for any reason, the student must be given, upon request, a transcript of the results of the student’s participation in that course of training. This transcript should be signed by the chief instructor of the course and should consist of at least the following:

   - Name of the school that gave the training, including the school’s certificate number, if applicable;
   - Kind of training given (dual, solo, aeronautical knowledge school, PCATD, time, etc.);
   - Course or courses taken;
   - Result of each stage and final test given; and
   - Statement that the student was enrolled in that school’s approved course of training before receiving the certified instruction and training.

C. Training Records. Each pilot school and provisional pilot school must keep accurate and current records of each student’s participation and accomplishments in an approved course.

   1) A student’s personal logbook is not considered an acceptable record under § 141.101.

   2) For each student, the training record should include:

      - The date of the student’s enrollment.
      - A chronology of the student’s attendance, subjects, and flights.
      - The names and grades of any tests taken.
      - The date of graduation, termination of training, or transfer.

   3) The record should also show the credit allowed for a student transferring from another school, if applicable.

   4) Whenever a student graduates, terminates training, or transfers, the chief instructor must certify the record.
5) Pilot schools must retain each student’s record for at least 1 year from the date the student graduates, terminates a course, or transfers to another school.

6) On a student’s request, a pilot school must make a copy of a student’s record available to the student. The pilot school must also permit the FAA to view any or all student records upon request.

2-1075 RENEWAL, AMENDMENT, CANCELLATION.

A. Renewal. A pilot school or provisional pilot school certificate, and any associated ratings or examining authority on that certificate, expires at the end of the 24th month after the month it was issued.

1) Application for renewal of an FAA Form 8000-4 must be made at least 30 days before the certificate expires.

   a) Application is made by submitting two copies of FAA Form 8420-8, completed as shown in Figure 2-66.

   b) A school may apply for the renewal of any or all ratings it holds, or it may apply for the addition of a new rating.

   c) Examining authority should be renewed at the same time the school certificate is renewed.

2) A school must meet the same requirements for renewal as for original certification. Therefore, upon the receipt of an application for the renewal of a school certificate, the jurisdictional FSDO should conduct the same evaluation of qualifications and inspection of facilities as required for original certification. However, if the FSDO is very familiar with the school’s operation or has recently inspected it, there may be no need for an extensive reinspection or for reexamination of instructors. The FSDO always has the option of a full inspection.

3) When all requirements are met, a new FAA Form 8000-4 is issued and is valid for additional 24 calendar-months. The original certificate number is reissued and the provisional pilot school’s VIS is appropriately updated.

   a) If a pilot school (as defined in the regulations) does not meet the quality of training requirements of § 141.5(d) at the time of renewal, the FSDO issues a new certificate for a provisional pilot school and the VIS is updated to reflect the change. A school with examining authority and/or reduced time courses loses examining authority and/or reduced time courses when downgraded to a provisional school.

   b) If, after another renewal period (24 calendar-months), the school still does not meet the requirements of § 141.5(d), the school must wait a period of 180 days before reapplying for certification as a provisional school. All training conducted during that 180 days must meet the requirements of part 61, including passing knowledge and practical tests for certificates or ratings.
4) In the event any requirement for a specific rating or approved course of training is not met, the ratings for all requirements that are met may be renewed and a new certificate issued bearing only these ratings.

   a) If renewal of a rating is denied or a course of training does not meet the appropriate requirements, the applicant is notified in writing of the reasons for the denial of the rating.

   b) In addition, the school must be advised, in writing, to discontinue instructing any course of training in question until appropriate changes are made and the courses again meet the requirements of part 141 (Figure 2-67).

5) If there are no changes to the list of approved courses at the time of renewal, there is no need to reissue the list. However, if courses are added or deleted at the time of renewal, a new list of approved courses is issued. If a school has examining authority and is downgraded to a provisional school, the list of approved courses must be reissued with the indication of examining authority removed from the appropriate courses.

B. Amendment. Application for amendment of an FAA Form 8000-4 is made to the jurisdictional FSDO. The FAA can also initiate the amendment under Title 49 of the United States Code (49 U.S.C.) and 14 CFR part 13.

1) Application for the approval of a course of training that results in the addition of a rating to an FAA Form 8000-4 is made by submitting two copies of FAA Form 8420-8 with the amendment checked as shown in Figure 2-68, two copies of the course of training, and a cover letter requesting approval of the course.

   a) After review of the course, an inspection of the school’s facilities and personnel should be made, as necessary, to ensure that training can be conducted in accordance with the proposed course, before it is approved.

   b) If the school inspection is satisfactory, a new FAA Form 8000-4 bearing the new ratings will be issued, along with an amended list of approved courses. The amended certificate should bear the original number, the original expiration date, and the reissue date.

2) An application for the deletion of a rating from an FAA Form 8000-4 may be accepted in the form of a letter from the certificate holder.

   a) Such a letter must be signed by a person authorized to sign for the school, such as the person who signed the original application or a person in a similar position in the school.

   b) No inspection is required for deletion of a rating.

   c) The FSDO issues a new certificate bearing the original number, the original expiration date, and a reissue date. The deleted rating is omitted from the certificate and a new list of approved courses is issued. The old certificate should be retained in the FSDO school file for 2 years.
3) A change in the ownership of a pilot school does not terminate that certificate if
the new owner applies for an appropriate amendment to the certificate by submitting two copies
of FAA Form 8420-8 within 30 days after the date that the change in ownership occurs. The new
ownership may not involve a change in the facilities, instructor personnel, or training course.

4) A change of ownership involving a change in the school facilities, instructor
personnel, or training courses terminates the school certificate. The school may be issued another
certificate when it demonstrates that it meets all the requirements for original certification.

5) When a certificated school changes its name only, and the name change involves
no change in ownership, facilities, instructor personnel, or training courses, a new certificate is
issued in the new name, bearing the same certificate number, ratings, and original expiration
date. An inspection is not required under such circumstances.

6) An application for an amendment to a previously approved special curriculum or
TCO is made by submitting two copies of the curriculum or outline pages to be amended to the
jurisdictional FSDO.

   a) Each proposed amendment should be accompanied by a cover letter
      explaining the basic changes, the intent, and requesting FAA approval.

   b) Approval or disapproval is accomplished in the same manner as the original
      approval or disapproval.

   c) If a certificate amendment requires an inspection of the aircraft to be used, all
      specialists should sign FAA Form 8420-8 under the Recommendations of Inspector(s) block.

C. Cancellation. An FAA Form 8000-4 can be canceled by the school or by the CHDO
as the result of actions taken under 49 U.S.C. and part 13.

   1) The jurisdictional FSDO may suspend or revoke FAA Form 8000-4 on any
      grounds that would be a cause for denying an application for the original certificate. In such a
      case the certificate must be surrendered to the FAA in a manner prescribed by the regional
      counsel.

   2) The holder of an FAA Form 8000-4 may request cancellation of the certificate or
      any rating at any time. The request should be submitted in writing to the jurisdictional FSDO,
      accompanied by the FAA Form 8000-4 to be canceled. The request must be signed by the person
      or persons authorized to sign for the certificate holder.

      a) If there is no violation action pending or contemplated against the school, the
         FSDO may accept the certificate for cancellation.

      b) If enforcement action is pending or contemplated, the applicant should be
         advised that acceptance for cancellation must await the decision of the regional counsel and that
         the school will be notified of the action taken. The school’s request should then be forwarded to
         the regional counsel’s office with a summary of the circumstances under which it was submitted.
         Cancellation should be effective only after clearance is received from that office.

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3) If a request for the surrender of a rating or ratings on an FAA Form 8000-4 is accepted, a new certificate should be issued bearing the ratings that remain valid and the original expiration date.

2-1076 REQUIRED REPORTING OF SCHOOL GRADUATION RECORDS.

A. Graduation Records. Approved schools (i.e., schools that are approved under part 141) are required to submit reports electronically of school graduation records on students who complete the school’s approved training program to: Federal Aviation Administration (FAA) Airman Testing Standards Branch, AFS-630. This paragraph provides information and guidance to part 141 schools on the standardized process for submitting these required reports of school graduation records on students who complete the school’s approved training program.

B. Formalization of Procedures. The purpose of this paragraph is to formalize procedures for the collection of school graduation records to be used in the development of a part 141 norms report. A school’s norms report will be used to monitor school performance and determine whether schools meet the quality of instruction provisions of § 141.83(a).

C. Validation of Certification Process. On January 14, 2000 the Director, Flight Standards Service, AFS-1, authorized AFS-630 to collect and analyze knowledge and practical testing data for validation of the certification process. The initial school’s norms reports will provide information relating to the competence and knowledge of: Private Pilot—Airplane (PAR), Commercial Pilot—Airplane (CAX), and Instrument Rating—Airplane (IRA) program graduates who take the airman knowledge tests. The reports will indicate school pass rates and school average scores on general subject areas covered on the associated airman knowledge tests. The school norms report will be published on the Internet for feedback to the reporting schools and flight standards community. No sensitive or confidential information related to individual test scores will be published or otherwise distributed. Future reports will assess the validity and reliability of other airman knowledge and practical tests.

D. School Completion Data. Because test applicants report school completion information infrequently, it has become necessary to establish a process to include this data in the airman testing standards (ATS) database. System requirements for submission of school completion data to AFS-630 were outlined in a memorandum dated March 28, 2000, from the manager of the Regulatory Support Division, AFS-600.

E. School Completion List Policy. The following policy guidelines and procedures apply to submission of school completion lists from part 141 schools.

1) All part 141 schools will electronically transmit a course completion list to Airman Testing Standards Branch, AFS-630, within 5 days of completion of the following ground school programs: PAR, CAX, and IRA. The list will be electronically transmitted through a secure network at the following Internet Web site http://afs600.avr.faa.gov, under the menu item Airman Education. All certificated schools will complete a registration screen located at the above web site. Each school will designate a primary contact who will assign authorized user names and passwords to additional school personnel with data entry responsibilities. The primary contact will ensure that each active account is properly maintained. Only authorized
users will be able to access this data. Either Internet Explorer or Netscape (version 4.0 or above) browsers are required to complete data entry.

NOTE: Schools without Internet access should contact AFS-630 for alternate guidelines on registration and submission of school completion lists. A form that can be scanned will be sent to the school, and the completed lists will be mailed to: FAA Airman Testing Standards Branch, AFS-630, P.O. Box 25082, Oklahoma City, OK 73125.

2) Schools will supply the following information at registration: school type, school name, certification number, primary contact name and phone number, and authorizing FSDO or International Field Office (IFO). After receipt of an authorized user name and password, this data need not be resubmitted on subsequent transmissions, unless the information has changed.

3) When submitting a course completion list, the school will be able to enter the student information, print the completed list, and forward to the appropriate FSDO, if applicable. Editing capability will be available to correct and/or update lists once they have been submitted.

4) Specifications for the required data fields that are to be submitted are as follows:

- Registration data,
- School type,
- School name,
- School certificate number (8-digit alphanumeric),
- School primary contact (last name, first name, middle initial),
- Phone number (10-digit numeric),
- Authorized FSDO/IFO, and
- School completion list:
  - Current date (8-digit numeric—mmddyyyy),
  - Training course 3-digit identifier: PAR, CAX, or IRA,
  - Date of completion (8-digit numeric—mmddyyyy),
  - Student’s name (last name, first name, and middle initial), and
  - Student’s Social Security number (SSN) (9-digit numeric).
  - Student’s date of birth (8-digit numeric—mmddyyyy).

Date of Birth (8 digits) may be entered in lieu of SSN.
F. **FSDOs and Aviation Safety Inspectors.** FSDOs and aviation safety inspectors (ASI) who have duties and responsibilities of oversight of part 141 approved schools must notify their assigned schools of the requirements of this reporting. ASIs will ensure that their assigned school(s) electronically transmits the graduation records of students who complete the school’s approved training program to AFS-630.

2-1077 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. **Prerequisites.** Requires knowledge of the regulatory requirements of part 141 and FAA policies, and qualification as an ASI (Operations).

B. **Coordination.** Requires coordination with the airworthiness unit, the Aviation Data Systems Branch, AFS-620; AFS-630; and possibly the National Simulator Program, AFS-205.

2-1078 REFERENCES, FORMS, AND JOB AIDS.

A. **References (current editions):**
   - 14 CFR parts 1, 11, 61, 91, 97, and 141,
   - Advisory Circular (AC) 120-40, Airplane Simulator Qualification, and
   - AC 141-1, Pilot School Certification.

B. **Forms:**
   - FAA Form 8000-4, Air Agency Certificate (Figure 2-5), and
   - FAA Form 8420-8, Application for Pilot School Certificate (Figures 2-63, 2-66, 2-68, and 2-69).

C. **Job Aids:**
   - Sample letters and figures, and
   - Job Task Analysis (JTA): 3.4.7, 3.4.9, 3.4.11, 3.4.13, 3.4.17, 3.4.18, 3.4.20, 3.4.21, 3.4.22, and 3.4.23.

2-1079 PREAPPLICATION PHASE PROCEDURES.

A. **Initial Inquiry.** Upon initial inquiry from an applicant, determine the following:
   - The identity of applicant and address of the principal base of operations,
   - Any intended satellite base,
   - The type of ownership (private, corporate, etc.),
   - The proposed curriculum,
   - The types of aircraft,
   - The intended chief instructor and that instructor’s experience level,
   - The possible use of PCATDs,
   - The possible use of commercially produced syllabuses,
• If the operator intends to request examining authority for renewing or amending only, and
• If the operator intends to use contract training.

B. Applicant Resources. Ensure the applicant has current copies of parts 61, 91, and 141 and AC 141-1. If there is any question, explain:

• The general applicability and definition of terms.
• The certification requirements.
• The operating rules of part 141.
• The required records and reports.

C. PTRS. Open PTRS file.

D. Letter of Intent. Request a letter of intent from the applicant. (See subparagraph 2-1079E below for content of letter of intent and Figure 2-70 for a sample.)

E. FSDO Review of Letter of Intent. Within 30 working days of the FAA’s receipt of a letter of intent, review it to determine that it provides sufficient information for the certification process to continue. The letter of intent should contain the following:

• A statement of intent to become an approved pilot school under part 141,
• Company legal name and any doing business as (DBA) name, principal operations base address, primary airport address, mailing address (if applicable), and telephone numbers,
• Makes and models of aircraft, how many of each, and N-numbers,
• Estimated date when operations will begin,
• Training courses to be offered,
• Name and qualifications of the proposed chief instructor and any assistant chief instructors,
• Intent to use simulators/training devices,
• Intent to use personal computers for knowledge testing (for examining authority only), and
• Three, three-letter designators (in order of preference).

F. Application. Based on the review of the letter of intent, if the applicant appears to meet the basic eligibility requirements, give the applicant at least three copies of FAA Form 8420-8.

1) Discuss how to complete these forms. Advise the applicant to review AC 141-1 and the regulations before completing and returning the application to the jurisdictional FSDO.

2) Advise the applicant to submit the original and copies with original signatures.

3) Explain the certification process to the applicant, including the requirements for:

• The Preapplication Phase,
• The Formal Application Phase,
• The Document Compliance Phase,
• The Demonstration and Inspection Phase, and
• The Certification Phase.

G. Preapplication Meeting.

1) Determine if a preapplication meeting is necessary based on the following considerations about the applicant:
   a) Any previous part 141 operating experience;
   b) The size and scope of operation;
   c) The area of operation; and
   d) The applicant’s apparent ability to comply with requirements.

2) If a preapplication meeting is not necessary, schedule a date and time for a formal application meeting.

3) If a preapplication meeting is necessary, schedule a date and time. At the meeting, discuss the following:
   • The area of operation (primary airport and any satellite bases),
   • The operation as an individual, corporation, or partnership,
   • Any previous experience with part 141 operations,
   • The categories and classes of aircraft to be used in training courses,
   • The number and types of training courses to be offered,
   • The possible need for any waivers or exemptions,
   • The qualifications and experience of instructors,
   • The applicability of parts 61, 91, and 141,
   • AC 141-1, and
   • Any previous or pending enforcement actions against the applicant or proposed personnel.

H. Establish a FSDO Working File. This file will form the basis for the eventual operator file if certification is successful. Place any correspondence, documents, etc., in this file.

I. Other FSDO Actions. Follow office procedures to contact the Enforcement Information Subsystem (EIS) and Accident Incident Data System (AIDS) to determine the applicant’s enforcement and accident history as well as that of the proposed chief instructors and any other proposed management personnel.

1) If a certificate suspension or revocation is in effect, inform the applicant in writing (Figure 2-71) that until the enforcement action is fulfilled, the applicant is ineligible for certification.
2) Place the EIS/AIDS output in the file.

J. Terminating the Preapplication Phase. This ends the preapplication phase. The formal application phase begins with the receipt of the completed application form.

2-1080 FORMAL APPLICATION PHASE PROCEDURES. Within 30 working days of receiving an application, the certification team should review it and determine whether it is of sufficient quality to proceed with certification.

A. Application Review. Review the application only to determine if it is of sufficient quality to continue with certification (i.e., the applicant supplied enough information on the application and/or letter of intent). Review it in depth during the document compliance phase. An example of a properly completed application for an initial certification is shown in Figure 2-69.

B. Application Incomplete or Inaccurate. If the application is not complete or not accurate, notify the applicant in writing (Figure 2-72) of changes needed before certification can continue. Return the application for any necessary corrections.

C. Need for Formal Application Meeting. Determine if the optional formal application meeting is necessary.

1) If a formal application meeting is not necessary, schedule the certification inspections. Review the procedures required during the demonstration and inspection phase with the applicant.

2) If a formal application meeting is necessary, schedule a date and time.

D. Formal Application Meeting.

1) Discuss the following items that would have been covered in a preapplication meeting, if none was conducted:

- The application.
- The schedule of events, if applicable.
- The TCOs and syllabuses.
- The personnel, aircraft, and facility requirements.
- The simulator/training device approval requirement.
- An inspection of facilities related to any contractual training agreements.
- Section 141.23, Advertising limitations.

2) Discuss any discrepancies in the application and their corrective actions.

3) Discuss the requirements that must be met during the demonstration and inspection phase.

E. Terminating the Formal Application Phase. This completes the formal application phase. The next phase is the document compliance phase.
2-1081 DOCUMENT COMPLIANCE PHASE PROCEDURES. After accepting the application, the team ensures each document is complete and correct through an in-depth review.

A. Document Review. The certification team evaluates the following items.

1) Check the Application. (Note that the blocks on the application are not numbered.) Check that the application contains the following information (beginning with upper left corner):

   a) The legal name and any appropriate DBA of the proposed school, telephone number, address of the principal business office, location of the main operations base, and the location of any satellite bases;

   b) Whether the application is for original issuance, approval of satellite base, or change of name or ownership, appropriate boxes should be marked for issuance, renewal, or amendment of the certificate;

   c) An indication of the training courses for which approval is sought. Check the space provided on the reverse of the form for additional courses;

   d) The application is signed and dated in the last section by the applicant or authorized officer (original signatures on each application form):

      • A person acting as an individual should personally sign the application.
      • All partners should sign an application from a partnership.
      • An officer who is authorized by the corporation by-laws and certified by the corporate secretary should sign an application from a corporation.
      • The president or other such officer or director should sign an application from a company, club, or association, as authorized by the organization’s secretary.

   e) The next section is for FAA use only. Confirm that the applicant did not mark it.

2) Check the qualifications of all proposed chief instructors, assistant chief instructors, and check instructors for each course that approval is sought for and the qualifications of all other instructors. See §§ 141.35, 141.36, and 141.37.

   a) If not already accomplished, following office procedures, contact EIS to determine the chief instructor’s, assistant chief instructor’s, and other instructors’ enforcement, accident, and incident histories.

   b) Verify employment history pertaining to parts 61 and 141, and other related aviation experience.

3) Evaluate the TCOs. (See Volume 3, Chapter 53, Section 2, Approve Training Course Outlines for a Part 141 Pilot School)
4) Evaluate any commercially developed or FAA/Industry Training Standards-developed training syllabuses. Ensure that:

- The school fully understands the objectives and standards of the commercially-developed or FAA/Industry Training Standard-developed training syllabuses.
- The school can actually give the training in the manner described in the syllabus.
- The syllabus contains all required pilot operations for the related course.
- The syllabus and related training aids are on a current revision schedule.

5) Evaluate the Special Curriculum. Special curriculums developed under § 141.57 must be evaluated with flexibility in mind. Special curriculums may be used in experimental curriculum under research and development. When approving special curriculums, the inspector must ensure that the curriculums cover the aeronautical knowledge areas and flight proficiency areas of operations listed in the appropriate appendixes of part 141. The inspector must determine that objectives, content, and completion standards are not less than those contained in the appropriate practical test standards.

6) Check the aircraft checklists, minimum equipment lists, safety practices and procedures, etc., when applicable. (See §§ 141.75 and 141.95.)

7) Check the graduation certificates required by § 141.95 to ensure that they contain at least the information indicated in § 141.95(b).

8) Ensure that the applicant can track enrollment information (i.e., that the student was enrolled in the school’s approved course of training before receiving the instruction and training that is certified).

9) Review the maintenance program (airworthiness).

**B. Unsatisfactory Items.** If there are any unsatisfactory items, advise the applicant in writing that they must be corrected before certification can continue.

1) Place a reasonable time limit on when the corrections must be completed.

2) If the applicant does not respond within 90 days of the time limit, send the entire application package back to the applicant with a cover letter stating that the certification process is terminated.

3) Put appropriate work entry in PTRS.

**C. Terminating the Document Compliance Phase.** When all documents are satisfactory, conclude the document compliance phase and arrange scheduling for the demonstration and inspection phase.

**2-1082 DEMONSTRATION AND INSPECTION PROCEDURES.** During the demonstration and inspection phase the team must ensure these steps are accomplished:
A. **Conduct Chief Instructor Practical Tests.** Administer practical test to the chief instructors and any assistant chief instructors. (See Volume 5, Chapter 12, Section 1, Conduct a Chief/Assistant Chief Instructor Practical Test for Federal Aviation Regulations Part 141 Pilot School.)

B. **Recordkeeping Requirements.** Inspect the applicant’s recordkeeping system for compliance with §§ 141.67, 141.77, 141.85, 141.93, and 141.101.

C. **Inspect Aircraft.** The airworthiness inspector conducts the aircraft conformity inspection. Operations inspectors may examine each aircraft for the requirements of § 141.75.

D. **Conduct a Base Inspection.** See Volume 6, Chapter 7, Section 1, Conduct Facility Inspection of a Part 141 Pilot School.

E. **Inspect Satellite Bases.** See Volume 6, Chapter 7, Section 1, and § 141.91.

F. **Inspect Flight Simulators, FTDs, Training Aids, and Other Equipment.** See §§ 141.41 and 141.45. If a simulator must be approved, contact the National Simulator Program, AFS-205.

G. **Terminating the Demonstration and Inspection Phase.** When all demonstrations and inspections are complete, the demonstration and inspection phase is concluded.

   1) If any demonstrations are unsatisfactory, advise the applicant immediately of corrective actions. If necessary, confirm the discrepancies in writing (Figure 2-73). Reschedule the inspections accordingly.

   2) When all demonstrations and inspections are satisfactory, proceed with the certification phase.

2-1083 **CERTIFICATION PHASE PROCEDURES.** When all certification requirements have been met, obtain an air agency certificate number. (See Volume 2, Chapter 1, Section 3.)

A. **Complete Inspection Reports and Job Aids.**

   1) On the application, in the section marked, “For FAA Use Only,” indicate approval, provisional pilot school or pilot school, effective date of the certificate, and expiration date of the certificate. Indicate if the task was a renewal or amendment to a certificate, if applicable. Make any necessary comments and sign the application. The POI assigned to that pilot school will then sign and date the application.

   2) Ensure all items on the certification/inspection job aid are resolved. Initial the job aid and place in the FSDO file.

B. **Prepare and Issue the Air Agency Certificate.** Use FAA Form 8000-4 (Figure 2-5).
1) Enter the certificate holder’s full legal name directly below the words “This certificate is issued to.” Show other names (such as any DBA) on the certificate. If necessary, list DBAs on a separate, attached letter (Figure 2-74).

2) Enter the address of the certificate holder’s base of operations directly below the certificate holder’s name. Use a post office box address only if the address reflects the physical location of the base of operations.

3) Enter the certificate number, as obtained in Volume 2, Chapter 1, Section 3, on the certificate.

4) Enter the date all requirements for certification are met.

5) Enter the four-character, alphanumeric designator and city and state of the jurisdictional FSDO under the signature line of the form (for example, EA18, Richmond, VA).

6) Submit the certificate to the FSDO manager for signature.
   a) Use the full title of the person signing the certificate.
   b) Enter the acronym of the region, the FSDO acronym and number in the “region/office” space (for example, WP FSDO 04).

C. **Prepare List of Approved Courses.** Prepare a list of approved courses (Figure 2-65) and issue with the air agency certificate.

D. **Certificate Denial.** If any certification requirement is not met, issue a letter of denial (Figure 2-75). Specify reasons for denial. On the application, in the section “For FAA Use Only” indicate disapproval. Make any necessary comments and sign. Have the FSDO manager sign and date the application.

E. **Certification Report.** Assemble a certification report containing the following:
   - A copy of the letter of intent, if applicable,
   - A certification job aid (Figure 2-76),
   - The application,
   - The schedule of events (Figure 2-77),
   - A copy of the Air Agency Certificate issued, and
   - A summary of any difficulty encountered during certification and its resolution.

F. **Minimum Equipment List (MEL).** Issue a letter of authorization (LOA) to operate with an MEL, if applicable (See Volume 4, Chapter 4, Section 2, Approve a Minimum Equipment List for a 14 CFR Part 91 Operator).

G. **All Appropriate Information in the Vital Information Subsystem (VIS) Air Agency Basic File.**
H. FSDO File. The certification program manager must ensure an official office file is established after certification is complete. The file must contain at least the following:

- The material from any working file used up to this point, including the TCO and syllabuses,
- The certification report and attachments,
- The EIS/AIDS profile on applicant and personnel, including a negative report, if applicable,
- The approved MELs, if applicable,
- The surveillance reports, and
- All general correspondence relevant to the school or the FAA.

I. PTRS. Make final PTRS work entry for this task.

2-1084 TASK OUTCOMES. Completion of the task results in either:

A. Certificate. A certificate issued that authorizes operations under part 141.

B. Record. A record on file consisting of the following:

- Written notification to the applicant denying the certificate, and
- Indication of the return of all documents to the applicant.

C. Letter Confirming Termination. A letter to the applicant confirming termination of the certification process per the applicant’s request (Figure 2-78).

2-1085 FUTURE ACTIVITIES.

A. Develop Postcertification Plan. When developing a post-certification plan, perform additional surveillance or inspections during the first 90 days the organization is in business. This may require assistance from other FSDOs.

B. Conduct Surveillance. According to the established postcertification program, conduct surveillance at appropriate intervals.

C. Renewal of Certificate. Conduct a renewal certification every 2 years.

D. Amendment of Certificate. Amend the air agency certificate at the operator’s request or the FAA’s determination.
UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Agency Certificate

Number
(Enter cert. number obtained from AFS-620)

This certificate is issued to
(Enter name of school)

Whose business address is
(Enter address of main base of operations)

upon finding that its organization complies in all respects with the
requirements of the Federal Aviation Regulations relating to the
establishment of an Air Agency, and is empowered to operate an approved
(Enter the appropriate kind of school)

With the following ratings:
(List all the ratings the pilot school or provisional pilot school is authorized for)

This certificate unless cancelled, suspended or revoked shall continue in effect
(Date 24 calendar-months from date of issuance)

Date issued:

(MMM DD, YYYY)          (Have district manager sign)

This Certificate is not Transferable, and any major change in the basic facilities or in the location thereof,
shall be immediately reported to the appropriate regional office of the Federal Aviation Administration.

Any alteration of this certificate is punishable by a fine of not exceeding $10,000 or imprisonment not exceeding 3 years or both

FAA FORM 8000-4 (1-67)             SUPERSEDES FAA FORM 390             AFS ELECTRONIC FORMS SYSTEM–V 2.2

78
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Figure 2-62, Letter Disapproving Special Curriculums or TCOs

FAA Letterhead

[date]

Carolyn Brannon
Brannon Aviation
Fairfax Airport
P. O. Box 123
Fairfax, VA 23456

Dear Ms. Brannon:

We are unable to approve your [name of course] training course outline (TCO) [or special curriculum] for the following reasons:

______________________________________________________________________
______________________________________________________________________
______________________________________________________________________
______________________________________________________________________
______________________________________________________________________

All other TCOs [and/or special curriculums] have been approved and are reflected in your list of approved courses. If you wish to continue to seek approval for the [above course or special curriculum], you may reapply when appropriate corrections have been made.

Sincerely,

[POI’s signature]
Figure 2-63, FAA Form 8420-8, Application for Pilot School Certification

APPLICATION FOR PILOT SCHOOL CERTIFICATION

NAME OF SCHOOL: C. Brannon dba Brannon Aviation
ADDRESS OF PRINCIPAL BUSINESS OFFICE:
13206 Poplar Tree Road, Fairfax, VA 11234

APPLICATION IS HEREBY MADE FOR: Approval of Satellite Base

☐ Issuance of a Pilot School Certificate and associated ratings to conduct the training courses identified below, and for the approval of these courses, three copies of each course outline are attached; also, examining authority is requested for the courses appropriately checked.

☐ Renewal of a Pilot School Certificate and associated ratings currently numbered which expires on

☐ Amendment of the current Pilot School Certificate and associated ratings combined which expires on

IDENTIFICATION OF TRAINING COURSES

☐ (If more space is needed, continue on reverse in spaces provided)

I (We) certify that I am (we are) familiar with Part 141 of the Federal Aviation Regulations, and to the best of my (our) knowledge, believe that my (our) school meets the requirements for certification as prescribed therein.

Carolyn S. Brannon
Owner

Nov 1, 2006

APPROVED: ☐ [A Provisional Pilot School Certificate is issued to an applicant who has not yet completed the requirements for a Pilot School Certificate. The certificate is issued on the basis of the applicant's knowledge of aviation principles and will be valid for 60 days.]

DISAPPROVED: ☐ [A Pilot School Certificate is issued to an applicant who has met all the requirements for the certificate. The certificate is issued for a specific time period, usually 5 years.]

[Signature of Approving Official]

[Title: Supervising Inspector]

[Date: Jan 29, 2007]

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Figure 2-64, Letter Denying Satellite Base

FAA Letterhead

[date]

[applicant’s name and address]

Dear [name]:

We are unable to approve your application for a satellite base at [location] for the following reasons:

[list reasons]

When you feel your organization meets the certification requirements for a satellite base, you may reapply to this office.

Sincerely,

[POI’s signature]

Figure 2-65, Sample List of Approved Courses

FAA Letterhead

[Date]

[Name and address of school]

Dear [Name]:

[Name of school] is authorized under Air Agency Certificate No. [certificate number] to conduct the following courses of training:

Private Pilot Certification
Airplane Single-Engine Land
Airplane Single-Engine Sea
Rotorcraft Helicopter

Additional Aircraft Rating
Airplane Single-Engine Sea
Airplane Multiengine Land
Rotorcraft Helicopter
Lighter-than-Air Airship

Instrument Rating
Airplanes
Helicopter
Flight Instructor Certification
Airplane Single-Engine
Instrument Airplane

Additional Flight Instructor Rating
Airplane
Instrument Airplane

Rotorcraft External Load Operations
Special Curriculums (Title 14 of the Code of Federal Regulations (14 CFR) part 141, § 141.57)

This list of approved courses expires on [date], unless superseded, surrendered, suspended, or revoked.

Sincerely,

[FSDO manager’s signature]
Figure 2-66, FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Renewal

APPLICATION FOR PILOT SCHOOL CERTIFICATION

<table>
<thead>
<tr>
<th>NAME OF SCHOOL</th>
<th>TELEPHONE/ADDRESS OF PRINCIPAL BUSINESS OFFICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>C. Brannon, d/b/a Brannon Aviation (555) 345-3456</td>
<td>1306 Poplar Tree Road, Fairfax, VA 11234</td>
</tr>
</tbody>
</table>

LOCATION OF MAIN OPERATIONS BASE: Fairfax Airport, Fairfax, VA

LOCATION OF SATELLITE BASE(S): Centreville Airport

APPLICATION IS HEREBY MADE FOR:

- [X] Renewal of a Pilot School Certificate and associated ratings currently numbered CSB-S-025-11/30/06
- [ ] without changes to the currently approved course outlines
- [X] with addition of course(s) identified below for which approval is requested

IDENTIFICATION OF TRAINING COURSES

<table>
<thead>
<tr>
<th>Course Type</th>
<th>Approval Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private Pilot</td>
<td>[X]</td>
</tr>
<tr>
<td>Instrument Rating</td>
<td>[X]</td>
</tr>
<tr>
<td>Commercial Pilot</td>
<td>[ ]</td>
</tr>
<tr>
<td></td>
<td>[ ]</td>
</tr>
<tr>
<td></td>
<td>[ ]</td>
</tr>
<tr>
<td></td>
<td>[ ]</td>
</tr>
</tbody>
</table>

NOTE: Where an X is checked, please print in the box adjacent to the course identification.

I (WE) certify that I (We) am (are) familiar with Part 61 of the Federal Aviation Regulations, and, to the best of my (our) knowledge, believe that this school meets the requirements for certification as a pilot school.

Carolyn S. Brannon
Owner

Date: 10/31/06

FOR FAA USE ONLY:

APPROVED: [ ] Provisional Pilot School Certificate: [ ] Pilot School Certificate, either with associated ratings bearing the number shown above, is issued effective

Renewal: [ ] without amendments: [ ] with amendments: [ ] Amendments

SIGNATURE OF APPROVING OFFICIAL: Carolyn S. Brannon

FAA Form 8420-8 (1-89) Recommendations of Inspector(s) on reverse
Figure 2-67, Notice of Course Cancellation

FAA Letterhead

[Date]

[Applicant’s name and address]

Dear [Name]:

After reviewing your application for renewal of your pilot school certificate and conducting the appropriate inspection, we require that you cease [name of course] training immediately for the following reasons:

[List reasons]

Failure to cease [name of course] training shall result in enforcement action against your certificate.

All other courses of training and pilot school ratings inspected at the time of renewal were acceptable, and you may continue to conduct training under them. When you feel that your organization meets the certification requirements for [name of course], you may apply for reinstatement of the course.

Sincerely,

[POI’s signature]
**Figure 2-68, FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Amendment**

**APPLICATION FOR PILOT SCHOOL CERTIFICATION**

<table>
<thead>
<tr>
<th>NAME OF SCHOOL</th>
<th>TELEPHONE NO.</th>
<th>ADDRESS OF PRINCIPAL BUSINESS OFFICE</th>
</tr>
</thead>
<tbody>
<tr>
<td>C. Brannon d/ba Brannon Aviation</td>
<td>(555) 345-3456</td>
<td>13206 Poplar Tree Road, Fairfax, VA 11234</td>
</tr>
</tbody>
</table>

**APPLICATION IS HEREBY MADE FOR:**

- Renewal of Pilot School Certificate and associated ratings currently held
- [ ] Improvement in the currently approved course outlines
- [ ] With addition of course(s) identified below for which approval is requested
- [ ] With deletion of course(s) identified below from the curriculum
- [X] Amending the current Pilot School Certificate and associated ratings numbered CSB-S-025-A
- [ ] To add or delete the course(s) identified below for which approval is requested

**IDENTIFICATION OF TRAINING COURSES**

- [ ] Agricultural Aircraft Operations
- [ ] [ ] [ ]
- [ ] [ ] [ ]

**Signature and Title(s)**

Carolyn S. Brannon
Owner

**Date**

10/31/06

**FOR FAA USE ONLY**

- [ ] Approved
- [ ] Disapproved

**CERT. No.**

8900.1 CHG 0

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Figure 2-69, FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Initial Certification
Figure 2-70, Sample Letter of Intent

RUTHIE’S FLYING SCHOOL
888 CHANDELLE CIRCLE
BELLVILLE, IL 35454
(312) 555-1212

March 15, 2006

Federal Aviation Administration
Flight Standards District Office # 3
DuPage County Airport
West Chicago, IL 60185

Gentlemen:

This is to notify the Federal Aviation Administration (FAA) of our intent to become an approved pilot school under Title 14 of the Code of Federal Regulations (14 CFR) part 141.

We are prepared to begin operations on July 1, 2006 and are ready for your certification inspection at this time. Enclosed are three copies (an original and two facsimiles) of FAA Form 8420-8, Application for Pilot School Certificate. Operations will be confined to the DuPage County Airport. We plan to operate: two Cessna 152s, one Cessna 172, and a Piper Comanche (PA24-250), that meets the complex aircraft requirements for commercial pilot certification.

Courses identified on FAA Form 8420-8 will be supervised by our chief instructor, Mr. Robert Cartwright, holder of airline transport pilot certificate number 555121128. He meets the requirements of § 141.35, and his instructor résumé is available for verification when you conduct your certification inspection.

Also enclosed are three copies of each training course outline for your review and approval. Our requested three letter certificate designators are EPS, ELS, and SFS, in that order of preference.

Sincerely,

Ruth Vaght
President
Figure 2-71, Letter Indicating Certification Process Cannot Continue Because of Pending Enforcement Action

FAA Letterhead

[Date]

[Name and address of applicant]

Dear [Name]:

This letter is to inform you that your application for a pilot school certificate cannot be processed because of enforcement action [pending/taken] against [cite the specific certificate—airman, other air operator certificate, etc.]. Until such time that this enforcement action is fulfilled, you are ineligible for certification.

Enclosed with this letter is a copy of your application and the training course outlines you submitted for approval.

Should you wish to discuss this matter, please contact this office at [telephone number].

Sincerely,

[FSDO manager’s signature]
Figure 2-72, Letter Indicating Application Is Unsatisfactory

FAA Letterhead

[Date]

[Name and address of applicant]

Dear [Name of applicant]:

The enclosed FAA Form 8420-8, Application for Pilot School Certificate, is returned because
[cite discrepancies].

Enclosed are three blank application forms that you may use to reapply when the above items are corrected. In order to continue the certification process, the corrected applications must be received no later than [date, not longer than 30 days from the date of the letter]. If we do not hear from you by that date, we will consider the certification process terminated.

If you have any questions concerning this matter, please feel free to contact this office at [telephone number].

Sincerely,

[Certification project manager’s signature]
**Figure 2-73, Letter Indicating Discrepancies Found During Inspection**

FAA Letterhead

[Date]

[Name and address of school]

Dear [Name]:

These discrepancies were found during a Title 14 of the Code of Federal Regulations (14 CFR) part 141 certification inspection conducted as part of your certification as an Air Agency under part 141.

[List each discrepancy]

[List methods of correcting the discrepancies, if appropriate]

[Indicate a reasonable length of time for the corrections to be made (not to exceed 90 days from the date of the letter)]

[Indicate that if no response is received within 90 days, the certification process will be terminated]

Sincerely,

[CPM’s signature]

**Figure 2-74, Part 141 Letter Listing DBAs**

FAA Letterhead

[Date]

[Air Agency’s name and address]

Dear [Name]:

This letter, accompanied by Air Agency Certificate No. [number] issued to [legal name of school] on [date of issuance], authorizes the following additional persons to exercise the privileges and limitations of the certificate.

[List all doing business as (DBA) names]

Sincerely,

[FSDO manager’s signature]
Figure 2-75, Letter Denying Certificate

FAA Letterhead

[Date]

[Name and address of applicant]

Dear [Name of applicant]:

Your application for a pilot school certificate is denied because of the following reasons:

[List specific items that have not been corrected in the document compliance phase or
demonstration and inspection phase within a reasonable time, i.e., not to exceed 90 days from the
time the applicant was notified of the discrepancy.]

[If applicable, cite any false or fraudulent information that was provided.]

[If applicable, indicate why TCOs were not approved.]

[If applicable, specifically list the lack of qualifications of personnel or deficiencies in facilities
and equipment.]

If you have any questions concerning this matter, please contact this office at [telephone
number].

Sincerely,

[FSDO manager’s signature]
Figure 2-76, Part 141 Certification Job Aid

<table>
<thead>
<tr>
<th>NAME OF SCHOOL:</th>
<th>CERTIFICATION TEAM</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Name</td>
</tr>
<tr>
<td>ADDRESS:</td>
<td>INSPE. INITIAL</td>
</tr>
<tr>
<td>1. Initial contact handled by</td>
<td></td>
</tr>
<tr>
<td>2. Letter of Intent</td>
<td></td>
</tr>
<tr>
<td>3. Preapplication meeting</td>
<td></td>
</tr>
<tr>
<td>4. Applicant provided resources/advised how to obtain</td>
<td></td>
</tr>
<tr>
<td>5. Formal application meeting</td>
<td></td>
</tr>
<tr>
<td>6. Application properly completed and submitted</td>
<td></td>
</tr>
<tr>
<td>7. TCOs submitted</td>
<td></td>
</tr>
<tr>
<td>a. TCO contains description of each room used for aeronautical knowledge training</td>
<td></td>
</tr>
<tr>
<td>b. TCO describes all training aids</td>
<td></td>
</tr>
<tr>
<td>c. TCO describes each training device/simulator used</td>
<td></td>
</tr>
<tr>
<td>d. TCO lists airports at which training flights originate</td>
<td></td>
</tr>
<tr>
<td>e. TCO describes minimum instructor qualifications</td>
<td></td>
</tr>
<tr>
<td>f. TCO describes trainee’s enrollment qualifications</td>
<td></td>
</tr>
<tr>
<td>g. TCO describes each lesson’s objectives and training standards</td>
<td></td>
</tr>
<tr>
<td>h. TCO describes tests and checks used to measure each stage of training</td>
<td></td>
</tr>
<tr>
<td>8. Verification of flight instructor’s qualifications (§ 141.33/141.35)</td>
<td></td>
</tr>
<tr>
<td>9. Chief instructor/assistant for ground school course has 1 year experience in approved school</td>
<td></td>
</tr>
<tr>
<td>10. Enrollment method meets the requirements of § 141.93</td>
<td></td>
</tr>
</tbody>
</table>
11. Safety procedures/practices developed (§ 141.93)

12. Graduation certificates appropriate (§ 141.95)

13. Method for student recordkeeping (§ 141.101)

14. MEL approved

15. School has use of aircraft appropriate for each course
   a. U.S.-registered standard category
   b. At least two-place with full-functioning dual controls
   c. Maintained in accordance with parts 43 and 91
   d. Inspected by airworthiness inspector

   (1) Optional equipment installation

   (2) Airworthiness Directive records current

   (3) In-house or contract maintenance observed

   (4) Aircraft for IFR courses properly equipped/maintained

   e. Electronic components/communications equipment inspected (Avionics)

   f. Checklists required by § 141.75

16. Chief instructor/assistance for each course tested
   a. Knowledge test

   b. Skill test

17. Chief instructor’s method to test other instructors

18. Pilot briefing areas (§ 141.43)

19. Aeronautical knowledge training facilities (§ 141.45)
## 20. Airports

a. Continuous use where flights originate (§ 141.38)
b. One runway/takeoff area for normal takeoff at full gross weight (§ 141.38)
c. Wind direction indicator (§ 141.38)
d. Traffic direction indicator (if required by § 141.38)
e. Permanent runway lights (if required by § 141.38)

## 21. Flight simulator or flight training devices

a. Cockpit meets requirements of § 141.41
b. Simulates rotation around three axes (§ 141.41)
c. Minimum instruments/equipment required by § 91.205 (§ 141.41)
d. For VFR instruction, a means of simulating visual flight conditions (§ 141.41)
e. For IFR instruction, a means of recording flight path (§ 141.41)

## 22. Training aids meet requirements of § 141.41

## 23. Certificate number obtained from AFS-620

## 24. Air agency certificate prepared and issued

## 25. List of approved courses prepared

## 26. Certification report and district office file prepared

## 27. Surveillance plan developed

## 28. Other
Figure 2-77, Part 141 Schedule of Events

<table>
<thead>
<tr>
<th>NAME OF SCHOOL:</th>
<th>NAMES OF MANAGEMENT PERSONNEL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Name</td>
</tr>
<tr>
<td>ADDRESS:</td>
<td>School DATE READY</td>
</tr>
</tbody>
</table>

1. Letter of Intent
2. Application (FAA Form 8420-8)
3. TCOs
4. Special curriculums (if applicable)
5. Recordkeeping procedures
6. Enrollment method
7. Safety procedures/practices
8. Graduation certificates
9. Instructors’ qualifications
10. Chief instructor/assistant practical test
11. Base inspection (including satellite bases)
12. Appropriate aircraft for each course
13. Aircraft conformity inspections (Airworthiness)
14. Flight simulation, FTD, ATD, or PCATD inspection
15. Training aids inspection
16. Pilot briefing areas
17. Aeronautical knowledge training facilities
<p>| | | | | |</p>
<table>
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<tr>
<th></th>
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<th></th>
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</thead>
<tbody>
<tr>
<td>18. Airports</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19. Proposed date to start operations</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>20. Other</td>
<td></td>
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**Figure 2-78, Letter Confirming Termination of Certification Process at Applicant’s Request**

FAA Letterhead

[Date]

[Name and address of applicant]

Dear [Name of applicant]:

This letter confirms your request to terminate the project to certificate you as an Air Agency under Title 14 of the Code of Federal Regulations (14 CFR) part 141.

All materials submitted for review are enclosed with this letter. Any attempt to reapply after the date of this letter will require reinitiating the entire certification process.

Sincerely,

[CPM’s signature]

**RESERVED.** Paragraphs 2-1086 through 2-1100.
3-1903 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. **Maintenance:** 4306, 4307, 4372, 4373.

B. **Avionics:** 6306, 6307, 6372, 6373.

3-1904 OBJECTIVE. This section provides guidance for the evaluation, acceptance, and in certain scenarios approval of human factors training programs. Inspectors may also use this guidance for acceptance of human factors training programs for both the Aviation Maintenance Technician (AMT) awards and Inspection Authorization (IA) renewals.

3-1905 GENERAL.

A. Effective training is the basis for a successful maintenance and inspection program. Although many procedures for maintaining and inspecting aircraft may be similar, the equipment, procedures, and task documentation vary widely depending on the operator/applicant’s specific program. Human factors training plays an essential part in identifying those areas and is the most efficient manner of educating maintenance technicians and others of the importance of good human factors principles, practices, and techniques.

B. Numerous airlines, repair stations, and training organizations now provide human factors training and desire Federal Aviation Administration (FAA) recognition of their training programs. This document will provide guidance in accepting or approving these vital human factors training programs.

C. In October 1991, the Aircraft Maintenance Division, AFS-300, determined a need for an incentive program to encourage training recognition for AMT employees and employers. Human factors training is now an acceptable portion of the training for the AMT awards program.

3-1906 DISCUSSION.

A. Human factors issues contribute to approximately 80 percent of all aviation accidents and incidents. Research and experience have shown that human factors training can address many of the issues that contribute to these maintenance events. Attention to maintenance human factors can raise efficiency, effectiveness, and safety in aviation environments. This translates to better expense control and long-term safety benefits.

B. Maintenance human factors training is part of a total system in managing human error designed to discourage procedural violations. It is an essential part of a system aimed at
individuals engaged in hands-on maintenance, and those who supervise and plan maintenance activity. Human factors training should cover basic safety principles and practices integrated within a maintenance organization’s program.

C. The objective of human factors training is to provide principles and techniques that will help operators do a better job by:

- Improving safety;
- Decreasing organizational exposure to risk;
- Reducing and capturing errors; and
- Encouraging employees to report safety issues and concerns without fear of retribution.

NOTE: These objectives contribute to the FAA’s safety goal of achieving the lowest possible accident rate and continuously improving safety.

D. Designing human factors training for specific organizations is often most effective considering such factors as:

- Characteristics of the people in the work force;
- Physical and social conditions of the work environment;
- Type of work being performed, like heavy maintenance, light maintenance, aircraft line maintenance and aircraft size and type; and
- Resources necessary to complete the work safely and efficiently.

E. For initial or general human factors training, it may not be necessary for an operator to conduct an extensive job and task analysis, but to merely understand the most important safety concerns within its organization. There are many fundamental principles of human factors that apply to all maintenance work.

F. The aviation safety inspector (ASI) should review proposed human factors training to ensure its focus on “real-world” human factors challenges faced in aviation maintenance or related work. Proposed training plans that lack sound fundamentals or examples of real world aviation maintenance challenges are likely not as acceptable or desirable for aviation maintenance human factors training.

G. The design and delivery of repeated, recurrent, or continued human factors training within a specific organization should have as its basis company-specific examples derived from its event investigation system data. AMTs learn best from specific examples within their own organization.

H. A number of commercial multimedia human factors training products should receive consideration for an accepted or approved training program. However, these products are best when discussion led by a credible human factors instructor supplement them. The ASI must review all media and movies that the application package includes to ensure suitability for all types of audiences.
I. The instructor should have capabilities and experience related to aviation maintenance and/or the human factors discipline that a reasonable person would accept as credible. The instructor should have effective communication skills and the ability to convey credibility to the majority of the students or course participants. An acceptable course leader’s most highly preferred attribute is experience in aviation maintenance.

3-1907 CONSIDERATIONS FOR ACCEPTABLE CONTENT.

A. An unlimited number of human performance topics are acceptable for all types of human factors training. Approval of content should be at the discretion of the FAA ASI and may require additional discussion or correspondence with the applicant. The ASI should consider the size of an organization and the work it performs when reviewing an organization’s human factors training program.

B. The FAA’s maintenance human factors experts along with other regulatory agencies, including the European Aviation Safety Agency (EASA) and Transport Canada (TC), have identified the following key topics that a good human factors training program is likely to include:

1) A general introduction to human factors.
2) Safety culture/organizational factors.
3) Human error—error principles, event investigation, and case studies.
4) Human performance and limitations.
5) Environments, both physical and social.
6) Organizational procedures, information, tools, and proper task documentation and sign-off practices.
7) Planning of tasks, equipment, and spares.
8) Communication and the lack thereof.
9) Teamwork and leadership.
10) Professionalism and integrity.
11) Shift and task turnover.
12) Undocumented maintenance.
13) Complacency.
14) Lack of knowledge.
15) Distraction.
16) Lack of resources.
17) Pressures.
18) Lack of assertiveness.
19) Norms.
20) Stress.
21) Lack of Awareness.
22) Fatigue management/fitness for duty.
23) Procedural noncompliance.

C. The ASI should still consider content not included in paragraph B if it directly relates to a case study or other scenarios that support human factors initiatives.

3-1908 HOURS OF HUMAN FACTORS TRAINING CREDIT. A formal block of human factors training lasting at least 50 minutes constitutes 1 hour of training. For the AMT awards program, see the current edition of Advisory Circular (AC) 65-25, William (Bill) O’Brien Aviation Maintenance Technician Awards Program, for details on acceptable hours of human factors training credit. The FAA will also accept up to 6 hours of human factors training towards IA renewal.

3-1909 APPLICATION PROCESS.

A. For review of a human factors training program, an applicant should contact the FAA office in person, make arrangements to have a meeting, or submit a Letter of Request for course review to the local FAA office. The applicant must provide all material used for the training to the FAA to ensure proper course review.

B. Non-U.S. organizations also provide training in areas required by their aviation authority that may crossover to required training such as human factors. These courses may receive acceptance or approval using this guidance, but exercise caution during the review process to ensure they do not embed foreign aviation authority regulations which could confuse technicians on FAA regulatory and nonregulatory requirements. The foreign applicant should contact its closest regional FAA office for further assistance.

C. Applicants using any unconventional or non-traditional means of providing human factors training such as computer-based instruction, satellite delivered media, internet, etc. or nonconventional training will submit it to AFS-300 for review to determine a suitable means of delivery.
3-1910 RECONSIDERATIONS.

A. If the FAA determines that a course is unacceptable, it will notify the training provider in writing and explain why. We highly recommend that the training provider work closely with the FAA office to understand why the training program was unsatisfactory and to remedy the training deficiencies as soon as possible.

B. If the training provider does not agree with the reviewing office regarding the nonacceptance, the training provider may request reconsideration of the decision by writing to: FAA Headquarters, Aircraft Maintenance Division, AFS-300, 800 Independence Ave. SW, Washington, DC 20591.

C. AFS-300 will make the final decision on the request for reconsideration. AFS-300 will directly forward the decision to the training provider with a copy to the associated FAA office. The AFS-300 decision may affirm, modify, or reverse the initial decision.

3-1911 RELATED REGULATORY AND CONTENT GUIDANCE. For more information, consult the following documents (current editions):

A. Title 14 of the Code of Federal Regulations (14 CFR) part 1, Definitions and Abbreviations.

B. Title 14 CFR part 43, Maintenance, Preventive Maintenance, Rebuilding, and Alteration.

C. AC 120-16, Air Carrier Maintenance Programs, which describes air carrier aircraft maintenance programs. It explains the background as well as the FAA’s regulatory requirements for these programs.

D. AC 120-66, Aviation Safety Action Program (ASAP), which provides information encouraging air carrier and repair station employees to voluntarily report critical safety information.

E. AC 120-72, Maintenance Resource Management Training, which presents guidelines for developing, implementing, reinforcing, and assessing maintenance resource management training programs for improving communication, effectiveness, and safety in maintenance operations. This AC also provides a training template.

F. AC 120-78, Acceptance and Use of Electronic Signatures, Electronic Recordkeeping Systems, and Electronic Manuals, which provides information on electronic recordkeeping.

G. AC 120-79, Developing and Implementing a Continuing Analysis and Surveillance System, which provides information on how to implement a Continuing Analysis and Surveillance System (CASS), which 14 CFR part 121 requires for air carriers.

H. AC 120-92, Introduction to Safety Management Systems for Air Operators, which provides information on how to develop a safety management system.
I. FAA Order 8900.1, Volume 3, Chapter 24, Section 1, Training Program Evaluation, provides guidance for evaluating and accepting an operator/applicant’s maintenance/inspection training program.


L. You can obtain further information regarding the 12 common causes of maintenance human factor errors (included in paragraph 3-1907) from the TC link below: http://www.tc.gc.ca/civilaviation/systemsafety/posters/menu.htm. Additionally, many aviation training and consulting organizations provide excellent information regarding the dirty dozen, which you can easily reference using the World Wide Web.

3-1912 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. Knowledge of the regulatory requirements of 14 CFR parts 43, and 65.

B. Coordination. This task may require coordination with other Flight Standards District Offices (FSDO), certificate management offices (CMO), and International Field Offices (IFO).

3-1913 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):
  - AC 65-25, William (Bill) O’Brien Aviation Maintenance Technician Awards Program;
  - AC 120-72, Maintenance Resource Management Training;
  - FAA’s Operators Manual for Human Factors in Aviation Maintenance;
  - Order 8900.1, Volume 3, Chapter 24, Section 1, Training Program Evaluation.
  - Volume 5, Chapter 5, Section 7, Evaluate Part 65 Inspection Authorization (IA); and

B. Forms:
  - FAA Form 8310-5, Inspection Authorization;
  - FAA Form 8610-1, Mechanic’s Application for Inspection Authorization;
  - Aviation Maintenance Technician Awards Certificates; and
  - Aviation Maintenance Technician Awards Brochure.

C. Jobs Aids. None.
3-1914 PROCEDURES.

A. Ensure Applicant Meets Eligibility Requirements.

B. Evaluate Training Program Content.

1) The procedures for obtaining the training program approval normally begin with a meeting between the training provider’s key personnel and the principal inspector (PI) or responsible ASI to discuss the scope of the training, the timing of the program document submittal, and other issues. This meeting will be an opportunity for the training provider to ask questions about the FAA process. Although highly recommended, this is not a required meeting.

2) The training provider may submit its training program contents as electronic media if it ensures the reviewing FAA office is able to look at and store the submitted material in the media the training provider selects. A transmittal document must accompany material submitted electronically. These transmittal documents may be in the form of an e-mail, fax, or letter and may include the use of electronic signatures. The training provider’s accountable manager or someone acting on the manager’s behalf should sign the submittal. If a program is too large to send electronically, it will be the responsibility of the training provider to make alternate arrangements to deliver the program to the FAA office for review.

3) The reviewing FAA office may use the criteria and standards described in AC 120-72 and the items listed in paragraph 3-1907 to review the content of the initial training program. Not every item listed in the guidance needs to appear in the training, but the reviewing office should use the list to suggest items that better meet the needs of the maintenance organization.

4) The FAA will review the proposed training program or revision and either approve it or prepare an explanation of why the program or revision is not acceptable as submitted. The reviewing office will send a letter or electronic transmittal of its approval or nonacceptance to the individual who signed the submittal for the training.

5) If the FAA does not accept a submittal, the training provider should propose revisions that address the FAA’s concerns. When the training provider has adequately addressed all the concerns expressed in the FAA nonacceptance, the FAA will accept and/or approve the program.

6) The training provider or input from the PI or responsible ASI can initiate a change to the accepted or approved training program. The training provider should provide any revision to the program document to the inspector for further acceptance or approval. The training program may change to accommodate modifications to the training provider’s work, and/or its customers, and in response to the ongoing assessment processes of the customer and of the FAA. Correction of typographical errors and changes to phone numbers are examples of changes not requiring FAA acceptance or approval. However, the training provider should send a corrected copy to the FAA.

7) The instructor should have capabilities and experience related to aviation maintenance and/or the human factors discipline that a reasonable person would accept as
credible. The instructor should have effective communication skills and the ability to convey credibility to the majority of the students or course participants. Experience in aviation maintenance is an acceptable course leader’s most highly preferred attribute.

8) The FAA does not determine instructor qualifications. However, if the FAA—through its surveillance process—finds that the qualifications or skills of an instructor are deficient, the training provider must correct any deficiency associated with that instructor and with its instructor selection.

9) The training program should have a process measurement element that verifies the effectiveness of the training. This provides a continuous improvement characteristic to the training program. Therefore, one of the key areas the FAA will monitor is the feedback process that takes evaluation results and adjusts training needs. The FAA might also independently assess training to evaluate the effectiveness, particularly where safety risk is relatively high.

10) If the program or program revision submittal is in an electronic format, the FAA inspector will indicate acceptance, approval, or nonacceptance with an e-mail message or letter. If the FAA denies the submittal, the e-mail message or letter will include an explanation of the denial.

11) The training provider should initiate its revision process as follows. The training provider or operator informs the FAA that it is planning to submit a training program for approval by way of an initial meeting in person, or a letter of request sent to its local FAA office.

12) The FAA may initiate the training program acceptance or nonacceptance process as follows. When review of the training program or revision has shown compliance with the form and manner prescribed in this chapter, the FAA issues a letter of acceptance. See acceptance and nonacceptance example letters.

13) When rejecting review for approval of the training program or revision, issue a letter of nonacceptance, with an explanation of discrepancies; you may use the letter of acceptance format.
Figure 3-1, Example Letter of Acceptance

XYZ Training

Accountable Manager

123 Anywhere Blvd

Somewhere, PA 13579

Dear Mr. Trainer,

The FAA is pleased to notify you we have reviewed and accepted the XYZ human factors training course for the purpose you submitted with the revision date of [XX/XX/XX].

As a training provider of an FAA-accepted course you must:

- Keep the course material current and complete according to the original submission.
- Facilitate it in the intended manner and length.
- Allow Flight Standards to monitor sessions presented under this letter of acceptance. In addition, provide all training materials the attendees would receive, upon the request of the FAA individual monitoring the training.
- Upon completion of training, provide the attendees with a certificate verifying their completion of the FAA-accepted training, and the total length of time for the course.
- Maintain a list of attendees or training records to document that personnel have received adequate training in human factors, to be available to any FAA office upon request.

You may revise the course at any time using one of the following two methods:

1. Change: These are minor updates, alterations, and deletions that constitute minimal course revisions to the original material. The training provider does not have to notify the FAA of these types of changes.

2. Revisions: These are major rewrites to the original course material submitted for acceptance. Revisions may include changing course subjects, subtracting or adding course material not found in the original course. The training provider must submit the revision to this office for review and acceptance at least 30 days prior to facilitating the revised course. After reviewing and accepting the modifications, the FAA will issue a new letter of acceptance in accordance with the current edition of AC 65-25.

Again, congratulations and thank you for your interest in maintenance human factors, and your commitment to maintenance training, and aviation safety. Should you have any further questions, contact this office at [(XXX) XXX-XXXX].

Sincerely,

John J. Inspector
Dear Mr. Trainer,

The FAA is pleased to notify you we have reviewed and accepted the ABC human factors training course for the purpose you submitted. As of this date, the training course provided with the revision date of [XX/XX/XX] meets the requirements specified in the current edition of AC 65-25 and is granted [X] hours of credit towards the AMT Awards Program.

As a training provider of an FAA-accepted course you must:

- Keep the course material current and complete according to the original submission.
- Facilitate it in the intended manner and length.
- Allow Flight Standards to monitor sessions presented under this letter of acceptance. In addition, provide all training materials the attendees would receive, upon the request of the FAA individual monitoring the training.
- Upon completion of training, provide the attendees with a certificate verifying their completion of the FAA-accepted training, and the total length of time for the course.
- Maintain a list of attendees or training records to document that personnel have received adequate training in human factors, to be available to any FAA office upon request.

Please advise those individuals successfully completing this training that the FAA will accept the total hours of your training program towards the AMT Awards Program. Simply have them provide a copy of their training certificate to their local FAA office when applying for the AMT award.

You may revise the course at any time using one of the following two methods:

1. Change: These are minor updates, alterations, and deletions that constitute minimal course revisions to the original material. The training provider does not have to notify the FAA of these types of changes.

2. Revisions: These are major rewrites to the original course material submitted for acceptance. Revisions may include changing course subjects, subtracting or adding course material not found
in the original course. The training provider must submit the revision to this office for review and acceptance at least 30 days prior to facilitating the revised course. After reviewing and accepting the modifications, the FAA will issue a new letter of acceptance in accordance with the current edition of AC 65-25.

Again, congratulations and thank you for your interest in maintenance human factors, and your commitment to maintenance training and aviation safety. Should you have any further questions, contact this office at [(XXX) XXX-XXXX].

Figure 3-2, Example Letter of Acceptance (AMT Awards Program), Continued

Sincerely,

John J. Inspector
Aviation Safety Inspector
800 Independence Ave. SW
Washington, DC 20591

Figure 3-3, Example Letter of Nonacceptance

XYZ Training
Accountable Manager
123 Anywhere Blvd
Somewhere, PA 13579

Dear Mr. Trainer,

This letter is in response to your request for acceptance of Revision 2 to XYZ training program/revision, dated [XX/XX/XX]. We have rejected your request for approval of revision 2 for the following reason(s). Revision 2 deletes training previously given on communications and fatigue and does not provide any additional type of identifiable instruction to your mechanics, repairmen, or technicians.

Presently, no other course of training for XYZ training contains adequate information on these important human factors issues. For further information, you may contact this office at [(XXX) XXX-XXXX].

Sincerely,

John J. Inspector
Aviation Safety Inspector
800 Independence Ave. SW
Washington, DC 20591
3-1915 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Air Transportation Oversight System (ATOS) Action. Airworthiness PIs will ensure that their air carrier’s Director of Safety is aware of this change.

1) PIs will assess the air carrier’s response to the recommendation. An air carrier’s failure to implement these recommendations into its existing program could result in an increase in risk in several areas.

2) PIs will determine if additional surveillance or further air carrier action is necessary to address the potential increased risk. Possible additional actions may include retargeting the Comprehensive Assessment Plan (CAP) to include accomplishing appropriate design assessments or performance assessments, convening a System Analysis Team (SAT) or re-evaluating air carrier approvals or programs.

C. ATOS Reporting. PIs will make an ATOS entry using the Other Observation Dynamic Observation Report (DOR) function to record the actions directed by this change. PIs will access the Create DOR option on their ATOS Homepage, select the Other Observation tab, and:

1) Select System: 4.0 Personnel Training and Qualifications.

2) Select Sub-system: 4.2 Training Programs.

3) Select the appropriate air carrier from the drop-down menu.

4) Select the appropriate PTRS Activity Number from the drop-down menu.

5) Enter the activity’s start and completion date.

6) Enter the location of the activity’s performance.

7) Enter “8900MHF” in the Local/Regional/National Use field.

8) Use the Comments field to record any comments reflecting interaction with the air carrier and the air carrier’s response to the recommendation.

9) Input any actions taken in the Reporting Inspector Action Taken field.

10) Select the Save button after making all entries.

3-1916 FUTURE ACTIVITIES. Routine surveillance.

RESERVED. Paragraphs 3-1917 through 3-1920.
VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 51 PART 133 EXTERNAL LOAD OPERATIONS

Section 1 Introduction to Part 133 Related Tasks

3-4081 EXTERNAL-LOAD OPERATIONS. Volume 2, Chapter 7, Section 1; Volume 3, Chapter 51, Section 3 through Section 6; Volume 5, Chapter 10, Section 1; and Volume 6, Chapter 5, Section 1 through Section 3; contain guidelines for certification and surveillance of Title 14 of the Code of Federal Regulations (14 CFR) part 133 Rotorcraft External-Load Operators.

3-4082 AMENDMENTS TO PART 133. Past amendments to part 133 are summarized as follows:

A. Civil Operators. All civil rotorcraft external-load operators must be certificated.

B. Restricted Category Rotorcraft. Part 133 permits external-load operations with restricted category rotorcraft except over certain areas.

C. Certificate Expiration. Certificates issued under part 133 are valid for a period of 24 calendar-months.

D. Congested Area Operations. Restricted category rotorcraft are prohibited from conducting external-load operations in congested airways, over densely populated areas, or near busy airports where passenger transport operations are conducted.

E. New Load Class. A new Class D authorization has been established to permit the carriage of persons in a Federal Aviation Administration (FAA) approved personnel lifting device.

F. Instrument Flight Rules (IFR) Operations. IFR external-load operations are permitted as specified by the Administrator.

G. Operations Flight Characteristic Demonstration. New operators are relieved of the requirements for an operational flight characteristic demonstration if a demonstration has already been performed by the manufacturer. This information is contained in the rotorcraft flight manual for each rotorcraft.

3-4083 CLASSES OF AUTHORIZATION.

A. Class A External-Loads. Class A is an external-load that cannot move freely, cannot be jettisoned, and does not extend below the landing gear. An example of Class A operation is the carriage of supplies in an approved cargo rack, bin, or seat affixed to the exterior of the aircraft. A cargo rack may be certified with or without a cargo envelope. The FAA-approved flight manual supplement that is required for the cargo rack installation specifies the approved configuration. If the cargo carried is within the envelope specified in the flight manual.
supplement, the rotorcraft may be operated in accordance with 14 CFR part 91 or 135. If the cargo rack is certified without a cargo envelope or the cargo carried exceeds the specified envelope, flight operations MUST BE conducted in accordance with part 133.

B. Class B External-Loads. Class B is an external-load, carried above or below the skids, which can be jettisoned and is lifted free of land and/or water by a cargo hook or winch. An example of a Class B operation is the placement of an air conditioning unit on the roof of a tall building.

C. Class C External-Loads. Class C is an external-load that can be jettisoned and a portion of the load remains in contact with land or water. Examples of Class C operations are wire stringing, dragging a long pole, or towing a boat or barge.

D. Class D External-Loads. Class D is an external-load other than Class A, B, or C and is approved on an individual basis through the issuance of operations specifications (OpSpecs). Class D allows the external carriage of a person other than a crewmember, or a person who is essential to, and directly connected with, the external-load operation, may also be carried as a Class D load.

3-4084 OPERATING RULES.

A. Rotorcraft Load Combination Flight Manual. Rotorcraft external-load operations must be conducted in conformity to the Rotorcraft Load Combination Flight Manual prescribed in 14 CFR part 133, § 133.47. The rotorcraft must be operated in compliance with part 133, § 133.45; the rotorcraft and rotorcraft-load combination are authorized under the operating certificate.

B. Carriage of Persons. Part 133 does not provide for “passenger carrying” operations, but does provide for the “carriage of persons” in accordance with § 133.35. If passenger carrying operations are conducted, they should be done in accordance with part 91 or 135. No Class A, B, or C external-load operator may allow a person to be carried during external-load operations unless that person is a flight crewmember, is a flight crewmember trainee, performs an essential function in connection with the external-load operation, or is necessary to accomplish the work activity directly associated with the operation. An operator with Class D approval may be authorized to carry persons other than a crewmember or persons directly connected with the external-load operation. The inspector must ensure that any proposed external-load operations are not a guise for passenger carrying operations conducted for compensation or hire.

1) The carriage of snow skis as a Class A external-load when skiers are on board the rotorcraft is clearly a passenger carrying operation that is not permitted under the provisions of § 133.35. Baggage carried in a Class A external-load attaching means (such as racks on top of fixed floats) is another example of an operation not permitted by § 133.35. However, if these items are carried in approved cargo racks as described in subparagraph 3-4083A, the operation could be conducted under part 91 or 135, which allow for carrying passengers.

2) An operator with a Class B approval may be authorized to externally carry a crewmember, or a person essential to the external-load operation, with a single engine rotorcraft.
The persons in the following examples may be carried as a Class B external-load, which must be jettisonable.

a) Cameramen who are involved in movie making operations.

b) Trapeze acts or clown acts at airshows or similar entertainment events.

3) A Class D rotorcraft load combination is the only external-load class permitting the carriage of persons other than crewmembers or persons essential to the external-load operation (§ 133.1(5) (d)). An example of a person who would have to be carried as a Class D external-load is a harbor pilot being transported from land to a ship in a personnel lifting device. A Class D external-load operation can be conducted only in accordance with the following:

   a) The rotorcraft used must have been type certificated under 14 CFR part 27 or 29, Category A, for its operating weight. With one engine inoperative, it must be able to hover at that operating weight, and in the density altitude conditions that exist when a Class D load is carried.

   b) The rotorcraft must be equipped for direct radio intercommunication among required crewmembers.

   c) The personnel lifting device must be FAA-approved, and have an emergency release that requires two distinct actions to achieve release. For example, a hoist must have a pressure cartridge cable cutter with one guarded switch that requires the pilot to raise the guard before activating the switch. The guard must prevent the pilot from activating the switch inadvertently.

4) In an emergency involving the safety of persons or property, the certificate holder may deviate from the rules of part 133 to the extent required to meet that emergency. The test to determine whether a deviation is necessary is the availability of alternate means of solving the situation.

   a) Rescue of property must be clearly in the public interest in order to warrant deviation from the operating rules and related requirements.

   b) Under the emergency operating authority (§ 133.31(b)), the inspector should request a complete report for each deviation from part 133. This may be necessary to determine whether there has been a violation of the rule and to ensure that the operator has not used the authority granted by the provisions of § 133.31(a) to use an emergency situation to circumvent the rules. The report should give a thorough, detailed account of the operation, a description of the act of deviation, and a justification for the deviation. The report must be filed within 10 days of the request by the Administrator.
3-4085 FOREIGN-REGISTERED ROTORCRAFT.

A. Canadian-Registered Rotorcraft. U.S. Operators may add Canadian-registered rotorcraft to a Rotorcraft External-Load Operating Certificate in accordance with the following conditions:

1) Operators and new applicants for a part 133 Rotorcraft External-Load Operator Certificate must have and maintain the exclusive use of at least one rotorcraft that is U.S.-registered and meets the requirements of § 133.19. Any Canadian-registered rotorcraft added to a part 133 Rotorcraft External-Load Operating Certificate and used in part 133 operations must:

   a) Be type certificated under part 27 or part 29, the regulations preceding those parts, or 14 CFR part 21, § 21.25.

   b) Hold a U.S. type certificate (TC) in the normal or restricted category.

   c) Meet the original type design or properly altered condition.

   d) Have records showing maintenance in accordance with the manufacturer’s instructions for continued airworthiness and the regulations of the country of registry.

   e) Undergo an airworthiness inspection prior to addition to a part 133 certificate.

B. North American Free Trade Agreement (NAFTA). Certain Specialty Air Services authorized by the NAFTA require use of rotorcraft external-loads. NAFTA operators do not require part 133 certification because they hold equivalent authorization from their respective NAFTA Civil Aviation Authority. However, the rotorcraft authorized by a NAFTA Certificate of Authorization must have an original FAA or Transport Canada Civil Aviation (TCCA) civil type certificate. Ex-military aircraft that have restricted-category certification based on military experience only are not eligible. For more information, see Volume 12, Chapter 1, Section 4, North American Free Trade Agreement (NAFTA).

3-4086 RENEWAL, AMENDMENT, CANCELLATION. A rotorcraft external-load operator certificate expires at the end of the 24th month after the month it was issued or renewed. In the event the operator’s certificate was lost or destroyed, the operator may get a replacement upon written request to the certificate-holding district office (CHDO). The duplicate certificate is a copy of the currently effective certificate and is marked “duplicate” with the date of re-issuance.

A. Renewal. Application for renewal of a rotorcraft external-load operator certificate must be made on FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application, to the CHDO. The certificate holder should apply for renewal at least 30 days before expiration of the certificate.

1) Application for renewal of a certificate will be submitted and processed in the same manner as for original issuance.
2) The inspector shall compare the renewal application with the expiring certificate. If no substantial changes are noted and the operator has a good record of compliance, the inspector may issue a new certificate without conducting a comprehensive inspection. Should the renewal application show new rotorcraft, the rotorcraft’s records must be checked by an airworthiness inspector for compliance with the airworthiness requirements of part 133 before the certificate may be renewed.

B. Amendment. The CHDO generally processes amendments to a part 133 operator’s certificate. The FAA may also amend an external-load operator’s certificate, in the interest of safety in air commerce, as the result of actions taken under Title 49 of the United States Code (49 U.S.C.), section 44709 (formerly section 609 of the Federal Aviation Act of 1958), as amended, and 14 CFR part 13.

1) Amendments may be made to any of the following:

   a) OpSpecs: additional authorization, no longer qualified for authorization.

   b) Rotorcraft Load Combination Flight Manual: a change in procedures, add a class of operation.

   c) Certificate: add or delete class authorization, a change to the rotorcraft list attached to the certification, a change of name (not ownership).

   d) Training program: a change in equipment (winch, aircraft, or other lifting device) or type of operations, including change in type of winch.

2) An operator desiring to amend a rotorcraft external-load certificate must apply using the appropriate section of FAA Form 8710-4.

3) The inspector determines if the amendment requires any additional inspections and/or tests.

4) External-load operators seldom confine their operations to one geographic area. To prevent imposing undue hardship on industry, additional load class authorizations may be approved by a local Flight Standards District Office (FSDO) that does not hold the certificate. However, the local FSDO shall coordinate this activity with the CHDO. The local FSDO issues the qualified operator a letter of authorization (LOA) that notes all the requirements have been met for the particular load class authorization sought. The LOA or a facsimile must be carried on board the aircraft along with copies of the original external-load certificate and the list of authorized rotorcraft. The local FSDO forwards a copy of the LOA, approved additions to the Rotorcraft Load Combination Flight Manual, and completed original FAA Form 8710-4 to the CHDO. The certificate can then be amended to include the additional load class authorization. The amended certificate must be sent to the operator within 60 days because the LOA expires 60 days after the date of issuance. The expiration date should be stated in the LOA.

5) To add or delete a rotorcraft from the list of approved rotorcraft, the operator should fill out the appropriate section on FAA Form 8710-4. The addition or deletion of a
rotorcraft must be reflected in the OpSpecs, when applicable. The Rotorcraft Load Combination Flight Manual for that aircraft must be amended to reflect the change.

a) The inspector assigned to the operator must ensure that all necessary inspections are performed.

b) The FSDO issues a new list of approved rotorcraft. The operator must return the original and all facsimiles of the superseded list of approved rotorcraft to the FSDO for disposal. A new certificate is not issued unless the addition or deletion of rotorcraft also means a change in the load class authorizations.

6) If the application, additional documents, and demonstrations indicate compliance with the appropriate regulations, an amended certificate and/or list of approved rotorcraft will be issued.


1) The certificate may be amended, suspended, or revoked for the same reasons that would have been cause for denying application of the original certificate. (See FAA Order 2150.3, Compliance and Enforcement Program, as amended.) The requirements for continuing to hold a certificate are never less than the requirements for original certification.

2) An operator may elect to voluntarily discontinue operations. The operator must voluntarily surrender the operating certificate by letter. The letter should state that the operator understands that all initial certification requirements will have to be met in order to reapply. In any case, if the operator does not resume operations within 2 years, the operator shall surrender the operating certificate to the CHDO (§ 133.27(c)).

RESERVED. Paragraphs 3-4087 through 3-4105.
PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE. 1533.

OBJECTIVE.

A. Eligibility Determination. This task determines if an applicant is eligible for a U.S. pilot certificate and/or rating on the basis of his/her foreign pilot license. Completion of this task results in the issuance, non-issuance, or denial of a U.S. pilot certificate and/or rating.

1) The issuance of a U.S. pilot certificate and/or rating on the basis of a foreign pilot license would mean the applicant has met the appropriate eligibility requirements of Title 14 of the Code of Federal Regulations (14 CFR) part 61 and the provisions set forth in this chapter.

2) Non-issuance would mean the applicant has not met the appropriate eligibility requirements of part 61 and the provisions set forth in this chapter; therefore, the applicant would be disqualified from receiving a U.S. pilot certificate and/or rating on the basis of a foreign pilot license.

3) The denial of a U.S. pilot certificate and/or rating would mean the applicant did not meet the appropriate eligibility requirements of part 61 and the provisions set forth in this chapter; therefore, the applicant would be issued Federal Aviation Administration (FAA) Form 8060-5, Notice of Disapproval of Application.

B. Foreigner Application Process. The FAA and Transportation Security Administration (TSA) requires a foreigner who applies for a U.S. pilot certificate/rating, or who holds a U.S. pilot certificate/rating, and applies for an additional rating to go through a background security check and have their foreign pilot and medical licenses verified for validity purposes.

1) The procedures that a foreign person must follow to apply for a U.S. pilot certificate/ratings are described on the FAA’s Airmen Certification Branch, AFS-760, Web site at: http://www.faa.gov/licenses_certificates/airmen_certification/foreign_license_verification.

C. Denying Certification to Foreign Applicants. The FAA has a regulatory basis for denying certification to foreign applicants. That regulatory basis is § 61.13(a)(2), which states, in pertinent part, that a person “ . . . who is neither a citizen of the United States nor a resident alien of the United States . . . (ii) may be refused issuance of any U.S. airman certificate, rating, or authorization . . . .” Additionally, per Title 49 of the United States Code (49 U.S.C.) § 44709(b), “The Administrator may issue an order amending, modifying, suspending, or revoking (1) any part of a certificate issued under this chapter if (A) the Administrator decides after conducting a reinspection, reexamination, or other investigation that safety in air commerce or air transportation and the public interest require that action.” The key language in 49 U.S.C. § 44709(b)(1)(A) is “other investigation that safety in air commerce or air transportation and the public interest require that action.” This gives the FAA the right to initiate an action to suspend or revoke an airman certificate when the FAA believes that safety or the public interest requires it.

5-593 GENERAL.

A. General Process. Section 61.75 allows a person to be issued a U.S. pilot certificate with private pilot privileges on the basis of a foreign pilot license that is at least equivalent to or higher than the U.S. private pilot certification level. The foreign pilot license must have been issued by a foreign Civil Aviation Authority (CAA) that is a member state of the International Civil Aviation Organization (ICAO), and the foreign pilot license must be valid. The holder of a valid foreign pilot license issued by an ICAO member state may use that foreign pilot license as the basis for issuance of a U.S. pilot certificate even if the issuing country is now defunct. A current listing of the ICAO member states can be found at: http://www.icao.int/cgi/goto_m.pl? or at: http://www.icao.int/icao/en/m_about.html under the link for Contracting States.

B. Applicability. This section applies to the issuance of U.S. pilot certificates and ratings to persons who apply on the basis of their foreign pilot licenses under the following rules within part 61:

1) Under § 61.29, for persons who request replacement of a certificate issued on the basis of a foreign pilot license under § 61.75.

2) Under § 61.39(c)(1), for persons who hold a foreign pilot license (issued by an ICAO member state that authorizes at least the pilot privileges of the U.S. pilot certificate sought) and apply for an equivalent U.S. pilot certificate.

3) Under § 61.65, for persons who apply for an instrument rating on a § 61.75 U.S. pilot certificate with the notation “U.S. TEST PASSED.”

4) Under § 61.73(b)(3)(ii), for a rated military pilot of a foreign armed force whose country is a Member State of ICAO, and that pilot is assigned to pilot duties (other than flight training as a student) of an operational U.S. military unit and who holds at the time of application a current civil pilot license issued by the foreign country, which authorizes at least the privileges of the U.S. pilot certificate sought.
5) Under § 61.75, for persons who apply for a § 61.75 private pilot certificate on the basis of holding a foreign pilot license (at least equivalent to or higher than the U.S. private pilot certification level) issued by an ICAO member state.

6) Under § 61.75(c), for persons who apply for the addition of an aircraft rating to a § 61.75 U.S. pilot certificate with the notation “U.S. TEST PASSED.”

7) Under § 61.75(d), for persons who apply for an instrument rating to a § 61.75 U.S. pilot certificate by accomplishing the Instrument Foreign Pilot (IFP) knowledge test.

8) Under § 61.123(h), for persons who apply for an unrestricted U.S. commercial pilot certificate on the basis of holding a § 61.75 U.S. pilot certificate.

9) Under § 61.153(d)(3), for persons who hold either a foreign Airline Transport Pilot License (ATPL) with the appropriate aircraft rating or a foreign commercial pilot license (CPL) and instrument rating with the appropriate aircraft rating, without limitations, who apply for a U.S. ATP certificate.

5-594 JOINT FAA AND TRANSPORT CANADA CIVIL AVIATION (TCCA) AGREEMENT TO CONVERT FAA PILOT CERTIFICATES AND TCCA PILOT LICENSES.

A. FAA and TCCA Agreement. On August 31, 2006, the FAA and TCCA signed an agreement to convert Canadian pilot licenses and U.S. pilot certificates, i.e., to issue an FAA pilot certificate on the basis of a pilot license issued by the TCCA and vice versa. This conversion procedure is available to holders of FAA pilot certificates and TCCA pilot licenses for the airplane category at the private, commercial, and ATP certification levels of licenses or certificates and includes the following aircraft ratings or qualifications: instrument rating, class ratings of Airplane Single-Engine Land (ASEL) and Airplane Multiengine Land (AMEL), type ratings, and night qualification addressed under part 61 and Canadian Aviation Regulations (CAR) Part IV. The FAA and TCCA have issued advisory circulars (AC) that explain the process for converting Canadian pilot licenses and U.S. pilot certificates. The FAA and TCCA are also planning to convert the other aircraft category ratings. For more information about this joint FAA and TCCA pilot license/certificate conversion process, contact the FAA’s Certification and General Aviation Operations Branch, AFS-810, at (202) 267–8212.

B. Conversion Process. The procedures and information for this conversion process for converting Canadian pilot licenses and U.S. pilot certificates are addressed in Figure 5-65.

5-595 OBTAINING A U.S. PILOT CERTIFICATE. A person may apply for a U.S. pilot certificate and associated ratings on the basis of his/her foreign pilot license under the following:

A. Equivalent U.S. Pilot Certificate. Section 61.39(c)(1) permits a person who holds a foreign pilot license (issued by an ICAO member state which authorizes at least the pilot privileges of the U.S. pilot certificate sought) to apply for an equivalent U.S. pilot certificate by having accomplished the required aeronautical experience, passed the appropriate knowledge test, and passed the appropriate practical test.
B. **Instrument Rating.** Under § 61.65, persons who apply for an instrument rating on a § 61.75 U.S. pilot certificate with the notation “U.S. TEST PASSED.”

C. **Rated Military Pilot.** Under § 61.73(b)(3)(ii), a rated military pilot of a foreign armed force whose country is a Member State of ICAO, and that pilot is assigned to pilot duties (other than flight training as a student) in an operational U.S. military unit, may apply for:

- A commercial pilot certificate.
- An aircraft rating in the category and class of aircraft for which that foreign military pilot is qualified.
- An instrument rating with the appropriate aircraft rating for which that foreign military pilot is qualified.
- A type rating, if appropriate *(meaning, a type rating provided there is an equivalent civilian U.S. certificated aircraft of the same type).*

D. **Foreign Pilot License.** Section 61.75 permits a person who holds a foreign pilot license at least equivalent to or higher than the U.S. private pilot certification level and issued by an ICAO member state to apply for a private pilot certificate by complying with the application and certification procedures contained in this chapter. A person may be issued a § 61.75 private pilot certificate on the basis of a foreign pilot license as follows:

1) With no instrument privileges, for which neither a knowledge nor a practical test is required.

2) With instrument privileges, provided the applicant has passed the IFP knowledge test and the applicant’s foreign pilot license has the equivalent Instrument — [Aircraft] rating.

**NOTE:** *Completion of the FAA Instrument—[Aircraft: Airplane, Helicopter, or Powered-lift, as appropriate] Rating Aeronautical knowledge test within the preceding 24 calendar-months is also acceptable.*

3) With a standard instrument rating, provided the applicant has passed the Instrument—[Aircraft: Airplane, Helicopter, or Powered-lift, as appropriate] knowledge test and practical test. The U.S. pilot certificate will be issued with the notation “U.S. TEST PASSED.”

4) A person may obtain a U.S. pilot certificate without relying on his/her foreign pilot license by accomplishing the required training, instructor endorsements, aeronautical experience, passing the appropriate knowledge test, and passing the appropriate practical test as required by the pilot certification requirements contained in part 61. However, if a person other than a holder of a student pilot certificate already holds a standard U.S. pilot certificate, that person may not apply for a U.S. pilot certificate on the basis of a foreign pilot license (see § 61.75(b)(3)), unless he or she voluntarily surrenders his/her U.S. pilot certificate.
NOTE: A person who applies for a U.S. pilot certificate by accomplishing the appropriate pilot certification requirements of part 61 and holds a pilot certificate issued under § 61.75 need not surrender that § 61.75 U.S. pilot certificate. There have been isolated incidences where examiners have mistakenly required a person to surrender their § 61.75 U.S. pilot certificate when applying for the standard U.S. pilot certificate. In this instance, it is permissible for a person to hold both their § 61.75 U.S. pilot certificate and standard U.S. pilot certificate.

5) A person who holds a § 61.75 commercial pilot certificate that was issued before August 4, 1997, may continue to hold that § 61.75 commercial pilot certificate; however, any additional ratings on that § 61.75 commercial pilot certificate that is being applied for on or after August 4, 1997 must be issued at the private pilot certification level only.

E. English Language Requirements. Early in the process of issuing a U.S. pilot certificate, that is on the basis of a foreign pilot license, the FAA aviation safety inspector (ASI) (Operations) or an FAA aviation safety technician (AST) must determine whether the applicant can read, speak, write, and understand the English language. AC 60-28, English Language Skill Standards Required by 14 CFR Parts 61, 63, and 65, explains how to determine English abilities required for pilot certification.

F. Non-Medical Disability. If the applicant cannot read, speak, write, or understand English for reasons other than a medical disability, meaning a hearing or speech impairment that is medically substantiated by a certified physician, then the FAA ASI (Operations) or AST may not issue the U.S. pilot certificate.

G. Medical Disability. If the applicant is not able to read, speak, write, or understand English because of a medical disability, the FAA ASI (Operations) or AST may place an operating limitation on the private pilot certificate. The operating limitation requires the person to be accompanied by another pilot who is qualified to serve as a pilot in command (PIC) for the appropriate aircraft category, class, type (if class and type of aircraft is applicable), and operating privilege.

5-596 PILOT CERTIFICATE REQUIREMENTS.

A. Foreign-Registered Aircraft. Part 61, § 61.3(b) permits foreign-registered aircraft to be operated within the United States by a pilot holding a valid foreign pilot license issued by the foreign country where the aircraft is registered.

B. U.S.-Registered Civil Aircraft. Section 61.3(a) permits a U.S.-registered civil aircraft to be operated within a foreign country by a pilot holding a foreign pilot license with the appropriate aircraft rating issued by that foreign country. A person who holds a U.S. pilot certificate with the appropriate aircraft rating may also operate a U.S.-registered civil aircraft in an ICAO member state country. However, persons who operate a U.S.-registered civil aircraft in an ICAO member state country should be aware that some foreign countries may have additional operational and pilot certification requirements. Each pilot must inquire with that foreign...
country’s CAA and become familiar with that country’s operational and pilot certification requirements before operating a U.S.-registered civil aircraft in that country.

C. Required Pilot Crewmember. A person may not act as a required pilot crewmember of a U.S.-registered civil aircraft in the United States unless that person holds a U.S. pilot certificate with the appropriate aircraft ratings and privileges.

D. Compliance. A person who is exercising the privileges of his/her U.S. pilot certificate must comply with the pertinent rules and requirements contained in part 61 and in 14 CFR part 91 (§ 61.56 flight review requirements, recency of experience requirements, § 61.58 PIC proficiency check, § 61.51 required logbook entries, etc.). A flight review must have been administered by the holder of an FAA flight instructor certificate with the appropriate ratings. The proficiency checks administered by a foreign flight instructor do not count as meeting the flight review requirements of § 61.56.

E. Knowledge Test Failures. A person who fails the IFP knowledge test will be required to receive additional training and receive an instructor endorsement to reapply for the IFP knowledge test, in accordance with § 61.49.

5-597 U.S. PILOT CERTIFICATES THAT MAY BE ISSUED TO A PERSON WHO HOLDS A FOREIGN PILOT LICENSE. The kinds of U.S. pilot certificates that may be issued to a person who holds a foreign pilot license in accordance with § 61.75 are:

A. Private Pilot Certificate. A U.S. private pilot certificate on the basis of a valid foreign pilot license that is at least equivalent to or higher than the U.S. private pilot certification level.

B. Commercial Pilot Certificate. A commercial pilot certificate if the certificate was issued before August 4, 1997 and was on the basis of a foreign pilot license at least equivalent to or higher than the U.S. commercial pilot certification level. After August 4, 1997, a person who applies for a U.S. pilot certificate on the basis of holding a foreign pilot license may only be issued at private pilot certification level. As of August 4, 1997, all aircraft ratings issued on a U.S. pilot certificate are issued only at the private pilot certification level. The aircraft ratings on the foreign pilot license must be at least equivalent to or higher than the U.S. private pilot certification level to be placed on the U.S. pilot certificate.

C. Standard U.S. Pilot Certificate. A standard U.S. pilot certificate issued after the person has accomplished the required training, instructor endorsements, and aeronautical experience, and passed the appropriate knowledge and practical test as required by the pilot certification requirements contained in part 61.

1) A standard U.S. pilot certificate in accordance with § 61.39(c)(1).

2) A standard U.S. commercial pilot certificate in accordance with § 61.73(b)(3)(ii).

3) The holder of a foreign pilot license (at least equivalent to or higher than the U.S. private pilot certification level) may hold both a § 61.75 U.S. pilot certificate and a standard U.S.
pilot certificate at the same time, provided the § 61.75 U.S. pilot certificate was obtained before the pilot satisfied the part 61 pilot certification requirements.

4) If the FAA is unable to determine if a person meets the appropriate pilot certification eligibility requirements for the U.S. pilot certificate or rating, the agency is not obligated to issue the pilot certificate and/or rating until the information can be properly determined.

D. Ratings Issued. A U.S. private pilot certificate issued on the basis of a foreign pilot license (at least equivalent to or higher than the U.S. private pilot certification level) must bear the part 61, § 61.5 equivalent to the ratings on the foreign pilot license (e.g., ASEL, AMEL, etc.). However, an instrument rating may only be issued if:

1) Instrument Privileges. The foreign pilot license on which the certificate is based has instrument privileges on it; and

2) IFP Knowledge Test. The person passes the IFP knowledge test on part 91 subpart B that relates to instrument flight rules (IFR) operational procedures.

NOTE: An instrument rating is not issued at a certain pilot certification level (meaning private pilot, commercial pilot, or ATP certification level) because the instrument rating is merely a rating/operating privilege.

3) Determining Equivalent Rating. In some cases, determining the equivalent rating may be difficult. Several foreign countries categorize pilot ratings and limitations by horsepower or engine type. The FAA ASI (Operations) or AST should contact AFS-810 at (202) 267–8212 if in need of assistance. However, the limitation by horsepower or engine type is not required to be placed on the U.S. pilot certificate, because § 61.75(e)(3) requires the pilot to adhere to the limitations of his/her foreign pilot license even when exercising the privileges of his/her U.S. pilot certificate.

4) Private Pilot Certificate. When a private pilot certificate is issued on the basis of a foreign pilot license and the foreign pilot license has instrument rating/privileges, in order for that person to receive instrument privileges on the U.S. pilot certificate, the person must pass either the IFP knowledge test or the standard instrument rating (i.e., Instrument—Airplane or Instrument—Helicopter or Instrument—Powered-lift) knowledge test, and the standard instrument rating practical test (see § 61.65).

NOTE: If the applicant’s U.S. pilot certificate has not been issued with instrument privileges, then the issuing Flight Standards District Office (FSDO) will advise the applicant that he or she may not serve as a required pilot crewmember of a U.S.-registered aircraft under IFR when exercising the privileges of that U.S. pilot certificate. When the applicant passes the IFP knowledge test, instrument privileges will be granted on the U.S. pilot certificate. Passage of the IFP knowledge test does not qualify a person for the notation “U.S. TEST PASSED” for the instrument rating.
5) **U.S. Test Passed Notation.** To qualify for the notation “U.S. TEST PASSED” for the addition of an aircraft or instrument rating to a U.S. pilot certificate, the person must accomplish the appropriate aeronautical experience, pass the knowledge test (if applicable), and pass the practical test as required under part 61. Each rating added to the temporary U.S. pilot certificate will have the notation “U.S. TEST PASSED” following the rating to which the notation applies. The required aeronautical experience must be shown on FAA Form 8710-1, Airman Certificate and/or Rating Application. Do not indicate “U.S. TEST PASSED” on the temporary pilot certificate if only the IFP knowledge test was passed.

6) **Type Rating.** When a type rating is shown on the U.S. pilot certificate (meaning a U.S. pilot certificate that was issued on the basis of a foreign pilot license), that aircraft type rating will be limited to “VFR ONLY” if the person has not passed either the IFP knowledge test or the standard instrument rating knowledge test and the standard instrument rating practical test (see § 61.65).

**NOTE:** Applicants who apply for a type rating with the notation “U.S. TEST PASSED” on their U.S. pilot certificate must have received the required training from a holder of an FAA flight instructor certificate with the appropriate ratings (see part 61, § 61.63(d) or § 61.157(b), as appropriate). If the aircraft type rating is for an aircraft with a gross takeoff weight of greater than 12,500 pounds, the applicant must also complete a background security check administered by the TSA. The reporting requirements of the TSA’s background check is on its Web site at: http://www.tsa.gov/what_we_do/layers/afsp/editorial_multi_image_with NOTE: _table_0215.shtm or at: http://www.tsa.gov.

**NOTE:** Once the applicant has qualified for the “U.S. TEST PASSED” rating on a U.S. pilot certificate under § 61.75, the aircraft rating and/or type rating annotated with the notation “U.S. TEST PASSED” is eligible for transfer to a unrestricted U.S. pilot certificate without any further showing of competency or practical test if the applicant later obtains an unrestricted U.S. pilot certificate.

**E. Medical Endorsement or Certificate.** A person applying for a U.S. pilot certificate must submit evidence that he/she currently meets the medical licensing standards for the foreign pilot license on which the application for the pilot certificate is based (see § 61.75(f)). Some foreign CAAs enter periodic medical endorsements on their foreign pilot licenses that affect its currency (i.e., Germany, Austria, Kenya, Cyprus, Canada, Guatemala, Trinidad, Tobago, Singapore, and Sri Lanka). Therefore, if the foreign pilot license must have a medical endorsement to make it valid, an FAA medical certificate alone will not satisfy the regulations. In cases when a medical endorsement is not used, a current medical license from the person’s foreign medical examiner or a current 14 CFR part 67 medical certificate will satisfy the requirement. If the person’s foreign pilot license shows a medical endorsement, the person should enter the word “Endorsement” on FAA Form 8710-1, section I, block R, or the equivalent class of medical certificate. If using the Integrated Airman Certification and/or Rating Application (IACRA), enter the date of that endorsement in block S. If the name of the examiner
who administered the medical endorsement is unknown to the applicant because the foreign CAA administered the physical, then simply state “CAA” in block T.

F. Duration. A § 61.75 U.S. pilot certificate issued on the basis of a foreign pilot license remains in effect as long as the foreign pilot license used to obtain the U.S. pilot certificate is valid.

NOTE: A prefix or suffix change in a foreign pilot license does require the reissuance of a U.S. pilot certificate issued on the basis of a foreign pilot license. Some examples of countries that issue prefixes and suffixes on their pilot licenses are Canada, Germany, and Great Britain. For example, on a foreign pilot license issued by Great Britain, the prefix codes the grade level of the pilot license. In Germany, the suffix codes the grade level of the pilot license. For the U.S. pilot certificate to correctly identify the person’s foreign pilot license, if the person’s foreign pilot license has a change in its prefix/suffix code, the U.S. pilot certificate must be reissued to reflect the person’s most current foreign pilot license number. All requests for reissuances of U.S. pilot certificates that require prefix or suffix changes must be made by application on an FAA Form 8710-1. The applicant must request verification of the authenticity of the foreign pilot license before making application.

G. Renewal of a § 61.75 U.S. Pilot Certificate. A § 61.75 U.S. pilot certificate issued on the basis of a foreign pilot license before November 1, 1973, may be reissued at any time upon compliance with the appropriate requirements of § 61.75.

H. Flight Instructor Certificates. A flight instructor certificate or an additional rating on a flight instructor certificate may not be issued on the basis of any foreign flight instructor rating or certificate. A flight instructor certificate will only be issued to a person who meets the appropriate requirements of part 61 subpart H.

I. Added Ratings to a U.S. Pilot Certificate. If a person requests that a rating be added to his/her U.S. pilot certificate on the basis of meeting the appropriate pilot certification requirements of part 61 (i.e., the practical test and the knowledge test, if applicable), those requirements must be accomplished before the issuance of that additional rating. However, if the person requests the added rating on the basis of that rating having been added to his/her foreign pilot license, no knowledge test or practical test is required. The authenticity of the foreign license must be verified before adding the appropriate rating.

J. Flying Clubs. A foreign pilot license issued by a flying club under a specific delegation of the foreign CAA of an ICAO member state is acceptable for the issuance of a private pilot certificate under § 61.75. For example, several countries may delegate the authority to issue glider pilot certificates to members of their national gliding clubs.

K. British Territories. The British Colonial Air Navigation Order of 1961, as amended, authorizes the British Territories, listed in paragraph 5-632, authorizes the territories to issue their own pilot licenses (not British National pilot licenses). British Territory pilot licenses...
usually bear the name of the territory where they were issued, and the territories are identified in the Colonial Air Navigation Order under the year of its most recent amendment. Pilot licenses issued by the British Territories are acceptable for the issuance of the U.S. pilot certificate on the basis of a person holding a foreign pilot license.

L. JAR-FCL. Since July 1, 1999, some states that are members of the European Joint Aviation Authorities (JAA) began issuing pilot licenses entitled JAR-FCL (Joint Aviation Requirement—Flight Crew Licensing) licenses. These pilot licenses are based upon new licensing regulations developed by JAA member states through the JAA and subsequently adopted by each JAA member state. JAR-FCL pilot licenses do meet ICAO pilot licensing standards and these JAA member states are member states of ICAO.

1) JAR-FCL License. Note that a JAR-FCL license will be issued by a JAA member state’s CAA and not by the JAA itself.

2) JAA Member Status. The most current listing of the JAA member states is on the JAA Web site at: http://www.jaa.nl.

3) Levels of Implementation. The individual JAA member states are at varying levels of implementation of JAR-FCL regulations; some JAA member states may still be issuing their own national pilot licenses. Further, national pilot licenses issued by a JAA member state before a state’s implementation of JAR-FCL may still be valid for use within that JAA member state and thus acceptable for issuance of a U.S. pilot certificate on the basis of § 61.75, provided that such pilot licenses meet the appropriate FAA regulatory requirements for the pilot certificate being issued. Any questions concerning the JAR-FCL pilot license should be directed to the Flight Standards International Programs and Policy Division, AFS-50.

5-598 BRITISH NATIONAL PILOT LICENSES. The United Kingdom (U.K.) issues both JAR-FCL pilot licenses and British National pilot licenses. The following paragraphs describe British National pilot licenses or variations listed on the JAR-FCL pilot license.

A. Cover Colors. Both national pilot licenses and JAR-FCL pilot licenses issued by the British CAA are all printed on white background security paper, but the color of the cover follows the ICAO Annex 1 convention. Thus, the private pilot license (PPL)(A) is light brown (tan), CPL(A) is blue, and ATPL(A) is green. The British Commercial Pilot License (BCPL)(A) also has the same blue cover as the CPL(A) but has a different title. Helicopter pilot licenses are variously colored—PPL(H) is light gray, CPL(H) is dark gray, and ATPL(H) is white. A Flight Engineer (FE) license has a dark brown cover. The data contained on each British National pilot license is identified numerically and the data after the Roman numeral II describes the pilot license held.

NOTE: If a FSDO is asked to issue a U.S. pilot certificate on the basis of a British National pilot license and it is not possible to determine which privileges are applicable, the person will be required to provide the necessary information before completion of the pilot certification process.

B. British National CPL(A) and ATPL(A). The British National CPL(A) and ATPL(A) issued before July 1, 1999 are the only British National issued CPL equivalent to both
the U.S. and ICAO respective pilot certification requirements. A private pilot certificate with the appropriate ratings may be issued on the basis of a British National CPL(A). The U.K. now issues a JAR-FCL CPL(A) or (H) restricted to British-registered aircraft. This is an acceptable ICAO pilot license, but the holder must meet some British pilot licensing requirements rather than JAR-FCL pilot licensing requirements for issuance of the pilot license.

C. Issuing Private Pilot Certificate on Basis of a British CPL. When issuing a private pilot certificate that is on the basis of a British CPL, a thorough examination of FAA Form 8710-1 must be made to determine the privileges and limitations on each pilot license. Those persons who hold a restricted or non-restricted basic British National CPL(A) are qualified for the issuance of a U.S. private pilot certificate because both the restricted and non-restricted basic British National CPL(A) licensing requirements meet or exceed the ICAO PPL standards. The restricted British National CPL(A) is no longer issued in the U.K. but may still be in use.

D. Restricted Basic British National CPL(A). The restricted basic British National CPL(A) is limited to private pilot privileges only. The British National basic license was introduced to allow existing British flight instructors and assistant flight instructors holding only PPLs to continue to instruct for payment without having to obtain a full British National CPL(A). The restricted British National CPL(A) requirements meet or exceed the ICAO PPL standards.

E. Non-Restricted Basic British National CPL(A). The non-restricted basic British National CPL(A) was issued to pilots who wished to conduct flight instruction or other types of aerial work, except for public transport, for payment. This pilot license does not meet the requirements of a full-fledged British National CPL, a U.S. commercial pilot certificate, or ICAO pilot license standards. However, the British National CPL(A) requirement meets or exceeds the ICAO PPL standards.

F. Instrument Meteorological Conditions (IMC) Rating. The British CAA may issue an IMC rating. Holders of the British IMC privilege are not qualified to receive a U.S. instrument rating because the IMC privilege is not as high a level of qualification as the instrument rating, and it confers no privileges for flights requiring compliance with IFR. IMC privileges can be used only within the U.K. Therefore, a holder of the IMC privilege is not eligible to take the IFP knowledge test or be issued a U.S. instrument rating.

G. British National PPL(A). On August 1, 2002, the British CAA began issuing a British National PPL(A) for single-engine airplanes, motor gliders, and micro-light aircraft. This foreign pilot license does not meet ICAO standards. It is the equivalent of the U.S. recreational license only and does not require an ICAO medical license, only a declaration of health signed by the holder’s general practitioner.

H. JAR-FCL Medical Licenses. The British CAA issues JAR-FCL medical licenses for ATPL, CPL, and some PPL licenses. The British CAA issues a national medical license for commercial balloon pilot licenses and a declaration of health for its national PPL license, private level balloon license, and micro-lights. Both the JAR-FCL medical and the national medical licenses meet ICAO medical standards. The declaration of health does not meet ICAO medical standards. The duration period for the U.S. medical certificate is addressed in § 61.23. When a
person is exercising the privileges of their § 61.75 U.S. pilot certificate, that person must comply with the appropriate medical certification requirements of § 61.23.

5-599 OTHER KNOWN DIFFERENCES OF SOME FOREIGN PILOT LICENSES AND RATINGS.

A. German Glider Pilot License. The German glider pilot license requires a person to hold a medical license/endorsement when exercising the privileges of his/her German glider pilot license. That person must also comply with the German medical license/endorsement requirements when exercising the privileges of his/her § 61.75 U.S. pilot certificate for the glider rating (see § 61.75(e)(3)).

B. Spanish IMC Privilege. Holders of a Spanish IMC privilege are not qualified to receive a U.S. instrument rating because the Spanish IMC privilege does not meet the certification standards and qualifications as a U.S. instrument rating and confers no privileges for flights requiring compliance with IFR. The Spanish IMC privilege is only authorized for use within Spain. Therefore, the holder of the Spanish IMC privilege is not eligible to take the IFP knowledge test or be issued a U.S. instrument rating.

C. Restricted Notation. Belgium issues some PPLs with the notation “RESTRICTED.” This limitation restricts the person to Belgian airspace only. This pilot license parallels the U.S. recreational pilot certificate (i.e., the person has not met the cross-country aeronautical experience and training requirements of ICAO). Do not issue a § 61.75 private pilot certificate to a person who holds a Belgian PPL with the notation “RESTRICTED.”

D. Night Restriction. Some foreign pilot licenses contain a restriction that prohibits the person from operating an aircraft at night. As an example, some foreign CAAs require their citizens to hold an instrument rating and/or a night flying privilege to operate an aircraft at night. That person must also comply with that night operating restriction of his/her foreign pilot license when exercising the privileges of the § 61.75 U.S. pilot certificate (see § 61.75(e)(3)). To clarify, while the FAA may not remove the night flying restriction, it is permissible for a foreign pilot who receives a U.S. pilot certificate on the basis of the person’s foreign pilot license to accomplish the required night flying training (for the appropriate grade level of U.S. pilot certificate held) from a holder of an FAA flight instructor certificate, and receive a solo endorsement to exercise night flying privileges on his/her U.S. pilot certificate.

E. Make and Model or No Passenger Limit. Some foreign CAAs (e.g., New Zealand and Australia) issue PPLs that limit the pilot to a specific make and model of aircraft or limit the pilot from carrying any passengers. Those persons must also comply with the make and model aircraft and passenger carrying restriction of their foreign pilot licenses when exercising the privileges of a § 61.75 U.S. pilot certificate (see § 61.75(e)(3)).

F. Grade of Pilot License Unidentified. Some foreign CAAs have issued pilot licenses that do not identify the grade of pilot license. In those instances, do not issue a U.S. pilot certificate. The holder of that kind of foreign pilot license does not meet ICAO standards for pilot certification.
G. Second-in-Command (SIC) Privileges Only. Some foreign CAAs have issued pilot licenses that limit the person to SIC privileges only. Do not issue a U.S. pilot certificate on the basis of that kind of foreign pilot license. The holder of that license does not meet ICAO standards for pilot certification.


I. Type Rating for Each Series of Aircraft Make and Model. Mexico issues a type rating for each series of make and model of an aircraft. For example, it does not issue a DC-9 type rating that covers all the various series of DC-9. Mexico issues a specific rating, such as DC-9-15 or a Boeing 737-300. Therefore, when an ASI/examiner places a type rating on a U.S. pilot certificate on the basis of a Mexican pilot license, he/she needs to specify the series as it appears on the Mexican license.

5-600 INITIAL CERTIFICATION AND APPLICATION PROCESS WITH AFS-760.
Persons who apply for a U.S. pilot certificate under the following circumstances must have the validity and currency of their foreign pilot license and medical license or endorsement verified by the foreign CAA that issued those licenses before making application for an FAA pilot certificate/authorization. This process is mandatory for the following kinds of applications:


B. Foreign Military Rated Pilots. Foreign military rated pilots who apply for a U.S. pilot certificate/rating on the basis of holding a foreign civil pilot license under the provisions of § 61.73(b)(3)(ii).

C. U.S. Pilot Certificate on Basis of Foreign Pilot License. Persons who apply for a U.S. pilot certificate issued on the basis of a foreign pilot license under the provisions of § 61.75.

D. Special Purpose Pilot Authorization. Persons who apply for a special purpose pilot authorization under § 61.77.


H. FE Certificate. Persons who apply for a U.S. FE certificate issued on the basis of their foreign engineer license under the provisions of 14 CFR part 63.
I. Replacement Certificate. Persons who request a replacement certificate under § 61.29 (i.e., lost, stolen, name change, citizenship change, gender change, or date of birth change) issued on the basis of a foreign pilot license under § 61.75.

J. Process. ASIs and ASTs should become familiar with this process in order to advise applicants and examiners of these new procedures. For this familiarization, ASIs and ASTs are directed to the AFS-760 Web site at: http://www.faa.gov/licenses_certificates/airmen_certification. This Web site explains some of the FAA procedures for issuing U.S. pilot certificates on the basis of a person holding a foreign pilot license.

K. Information to Submit. Applicants for U.S. pilot certificates and ratings are required to submit the following information to AFS-760:

1) The applicant’s full name and date of birth.

2) The address to which the person wishes to have the Verification of Authenticity letter mailed after AFS-760 issues it.

3) The certificate number and ratings on the foreign pilot license.

4) The country of issuance of the person’s foreign pilot license.

5) The location of the FAA FSDO where the person intends to make application for his/her U.S. pilot certificate.

6) A statement that his/her foreign pilot license is not under an order of suspension or revocation.

L. Optional Form. Applicants can also submit this required information using the optional form from AFS-760’s Web site at http://www.faa.gov/licenses_certificates/airmen_certification/foreign_license_verification.

M. Completed Form Submission. The applicant can mail the completed form with the preferred documents to the FAA Airmen Certification Branch, AFS-760, P.O. Box 25082, Oklahoma City, OK 73125-0082 or fax the form and documents to (405) 954–9922. The application must be signed, so the application packet must be faxed or mailed.

NOTE: The applicant should include a legible copy of his/her foreign pilot license and medical license or endorsement with all requests for verification of authenticity of the foreign pilot license. A person applying for a U.S. pilot certificate/rating on the basis of a foreign pilot license must apply for that pilot certificate at least 90 days before arriving at the designated FAA FSDO where the applicant intends to receive the U.S. pilot certificate. This initial application step is the responsibility of the applicant.
N. Written Notification. When verification is received from a foreign CAA, the applicant will receive written notification that a copy of the verification of authenticity of the foreign pilot license has been forwarded to the designated FSDO in the applicant’s request. The verification of authenticity of the foreign pilot license is valid for 6 calendar-months. Applicants may make application for their U.S. pilot certificate at the designated FSDO during that period.

O. Request to Change Designated FSDO. A request to change the designated FSDO may be made by letter to the FAA Airmen Certification Branch, AFS-760, P.O. Box 25082, Oklahoma City, OK 73125-0082 or fax to (405) 954–9922.

P. Duties and Responsibilities of AFS-760. AFS-760 is responsible for:

1) Verify. Verifying the authenticity of the applicant’s foreign pilot license and medical license with the foreign CAA.

2) Ensure. Ensuring the applicant’s foreign pilot license and medical license has not been surrendered, suspended, revoked, or expired.

3) Issue. Issuing the Verification of Authenticity letter to the designated FSDO and a copy to the applicant. (The Verification of Authenticity letter expires 6 calendar-months from the dated month on the letter.)

Q. Temporary Mailing Address. A temporary mailing address for delivery of the pilot certificate may be indicated on a separate statement attached to the preapplication letter. However, the address required for official record purposes as shown on FAA Form 8710-1 must represent the person’s actual permanent residential street address, including apartment number, etc., when appropriate. An alternate mail delivery service address (commercial mail box provider, flight school, airport office, etc.) is not acceptable. A post office box or rural route number is not acceptable as a permanent residence on an application unless unavoidable circumstances require such an address. A person residing on a rural route, in a boat or mobile (recreational) vehicle, or in some other manner that requires the use of a post office box or rural route number for an address, must attest to the circumstances by signing a statement on a separate sheet of paper. The information provided must include sufficient details to ensure identification of the geographical location of the person’s residence. If necessary to positively identify the place of residence, the person will be required to provide a map that clearly shows the location of his/her residence. When the residence is a boat or other mobile vehicle, the registration number, tag number, etc., and dock or park location must be provided.

5-601 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of the U.S. pilot certification requirements contained in part 61 and FAA policies and qualification as an FAA ASI (Operations) or an FAA AST.

B. Coordination. This task may require coordination with AFS-760 or AFS-810.
5-602 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):
   - Title 14 CFR parts 1, 61, 91, and 187,
   - AC 61-135, Conversion Procedures and Processes for FAA Pilot Certificates and
   - TCCA Pilot Licenses, and
   - PTRS Procedures Manual (PPM).

B. Forms:
   - FAA Form 8060-4, Temporary Airman Certificate,
   - FAA Form 8060-5, Notice of Disapproval of Application, and
   - FAA Form 8710-1, Airman Certificate and/or Rating Application.

C. Job Aids:
   - Sample letters and figures, and
   - Job Task Analysis (JTA): O3.1.15.

5-603 PROCEDURES.

A. Applicant Arrives at the FSDO. Determine if the FSDO has received the
   Verification of Authenticity letter from AFS-760.

   1) If no Verification of Authenticity letter is on file, advise the applicant of the
      preapplication process per section 1, paragraph 3T. Do not process FAA Form 8710-1 at this
      time.

   2) If there is a Verification of Authenticity letter on file, proceed with the application
      process.

B. Process Application of Person with Verification of Authenticity Letter.

   1) Open PTRS.

   2) Verify that the authenticity letter is still valid (within 6 calendar-months of date
      on letter). Verify that the foreign license has not expired before the expiration date of the
      authenticity letter. If the foreign license has expired, the applicant must reapply with AFS-760.

      a) If the authenticity letter is still valid, review the applicant’s FAA
         Form 8710-1.

      b) If the authenticity letter is no longer valid (more than 6 calendar-months from
         the date month on the letter), advise the applicant that he or she must reapply again with
         AFS-760. Close PTRS.
C. Review a Completed FAA Form 8710-1 Application.

1) Ensure the application is completed accurately (in ink if handwritten) and is legible. (The instructions for completing FAA Form 8710-1 application are attached to the application.)

2) In section I, Application Information, ensure that the applicant has checked the “Private” pilot certification level. Section 61.75 limits the issuance of the aircraft rating on the U.S. pilot certificate to the private pilot certification level. If the application is for the FAA/TCCA conversion process, review Figure 29-1. If the applicant desires instrument privileges on the U.S. pilot certificate, ensure that the applicant has also checked “Instrument.”

3) Ensure that section I, blocks A through V, have been completed. Ensure the person’s full legal name is furnished. Ensure block B (SSN) is not left blank. It must show either “None” or “Do Not Use” or “Pending.” Ensure the city, if applicable, and country are furnished in block D if the person is from a foreign country. Ensure a physical address or map is attached if the person furnished a P.O. Box or rural route in block E. Ensure the person claiming dual citizenship furnishes the primary citizenship in block F and that the temporary certificate indicates this in the limitation field, “(Dual citizenship includes_________).” Ensure that height and weight are in inches and pounds in blocks H and I. Ensure that the medical block Q is not left blank. If an endorsement country, have the person indicate Endorsement in block R.

4) Ensure that section II, blocks A through E has been completed (i.e., those blocks that are applicable and are appropriate for the basis of the application). Ensure that section II, block D (Holder of a Foreign license issued (by)) accurately reflect the information on the foreign pilot license. The issued aircraft ratings must reflect the FAA equivalent of the foreign license ratings (i.e., ASEL, AMEL). (See § 61.5). Ensure that all foreign license documentation (i.e., copies of foreign license, passport, etc.) remains with the pilot certification file. If a rating is based on the applicant having completed a practical test (i.e., “U.S. TEST PASSED”), this situation requires that the applicant complete section II, blocks A and D of the FAA Form 8710-1 application. Or, if the rating is based on the applicant being a graduate of an approved course and still completes a practical test (i.e., “U.S. TEST PASSED”), this situation requires that the applicant complete section II, blocks A, C, and D, of the FAA Form 8710-1 application. If the applicant is applying for a U.S. pilot certificate and/or rating on the basis of being a rated foreign military pilot and holder of a foreign civil pilot license (as per § 61.73(b)(3)(ii)), the applicant must complete section II, blocks B and D, of the FAA Form 8710-1 application.

5) In section III on FAA Form 8710-1, the applicant must list at least the aeronautical experience required for the airmen certificate and rating sought. Graduates of 14 CFR part 141 pilot schools or part 142 training centers must provide their aeronautical experience in section III even though the graduation certificate is evidence of having completed the course of training. If aeronautical experience has no bearing on the airmen certification action being sought, it is not necessary for an applicant to complete section III on the FAA Form 8710-1 application. Flight instructor renewal applications, flight instructor reinstatement applications, ground instructor qualification applications, and pilot type rating applications would be examples with which aeronautical experience would not have a bearing on the airmen...
certification action and thus the applicant would not be required to complete section III. However, all applicants are encouraged to complete section III because the FAA Form 8710-1 application remains on file with the FAA and can be used to substantiate past aeronautical experience if a person were to ever lose his/her logbook.

6) Ensure that sections IV and V have been completed. Ensure that the month is spelled out in the date block in section V (i.e., month, day, and year).

7) Have the applicant make corrections if any of the above items are not accurate or complete, and submit all supporting documentation (i.e., copies of foreign pilot license and medical license).

D. Verify the Applicant Has the Following Documents with the Completed FAA Form 8710-1.

1) The applicant’s foreign pilot license. A legible English transcription of a foreign pilot license not in English is acceptable.

2) Permanent home of record of the person. (Refer to section 1, paragraph 3V.)

3) Superseded U.S. pilot certificate, if applicable.

4) Foreign medical endorsement/foreign medical license, as appropriate, or a part 67 medical certificate.

5) Knowledge test results, if applicable.

6) Verifiable and positive identification of the person, (e.g., driver’s license, passport, or other acceptable means of identification with a photograph and physical description).

7) A copy of the Verification of Authenticity letter issued by AFS-760 and all supporting documentation (i.e., copies of foreign pilot license and medical license).

E. Determine ICAO Member State Status.

1) Note the country in section II, block D1, of the FAA Form 8710-1 application.

2) If in doubt about whether a country is an ICAO member state, check the listing of current ICAO member states on the ICAO Web site at: http://www.icao.int/icao/en/m_about.html or at: http://www.icao.int/cgi/goto_m.pl/?/cgi/statesDB4.pl?en.

   a) If the country is not an ICAO member state, inform the applicant that the U.S. pilot certificate cannot be issued and return all submitted documents to the applicant. Close out PTRS.

   b) If the country is an ICAO member state, verify the applicant’s identity.
F. Verify the Applicant’s Identity.

1) Establish the person’s identity with some form of government-issued photo identification (driver’s license, passport, etc.).

2) Compare the identification with the information provided on FAA Form 8710-1.
   a) If the person’s identity cannot be verified because of lack of documentation or inadequate documentation, request that the person return with the appropriate identification.
   b) If the person’s identity appears to be falsified, do not proceed.

3) Review the Verification of Authenticity letter sent to the applicant by AFS-760 and compare it to the information provided by the applicant on FAA Form 8710-1. Although the instructions state the applicant must furnish the original Verification of Authenticity letter when making application for a U.S. pilot certificate/rating(s), a facsimile of the Verification of Authenticity letter from an FAA FSDO or from AFS-760 is considered an original Verification of Authenticity letter.

G. Establish the Applicant’s Eligibility.

1) Review the applicant’s foreign pilot license for the following:
   a) Ensure the information on the foreign pilot license is the same as the information provided in the person’s identification and on the FAA Form 8710-1, section II, block D.
   b) Ensure the applicant holds the ratings that he/she is applying for by comparing it to the ratings held on the foreign pilot license.
   c) If the person is requesting an instrument rating on the basis of holding an instrument rating on their foreign pilot license, ensure that the applicant’s foreign pilot license authorizes instrument privileges for the same category and class of aircraft that the person is making application for the § 61.75 U.S. pilot certificate. If the person is applying for the instrument rating, the person must have passed the IFP knowledge test. The IFP knowledge test can be taken at a computer-testing center. You should explain that they can only apply for the instrument rating once the IFP knowledge test has been passed.
   d) Verify that the applicant has passed the IFP knowledge test.
   e) Review the person’s medical endorsement/certificate to determine if it is valid.

2) If an applicant is not eligible for the U.S. pilot certificate and/or rating sought, or if a discrepancy exists in any of the items indicated above, return FAA Form 8710-1 and any submitted documents to the person. Inform the person why he or she is not eligible and explain how to obtain the certificate and/or ratings sought. Close out PTRS.
3) If a person is found ineligible for the U.S. pilot certificate because the person is unable to read, speak, write, or understand English, issue FAA Form 8060-5.

NOTE: FAA Form 8060-5 needs to be issued so the failure is recorded and on file with AFS-760 in case the person reapplies for the U.S. pilot certificate at another FAA FSDO or with FAA representatives in a U.S. Embassy overseas.

4) If the applicant is eligible for the U.S. pilot certificate, issue the pilot certificate.

H. Issue a § 61.75 U.S. Pilot Certificate.

NOTE: Section 61.75 limits the issuance of the aircraft rating on the U.S. pilot certificate to the private pilot certification level. However, if an applicant holds a § 61.75 commercial pilot certificate that was originally issued before August 4, 1997, that person may retain that pilot certificate; however, all ratings issued on or since August 4, 1997 are issued at the private pilot certification level.

1) Prepare FAA Form 8060-4 in duplicate, indicating the grade of pilot certificate in block IX.

2) Enter the equivalent of the foreign pilot license category, class, and type ratings (if applicable) in block XII (see § 61.5).

3) If the person is eligible for instrument privileges, enter the appropriate instrument rating:

   a) Instrument—Airplane.
   b) Instrument—Helicopter.
   c) Instrument—Powered-lift.

4) Place the following limitation on the person’s § 61.75 U.S. pilot certificate: “ISSUED ON THE BASIS OF AND VALID ONLY WHEN ACCOMPANIED BY [NAME OF COUNTRY] PILOT LICENSE NO. [NUMBER FROM FOREIGN PILOT LICENSE]. ALL LIMITATIONS AND RESTRICTIONS ON THE [NAME OF COUNTRY] PILOT LICENSE APPLY” under the ratings in block XII. If the pilot certificate is not being issued under the provisions of § 61.75, this limitation would not be necessary.

5) Enter the following operational limitations (when and if appropriate) in block XIII:

   a) “NOT AUTHORIZED TO ACT AS A PILOT-IN-COMMAND” if the person does not read, speak, write, and understand English because of medical reasons, as permitted under § 61.75(b)(5).
b) For a § 61.75 U.S. commercial pilot certificate (except for the glider or lighter-than-air ratings) that was issued before August 4, 1997, continue to enter “NOT VALID FOR THE CARRIAGE OF PERSONS OR PROPERTY FOR COMPENSATION OR HIRE OR FOR AGRICULTURAL AIRCRAFT OPERATIONS.”

c) Enter the limitation “VFR ONLY” following any type rating if the person has not passed either the IFP knowledge test or the Standard Instrument Rating knowledge test and the Standard Instrument Rating practical test (see § 61.65).

6) Sign, and have the applicant sign, the original and duplicate copy of FAA Form 8060-4 in ink.

7) Issue the duplicate copy to the applicant.

8) Inform the applicant that a permanent certificate will be sent to the permanent address. If the applicant wants the certificate to be mailed to a different mailing address, have the applicant complete a written request containing the mailing address. Attach the request to FAA Form 8710-1.

9) Return any submitted documents not needed for the certification package.

I. Discuss Relevant Regulations with the Applicant. Advise the applicant about the rules and requirements contained in part 61 and in part 91 (flight review requirements, recency of experience requirements, required logbook entries, etc.). As a point of emphasis, make clear to the applicant that a flight review (see § 61.56) must be administered by the holder of an FAA flight instructor certificate with the appropriate ratings before he/she may exercise the privileges of his/her U.S. pilot certificate. The proficiency checks administered by a foreign flight instructor do not count as meeting the flight review requirements of § 61.56.

J. Complete the Certification File.

1) Complete the Aviation Safety Inspector or Technician Report section on the reverse side of FAA Form 8710-1.

2) Check the following boxes, as applicable:

   a) Approved or Disapproved.

   b) Certificate or Rating Based on, and Foreign License.

3) Date and sign the FAA Form 8710-1 application, enter the ASI’s pilot certificate number or show AST after the AST’s signature, and enter the FAA FSDO identifier. The date signed by the ASI/AST must be the same date as the date of issuance on the temporary airman certificate.

4) Check the applicable boxes in the Attachments section.
5) Complete the Airman’s Identification area of FAA Form 8710-1. If a driver’s license is furnished as the form of identification, ensure that the state or country is provided, as well as the number and expiration date. If the two-page application (FAA Form 8710-1) is printed out as two separate pages, ensure that the applicant has completed the ID section (name, date of birth, certificate number, and e-mail address, if applicable, on the reverse side of the application form).

6) Attach the appropriate documents to FAA Form 8710-1, including the Verification of Authenticity letter.

7) Forward the completed pilot certification file to AFS-760 along with all supporting documentation (e.g., copies of the foreign pilot license and medical license).

K. Reconstruct Lost Certification Files, If Necessary. Procedures for the FSDO to reconstruct lost certification files are as follows:

1) Submit a copy of the original FAA Form 8710-1 and FAA Form 8060-4 with all required information and signatures. If no copy exists of the original application file, the FSDO must work with AFS-760 to provide the information that appeared on the original application on a new FAA Form 8710-1 and FAA Form 8060-4, complete with new signatures but with the original dates of certification (applicant, certificated flight instructor, designated pilot examiner, if applicable, and/or inspector).

2) AFS-760 will furnish the duplicate knowledge test report, if applicable; please provide AFS-760 with the approximate date(s) of the computer knowledge test(s).

3) In the upper right-hand block of the FAA Form 8710-1, write the words “Reconstructed File” in red ink.

4) The FSDO or International Field Office (IFO) should forward all information regarding the certification file to FAA, ATTN: Airmen Certification Branch (AFS-760), P.O. Box 25082, Oklahoma City, OK 73125.

NOTE: An emergency field issue temporary certificate does not need to be mailed with the reconstructed file package. This can be maintained at the FSDO/IFO.

L. Close PTRS.

5-604 TASK OUTCOMES. Completion of this task could result in the issuance of:

- Temporary U.S. Pilot Certificate.
- Notice of Disapproval of Application.

5-605 FUTURE ACTIVITIES.

A. Issue. Issue the applicant another grade of certificate or additional category, class, or type ratings.
B. **Process.** Process an enforcement investigation if the application was falsified.

5-606 CONVERSION PROCEDURES AND PROCESSES FOR CONVERTING FAA PILOT CERTIFICATES AND TCCA PILOT LICENSES.

NOTE: On August 31, 2006, the FAA signed an agreement with TCCA that established a pilot licensing/certification conversion procedure for Canadian pilot license holders and U.S. pilot certificate holders.

A. **Applicability.** These procedures are available to holders of FAA pilot certificates and TCCA pilot licenses in the airplane category of aircraft at the private, commercial, and ATP levels of licenses or certificates and including the following ratings or qualification: instrument rating, class ratings of ASEL and AMEL, type ratings, and night qualification addressed under 14 CFR part 61 and CAR Part IV. Pilot licenses/certificates and ratings issued on the basis of a foreign pilot license are not eligible for conversion under these new pilot licensing/certification conversion procedures.

B. **Conditions.**

1) Under this conversion procedure, an FAA-certificated pilot choosing to convert his/her FAA pilot certificate to a TCCA pilot license is not required to surrender the FAA pilot certificate and vice versa. A pilot who simultaneously holds an FAA pilot certificate and a TCCA pilot license needs to meet the FAA recency and operational requirements to exercise his/her U.S. pilot certificate and the TCCA recency and operational requirements to exercise his/her Canadian pilot certificate.

2) Before exercising the privileges of the converted pilot license or certificate under the FAA/TCCA IPL agreement, the pilot must meet the appropriate recency and operational requirements of the converted license or certificate.

C. **Acronyms.** For the purpose of the pilot licensing/certification conversion procedures, the following acronyms apply:

1) 14 CFR. The Federal aviation regulations, contained in Title 14 of the Code of Federal Regulations.

2) CAR. Canadian Aviation Regulations.

D. **Definitions.** For the purpose of the pilot licensing/certification conversion procedures, the following definitions apply:

1) Pilot Certificate and License Conversion. The issuance of a TCCA pilot’s license on the basis of a pilot’s certificate issued by the FAA or the issuance of an FAA pilot’s certificate on the basis of a TCCA pilot’s license.

2) Special Conditions. Those additional requirements that are not prescribed in both sets of the FAA and TCCA standards. Special conditions are set forth in Chapter III of the IPL.
3) Valid Pilot License or Pilot Certificate. A license or certificate that is not under an order of revocation, cancellation, or suspension and, in the case of a TCCA pilot license, has not expired.

4) Current Airman Certificate, Rating, or Authorization. The pilot met the appropriate recency of experience requirements of part 61 (part 61 for FAA pilot certification) or CAR Part IV (CAR Part IV for TCCA pilot licensing), as appropriate, for the flight operation being conducted, and the pilot’s medical certificate, if required, has not expired.

E. Background. On June 12, 2000, the United States and Canada signed an international agreement known as a Bilateral Aviation Safety Agreement (BASA) to facilitate acceptance of various aspects of each other’s aviation safety oversight systems to benefit the users of those systems, including pilots, and to promote the efficiency of the aviation authorities of the respective countries through cooperative agreements. The BASA contains an IPL annex that permits pilots holding certain licenses or certificates from either country to obtain a license or certificate from the other country if certain requirements are met. The IPL was signed by FAA and TCCA on August 31, 2006. The IPL currently is limited to the airplane category of aircraft at the private pilot, commercial pilot, and ATP levels of licenses or certificates, and includes the following ratings or qualifications: instrument rating, class ratings of ASEL and AMEL, type ratings, and night qualification addressed under part 61 and CAR Part IV. The FAA and TCCA may amend the IPL to allow conversion of other licenses or certificates.

F. FAA Offices Responsible for Administering the Pilot Certification Conversion Process.

1) Address questions on converting TCCA pilot licenses to FAA pilot certificates to:

   FAA Certification and General Aviation Operations Branch, AFS-810
   800 Independence Avenue, SW.
   Washington, DC 20591
   Telephone: 1–202–267–8212
   Fax: 1–202–267–5094

   or

   FAA Airman Certification Branch, AFS-760
   P.O. Box 25082
   Oklahoma City, OK 73125
   Telephone: 1–405–954–3822 or 1–405–954–3261
   Fax: 1–405–954–4105

2) Address questions about airman testing to:

   FAA Airman Testing Standards Branch, AFS-630
   P.O. Box 25082
   Oklahoma City, OK 73125
   Phone: 1–405–954–4151
   Fax: 1–405–954–4748
3) Address questions pertaining to FAA medical certification issues to:

FAA Office of Aerospace Aviation Medicine
Aerospace Medical Certification Division, AAM-300
P.O. Box 25082
Oklahoma City, OK 73125
Telephone: 1–405–954–4821, Option 1
Fax: 1–405–954–4300

G. TCCA Offices Responsible for Administering the Pilot Licensing Conversion Process.

1) Address questions about converting FAA pilot certificates to Canadian pilot licenses to:

Personnel Licensing (AARRB)
Place de Ville, Tower C, 6th floor, Area D
330 Sparks St.
Ottawa, Ontario, K1A 0N8
Canada
Telephone: 1–613–990–1056
Fax: 1–613–990–6215

2) Address questions pertaining to Canadian medical certification issues to:

Civil Aviation Medicine (AARG)
Place de Ville, Tower C, 6th floor, Area B
330 Sparks St.
Ottawa, Ontario, K1A 0N8
Canada
Telephone: 1–613–990–1311
Fax: 1–613–990–6623

H. Relevant Web Sites.


2) FAA Airman Certification Branch’s Web site for initiating verification of authenticity for converting Canadian pilot licenses to FAA pilot certificates at: http://www.faa.gov/licenses_certificates/airmen_certification/foreign_license_verification.


6) FAA information on obtaining an FAA medical certificate and locating an FAA designated medical examiner at: http://www.faa.gov/licenses_certificates/medical_certification/.

7) FAA FSDO locations at: http://www.faa.gov/about/office%5Forge/field%5Forces/fsdo/.


I. Related Reading Material (current editions).

1) FAA Related Reading Material:
   - FAA AC 60-28, English Language Skill Standards Required by 14 CFR Parts 61, 63, and 65.
   - AC 61-98, Currency and Additional Qualification Requirements for Certificated Pilots.
   - FAA Order 8080.6, Conduct of Airman Knowledge Tests.

2) Study and Reference Guides:
   - Student Pilot Permit or Private Pilot Licence for Foreign and Military Applicants, Aviation Regulations (TP 11919).
   - Private Pilot Licence, including Helicopter to Aeroplane Pilot Licence—Aeroplane (TP 12880).
   - Commercial Pilot Licence, including Helicopter to Aeroplane Pilot Licence—Aeroplane (TP 12881).
   - Airline Transport Pilot Licence—Aeroplane (TP 690).
   - Instrument Rating—Aeroplane and Helicopter (TP 691).
   - Type Rating—Aeroplane (TP 13524).
• Sample Examination—Recreational Pilot Permit and Private Pilot Licence—Aeroplane (TP 13014).
• Aeronautical Information Manual (TP 14371).

5-607 INITIAL STEPS FOR A TCCA PILOT TO APPLY FOR CONVERTING HIS/HER TCCA PILOT LICENSE FOR AN FAA PILOT CERTIFICATE.

A. Initial Conversion Process Step. The initial step in the conversion process is for the applicant to submit a Verification of Authenticity of Foreign License, Rating, and Medical Certification request form to AFS-760, requesting TCCA to verify the validity of the applicant’s Canadian pilot license, ratings, and medical certificate.

B. Information Required on the Form.

1) Name of applicant and date of birth.

2) Address where the applicant wants the verification of authenticity mailed.

3) Certificate number and ratings on the TCCA pilot license.

4) Location of the FAA FSDO where the pilot intends to apply for his/her FAA pilot certificate.

5) Statement that the pilot’s TCCA pilot license and medical certificate are not under an order of suspension or revocation.

6) Additionally, a copy of the foreign license and medical certificate must be attached to the form.

C. Download the Form. A Verification of Authenticity of Foreign License, Rating, and Medical Certification form may be downloaded from the AFS-760 Web site at: http://www.faa.gov/licenses_certificates/airmen_certification/foreign_license_verification.

D. Submission by Mail or Fax. An applicant may submit the Verification of Authenticity of Foreign License, Rating, and Medical Certification application form and the required documents to AFS-760 either by mail or by fax at:

Federal Aviation Administration
Airmen Certification Branch, AFS-760
P.O. Box 25082
Oklahoma City, OK 73125-0082
Fax: (405) 954–9922, Attn: AFS-760

E. Submit Form at Least 90 Days Prior. The applicant must submit the Verification of Authenticity of Foreign License, Rating, and Medical Certification form to AFS-760 at least 90 days before arriving at the designated FAA FSDO where the applicant intends to apply for the FAA pilot certificate once the applicant has met all the requirements for license conversion.
F. **Information Verification.** The FAA will forward the request to TCCA for verification of the information submitted by the applicant. When the FAA receives the verification of information from TCCA, AFS-760 will send the applicant written notification acknowledging receipt of the information. If the information is successfully verified, AFS-760 will forward the form to the FSDO that the applicant designated in the verification form. The verification of authenticity is valid for 6 calendar-months and the expiration date will appear on the form that AFS-760 returns to the applicant and forwards to the FSDO. The applicant may apply for an FAA pilot certificate at the designated FSDO during that time period. The FAA certificate cannot be issued if the Canadian license is under an order of suspension or revocation. An expired rating on the Canadian license is acceptable for conversion.

G. **FAA Third-Class Medical Certificate.** The applicant must hold at least an FAA third-class medical certificate. An applicant for conversion of an ATP license or CPL seeking to exercise the privileges of those licenses must hold an FAA first-class or second-class medical certificate, respectively.

H. **Pass FAA Knowledge Test.** The applicant must successfully pass an FAA knowledge test, appropriate to the FAA pilot certificate or rating sought, on the areas of air law and communications. An acceptable passing score is answering 70 percent of all questions correctly.

NOTE: If an applicant completes the appropriate standard FAA Aeronautical knowledge test for a pilot certificate or rating, that test may be substituted for the FAA/TCCA conversion aeronautical knowledge test. The standard FAA Aeronautical knowledge test must be applicable to the pilot certificate level and rating sought. For example, persons applying for a U.S. ATP pilot certificate on the basis of their TCCA ATP license must have completed the Airline Transport Pilot Conversion Procedure (ACP) knowledge test, or completed the FAA ATP—Airplane Aeronautical knowledge test within the preceding 24 calendar-months.

I. **Recency of Experience Requirements.** Once the FAA pilot certificate and rating(s) have been received, the pilot must meet the FAA recency of experience requirements for the particular pilot certificate and rating before exercising the privileges of the pilot certificate and rating.

J. **TCCA Notification.** AFS-760 will notify TCCA of any suspension, revocation, or removal of any suspension or revocation of any FAA certificate issued under the terms of the IPL.

K. **TCCA PPL.** Eligibility Requirements for a TCCA PPL holder to convert to an FAA private pilot certificate and ratings (i.e., ASEL or AMEL).

1) Eligibility Requirements. The applicant must meet the following eligibility requirements:
a) Be at least 17 years of age to be eligible to apply for an FAA private pilot certificate.

b) Hold at least an FAA third-class medical certificate.

c) Hold a TCCA PPL—ASEL or AMEL, as appropriate for the rating sought and not endorsed “issued on the basis of another foreign license.”

d) Pass the FAA Private Pilot Conversion Procedure Aeronautical knowledge test on air laws and communications.

NOTE: Completion of the FAA Private Pilot—Airplane Aeronautical knowledge test” within the preceding 24 calendar-months is also acceptable.

NOTE: No additional practical test is required.

e) Be able to read, write, speak, and understand the English language.

2) Recency of Experience Requirements. Before exercising the privileges of a converted FAA private pilot certificate under the FAA/TCCA IPL agreement, the pilot must meet the following recency of experience requirements of part 61:

a) Section 61.56, Flight Review. For the purposes of this IPL, the pilots may also meet the requirements of § 61.56 if they passed a TCCA pilot license or rating skill test within the previous 24 calendar-months of exercising the privileges of the FAA pilot certificate.

b) Takeoff and Landing Current.

• Section 61.57(a), takeoff and landing current within the preceding 90 days for operating with passengers.

• Section 61.57(b), takeoff and landing current at night within the preceding 90 days for operating at night with passengers.

L. TCCA CPL. Eligibility requirements for a TCCA CPL holder to convert to an FAA commercial pilot certificate and ratings (i.e., ASEL or AMEL).

1) Eligibility Requirements. The applicant must meet the following eligibility requirements:

a) Be at least 18 years of age.

b) Hold at least an FAA third-class medical certificate (see § 61.23(a)(3)(v)). Must hold a second-class medical certificate to exercise the privileges of an FAA commercial pilot certificate in flight operations that require the pilot to hold an FAA commercial certificate (see § 61.23(a)(2)).
c) Hold a TCCA CPL—ASEL or AMEL, as appropriate for the rating sought, and have logged a minimum of 250 hours flight time as a pilot.

d) Pass the FAA Commercial Pilot Conversion Procedure Aeronautical knowledge test on air laws and communications.

NOTE: **Completion of the FAA Commercial Pilot—Airplane Aeronautical knowledge test within the preceding 24 calendar-months is also acceptable.**

NOTE: **No additional practical test is required.**

e) Be able to read, write, speak, and understand the English language.

2) Recency of Experience Requirements. Before exercising the privileges of a converted FAA commercial pilot certificate under the FAA/TCCA IPL agreement, the pilot must meet the following recency of experience requirements of part 61:

   a) Section 61.56(c), Flight Review. Flight review in an airplane administered by an FAA certificated flight instructor.

   b) Takeoff and Landing Current.

      • Section 61.57(a), takeoff and landing current within the preceding 90 days for operating with passengers.

      • Section 61.57(b), takeoff and landing current at night within the preceding 90 days for operating at night with passengers.

3) Limitation. The holder of a Canadian CPL without an instrument rating must have the following limitation placed on their FAA Commercial Pilot Certificate: “THE CARRIAGE OF PASSENGERS FOR HIRE IN AIRPLANES ON CROSS-COUNTRY FLIGHTS IN EXCESS OF 50 NAUTICAL MILES OR AT NIGHT IS PROHIBITED.”

**M. TCCA ATP.** Eligibility requirements for a TCCA ATP license holder to convert to an FAA ATP certificate and ratings.

1) Conversion to an FAA ATP Certificate. The applicant must meet the following eligibility requirements:

   a) Be at least 23 years of age.

   b) Hold at least an FAA third-class medical certificate (see § 61.23(a)(3)(v)). Must hold a first-class medical certificate to exercise the privileges of an FAA ATP certificate in flight operations that require the pilot to hold an FAA ATP certificate (see § 61.23(a)(1)).

   c) Hold a TCCA ATP License—AMEL.
NOTE: TCCA does not issue the ASEL rating on its ATP license. If the applicant holds a single engine rating, they must show at what pilot licensing level the ASEL rating was achieved.

d) Pass the FAA ATP Conversion Procedure aeronautical knowledge test on air laws and communications.

NOTE: Completion of the FAA ATP—Airplane Aeronautical knowledge test within the preceding 24 calendar-months is also acceptable.

NOTE: No additional practical test is required.

e) Be able to read, write, speak, and understand the English language.

2) Recency of Experience Requirements. Before exercising the privileges of a converted FAA ATP certificate under the FAA/TCCA IPL agreement, the TCCA ATP pilot must meet the following recency of experience requirements of part 61:

a) Flight Review. Section 61.56(c), flight review in an airplane administered by an FAA certificated flight instructor.

b) Takeoff and Landing Current.

- Section 61.57(a), takeoff and landing current within the preceding 90 days for operating with passengers.

- Section 61.57(b), takeoff and landing current at night within the preceding 90 days for operating at night with passengers.

c) Instrument Proficiency Current.

- Section 61.57(c), instrument recency experience current for operating under IFR or in IMC.

- Section 61.57(d), if not instrument recency current, then the pilot must have accomplished an instrument proficiency check within the preceding 12 calendar-months either by the holder of an FAA Flight Instructor Certificate—Instrument—Airplane that is appropriate to that Instrument—Airplane rating, or by a holder of a TCCA Flight Instructor Certificate—Instrument—Airplane that is appropriate to that Instrument—Airplane rating.

NOTE: For the purposes of the IPL, pilots holding an FAA pilot certificate with an instrument rating converted from a TCCA pilot license with an instrument rating may also meet the requirements of § 61.57(c) and (d) if they passed a TCCA Instrument Rating skill test within the preceding 12 calendar-months of exercising privileges of the FAA instrument rating.
N. Eligibility Requirements for a TCCA Instrument—Airplane Rating Holder to Convert to an FAA Instrument—Airplane Rating.

1) Convert to an FAA Instrument-Airplane Rating. The applicant must meet the following eligibility requirements:

   a) Be at least 17 years of age and hold at least an FAA private pilot certificate.

   b) Hold at least an FAA third-class medical certificate.

   c) Hold a TCCA Instrument—Airplane rating that is appropriate to the FAA Instrument—Airplane rating sought.

   d) Pass the FAA Instrument Rating Conversion Procedure Aeronautical knowledge test on air laws and communications.

   NOTE: Completion of the FAA Instrument—Airplane Rating Aeronautical knowledge test within the preceding 24 calendar-months is also acceptable. The IFP knowledge test is not acceptable.

   NOTE: No additional practical test is required.

   e) Be able to read, write, speak, and understand the English language.

2) Recency of Experience Requirements. Before exercising the privileges of a converted FAA Instrument—Airplane rating under the FAA/TCCA IPL agreement, the pilot must meet the following recency of experience requirements of part 61:

   a) Flight Review. Section 61.56(c), flight review in an airplane administered by an FAA-certificated flight instructor.

   b) Takeoff and Landing Current:

   - Section 61.57(a), takeoff and landing current within the preceding 90 days for operating with passengers.

   - Section 61.57(b), takeoff and landing current at night within the preceding 90 days for operating at night with passengers.

   c) Instrument Proficiency Current:

   - Section 61.57(c), instrument recency experience for operating under IFR or in IMC.
• Section 61.57(d), if not instrument recency current, then the pilot must have accomplished an instrument proficiency check within the preceding 12 calendar-months either by the holder of an FAA Flight Instructor Certificate—Instrument—Airplane that is appropriate to that Instrument—Airplane rating, or by a holder of a TCCA Flight Instructor Certificate—Instrument—Airplane that is appropriate to that Instrument—Airplane rating.

NOTE: For the purposes of the IPL, pilots holding an FAA pilot certificate with an instrument rating converted from a TCCA pilot license with an instrument rating may also meet the requirements of § 61.57(c) and (d) if they passed a TCCA Instrument Rating skill test within the preceding 12 calendar-months of exercising privileges of the FAA instrument rating.

O. Eligibility Requirements for a TCCA Airplane Type Rating Holder to Convert to an FAA Airplane Type Rating. For a TCCA airplane type rating holder to be able to convert to an FAA airplane type rating, the applicant must meet the following eligibility requirements:

1) Age. Meet the minimum age requirement of the FAA pilot certificate to be issued.

2) Airplane Type Rating. Must hold a TCCA airplane type rating that is appropriate to the FAA airplane type rating sought.

NOTE: No additional practical test is required.

NOTE: Experimental aircraft type ratings are not eligible for conversion under the FAA/Transport Canada IPL agreement.

3) English Language. Must be able to read, write, speak, and understand the English language.

5-608 INITIAL STEPS FOR AN FAA PILOT TO APPLY FOR CONVERTING HIS/HER FAA PILOT CERTIFICATE FOR A TCCA PILOT LICENSE.

A. Obtain a Canadian Medical Certificate. The initial step in the conversion process is for the applicant to obtain a Canadian medical certificate, either Category 1 or Category 3, appropriate to the license to be requested. The medical certificate can be requested as follows:

1) The applicant may submit either the original or completed copies of FAA medical examination reports directly to the Civil Aviation Medicine Branch in Ottawa for processing and assessment; or

2) The applicant may complete an aviation medical examination with a delegated Canadian Civil Aviation Medical Examiner: http://www.tc.gc.ca/CivilAviation/Cam/menu.htm.
Table 5-5, Medical Validity Periods

<table>
<thead>
<tr>
<th>License</th>
<th>Under 40</th>
<th>Over 40</th>
</tr>
</thead>
<tbody>
<tr>
<td>PPL</td>
<td>60 calendar-months</td>
<td>24 calendar-months</td>
</tr>
<tr>
<td>CPL</td>
<td>12 calendar-months</td>
<td>6 calendar-months</td>
</tr>
<tr>
<td>ATPL</td>
<td>12 calendar-months</td>
<td>6 calendar-months</td>
</tr>
</tbody>
</table>

NOTE: The medical validity periods for airline transport, commercial, and PPLs are not the same as the FAA certificate validity periods.

NOTE: PPL privileges are not valid outside of Canada beyond 24 calendar-months without the permission of the State being entered.

B. Submit an Application. After receiving a Canadian medical certificate, the applicant must submit an Application for Verification and Conversion of an FAA Pilot Certificate request form to a Transport Canada Centre (TCC) for the verification of authenticity of the FAA pilot certificate. TCCA will forward the completed verification request to the FAA (AFS-760) for processing. The FAA will verify the validity of the applicant’s FAA pilot certificate, including any endorsements and medical by giving this information to the appropriate TCC. After receiving the verification of authenticity, the applicant may apply for the issuance of a Canadian license from any TCC. Information required on the verification request includes the following:

1) Applicant name, date of birth, and citizenship.

2) Canadian medical certificate number.

3) Certificate number and ratings endorsed on the FAA certificate.

4) Applicant’s statement of license validity, signature, and the date of application.

5) Completion of release of personal information clause for verification purposes.
   a) Verification request forms may be downloaded from the TCCA Web site from: http://www.tc.gc.ca/CivilAviation/general/personnel/apps.htm.
   b) Applicants may submit verification request forms and completed medical examination reports by mail to any TCC at: http://www.tc.gc.ca/air/offices.htm.
   c) Applicants must submit verification requests at least 90 days before arriving at a TCC to obtain their Canadian pilot license. Applicants should confirm with the TCC by e-mail or phone that their verification process has been completed before arriving at the TCC for license issue.
   d) The verification of authenticity is valid for 6 calendar-months only from the date received from TCCA.
e) TCCA will notify FAA (AFS-760) of any suspension, revocation, or removal of any suspension or revocation of any TCCA pilot license issued under the terms of the IPL with the FAA.

C. Eligibility Requirements for an FAA Private Pilot Certificate Holder to Convert to a TCCA PPL and Ratings (i.e., ASEL or AMEL).

1) Eligibility Requirements. The applicant must meet the following eligibility requirements:

a) Be at least 17 years of age to be eligible to apply for a TCCA PPL.

b) Have either a Category 1 or Category 3 TCCA medical certificate (see CAR Part IV, § 421.26(2)).

c) Hold an FAA Private Pilot Certificate—ASEL or AMEL, as appropriate for the rating sought and not endorsed “issued on the basis of another foreign license.”

d) Provide proof of a minimum of 45 hours experience in airplanes.

e) Pass the written examination on air laws and communications. Study and reference guides may be found at: http://www.tc.gc.ca/CivilAviation/general/Exams/guides/menu.htm.

NOTE: Completion of the TCCA’s PPL Aeroplane written exam is also acceptable.

NOTE: No additional practical test is required.

f) Must be able to communicate in English or French.

2) Night Rating. A night rating will be issued on the Canadian PPL at the time of application if the applicant can provide proof of 10 hours of night experience (dual, solo, or PIC) and 10 hours of instrument flight time (dual or PIC). A maximum of 5 hours instrument time may be credited from an approved simulator or flight training device (FTD).

3) Recency Requirements. Before exercising the privileges of a converted TCCA PPL under the FAA/TCCA IPL agreement, the pilot must meet the recency requirements of CAR Part IV, §§ 401.05 and 421.05.

D. Eligibility Requirements for an FAA Commercial Pilot Certificate Holder to Convert to a TCCA CPL and Ratings (i.e., ASEL or AMEL).

1) Eligibility Requirements. The applicant must meet the following eligibility requirements:

a) Be at least 18 years of age to be eligible to apply for a TCCA CPL.

b) Hold a TCCA Category 1 medical certificate (see CAR Part IV, § 421.30(2)).
c) Hold an FAA Commercial Pilot or ATP Certificate—ASEL or AMEL, as appropriate for the rating sought and not endorsed “ISSUED ON THE BASIS OF ANOTHER FOREIGN LICENSE.”

d) Provide proof of a minimum of 200 hours experience in airplanes.

e) Pass the written examination on air laws and communications. Study and reference guides may be found at: http://www.tc.gc.ca/CivilAviation/general/Exams.guides/menu.htm.

NOTE: Completion of the TCCA’s CPL Aeroplane written exam is also acceptable.

NOTE: No additional practical test is required.

f) Must be able to communicate in English or French.

2) Recency Requirements. Before exercising the privileges of a converted TCCA PPL under the FAA/TCCA IPL agreement, the pilot must meet the recency requirements of CAR Part IV, §§ 401.05 and 421.05.

E. Eligibility Requirements for an FAA ATP Certificate Holder to Convert to a TCCA ATP License and Ratings (i.e., ASEL or AMEL).

1) Convert to a TCCA ATP License. The applicant must meet the following eligibility requirements:

a) Be at least 21 years of age.

b) Hold a TCCA Category 1 medical certificate (see CAR Part IV, § 421.34(2)).

c) Hold an FAA ATP—AMEL.

NOTE: TCCA does not issue the ASEL rating on its ATP license.

d) Have a minimum of 900 hours flight time in airplanes.

NOTE: FE time is not creditable.

e) Pass the written exam on air laws and communications. Study and reference guides may be found at: http://www.tc.gc.ca/CivilAviation/general/Exams.guides/menu.htm.

NOTE: Completion of the TCCA’s ATP License—Aeroplane written exam is also acceptable.

NOTE: No additional practical test is required.

f) Must be able to communicate in English or French.
2) Recency Requirements. Before exercising the privileges of a converted TCCA ATP license under the FAA/TCCA IPL agreement, the pilot must meet the recency requirements of CAR Part IV, §§ 401.05 and 421.05.

F. Eligibility Requirements for an FAA Instrument—Airplane Rating Holder to Convert to a TCCA Instrument—Airplane Rating.

1) Eligibility Requirements. The applicant must meet the following eligibility requirements:

   a) Be at least 17 years of age and hold at least a TCCA PPL.

   b) Hold either a Category 1 or Category 3 TCCA medical certificate, appropriate for the license held.

   c) Hold an FAA Instrument—Airplane rating and must have completed an instrument proficiency check (§ 61.57) in the 24 calendar-months before application for the issue of the Canadian instrument rating.

   NOTE: The Canadian instrument rating is valid for 24 calendar-months only from the date of the instrument proficiency check.

   d) Pass the written exam on air laws and communications. Study and reference guides may be found at: http://www.tc.gc.ca/CivilAviation/general/Exams/guides/menu.htm.

   NOTE: Completion of the TCCA’s Instrument Rating—Aeroplane written exam is also acceptable.

   NOTE: No additional practical test is required.

   e) Must be able to communicate in English or French.

2) VFR Over-the-Top Rating. In cases where the FAA instrument rating holder does not meet the conditions noted above (i.e., the applicant has not completed an instrument proficiency check in the preceding 24 calendar-months), a VFR over-the-top rating may be issued.

G. Eligibility Requirements for an FAA Airplane Type Rating Holder to Convert to a TCCA Airplane Type Rating. The applicant must meet the following eligibility requirements:

1) Age. Meet the minimum age requirement of the TCCA pilot license to be issued.

2) Airplane Type Rating. Hold an FAA airplane type rating that is appropriate to the TCCA airplane type rating sought.

3) Hours. Have logged at least 250 hours in airplanes.

NOTE: No additional practical test is required.
5-609 TERRITORIES AND DEPENDENCIES.

A. Territories and Dependencies. The currency of the British Territories listing and the British Crown Dependencies may be verified with the U.K. CAA, or by contacting the Foreign and Commonwealth Office. A list may also be found on the Foreign and Commonwealth Office Web site at: http://www.fco.gov.uk/servlet/Front?pageName=OpenMarket/Xcelerate/ShowPage &c=Page&cid=1044360168291.

B. Overseas Territories.

1) Anguilla.

2) Bermuda.

3) British Antarctic Territory.

4) British Indian Ocean Territory.

5) British Virgin Islands.

6) Cayman Islands.

7) Falkland Islands.

8) Gibraltar.

9) Montserrat.

10) Pitcairn, Henderson, Ducie, and Oeno Islands.

11) St. Helena and St. Helena Dependencies (Tristan da Cunha and Ascension Island).

12) South Georgia and the South Sandwich Islands.

13) Sovereign Base Areas of Akrotire and Dhekelia (Cyprus).

14) Turks and Caicos Islands.

C. British Crown Dependencies.

1) Channel Islands: Bailiwick of Jersey and Bailiwick of Guernsey (includes Guernsey and its dependencies).

2) Isle of Man.
5-610 VERIFICATION OF AUTHENTICITY FORM AND INSTRUCTIONS. The Verification of Authenticity of Foreign Pilot License, Rating, and Medical Certification form can be downloaded at the following Web site and instructions for completing the form are on the form: http://www.faa.gov/licenses_certificates/airmen_certification/foreign_license_verification.

NOTE: This form is not displayed in this chapter because this form is subject to revision. The most current version of this form may be downloaded from the above Web site.

Figure 5-62, Original § 61.75 Application, Completed by Applicant

Original 61.75

Section I must be completed.

Any current medical is acceptable, unless it is based on an endorsement country. (Austria, Canada, Cyprus, Germany, Guatemala, Kenya, Singapore, Sri Lanka, & Trinidad & Tobago)

Section IID must be completed in its entirety.

Section IV can be left blank, unless a practical test was completed.

Section V must be signed and dated.
Figure 5-62A, Original § 61.75 Application, Completed by ASI or AST

**61.75**

PROCESSED BY AN INSPECTOR/AST

The date of issue on the temp must match the date the Inspector signed his report.

The approved box and the last line must be completed by an Inspector/AST.
Figure 5-63, Temporary Certificate Issued from Original § 61.75 Application

TEMPORARY CERTIFICATE FOR PILOT
CERTIFICATE BASED ON FOREIGN LICENSE 61.75

I. UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION
II. TEMPORARY AIRMAN CERTIFICATE
III. CERTIFICATE NO.
    Pending

THIS CERTIFIES THAT IV. HENRY SCHMIDT
330 BERLINSCHASSE
BERLIN, GERMANY 2541
V.

DATE OF BIRTH 2/11/58
HEIGHT 72
WEIGHT 156
HAIR BROWN
EYES HAZEL
SEX M
NATIONALITY GERMANY

VI. has been found to be properly qualified and is hereby authorized, in accordance with the conditions of issuance on the

reverse of this certificate, to exercise the privileges of
PRIVATE PILOT - FOREIGN BASED

RATINGS AND LIMITATIONS
XII. AIRPLANE SINGLE AND MULTIENGINE LAND based on the basis of and valid only when
accompanied by GERMANY pilot license number CC-186729669. All limitations and
restrictions on the GERMANY pilot license apply.

XIII. THIS IS AN ORIGINAL ISSUANCE OR A REISSUANCE OF THIS

GRADE OF CERTIFICATE

DATE OF SUPERSEDED AIRMAN CERTIFICATE

BY DIRECTION OF THE ADMINISTRATOR
X. DATE OF ISSUANCE 06-15-2006
X. SIGNATURE OF EXAMINER OR INSPECTOR /s/ WG Fields

EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO. 2343270

DATE DESIGNATION EXPIRES 01.75
Figure 5-64, Section 61.75 Application, U.S. Test Passed

61.75
“US TEST PASSED”

Section IIA (Aircraft used for flight test) must be completed, unless an Air Agency.

Some time must be shown in Block 2A (Total time in aircraft)

Section IID must be completed. The rating being added for US TEST PASSED does not have to be shown on the verification letter.

Section III must meet the pilot time requirements of 61.65, 61.109, or 141, whichever is applicable.

Section IV & V must be completed.

Check with FSIMS to verify current version before using
Figure 5-64A, Section 61.75 Application, U.S. Test Passed, Practical Test by Inspector

PRACTICAL TEST BY INSPECTOR
“US TEST PASSED”

Instructor’s Recommendation is required, unless the airman holds the rating being tested on the foreign license.

Inspector’s Report must be filled out in its entirety.

UNCONTROLLED COPY WHEN DOWNLOADED
Check with FSIMS to verify current version before using
Figure 5-64B, Temporary Certificate Issued from § 61.75 Application, U.S. Test Passed

TEMPORARY CERTIFICATE FOR PILOT CERTIFICATE BASED ON FOREIGN LICENSE 61.75 (US TEST PASSED)

[Image of Temporary Certificate]

Check with FSIMS to verify current version before using.
Figure 5-65, Application Based on FAA/TCCA IPL Agreement

IPL Conversion
(Canadian Commercial to US Commercial)

Section I must be completed.
At least a 3rd class medical must be shown in Section R. (2nd class to exercise privileges.)

Section II D must show:
1) Country
2) Grade of license
3) Foreign license #
4) FAA equivalent ratings (i.e. AMEL INSTA)

Record of Pilot time must show at least 250 Hours flight time as a pilot.

Section IV can be omitted, since no practical test is administered for IPL’s.

Section V must be signed and dated by the applicant.
Figure 5-65A, Application Based on FAA/TCCA IPL Agreement, Inspector’s Report

Inspector’s Report (IPL)

The approved box, Level and Class rating of IPL, and the last line of the Inspector’s report must be completed.

Commercial Pilot AMELINSTA -- IPL

Dec 1, 2006 /s/ Tom D Inspector 223456 SW-15

Canada Driver’s license 456789123

1-31-2010

205524-1234

Need completed for 2-page application form only
Figure 5-66, Temporary Certificate from Application Based on FAA/TCCA IPL Agreement

TEMPORARY CERTIFICATE FOR AN ORIGINAL COMMERCIAL PILOT BASED ON CANADA IPL

Reserved. Paragraphs 5-611 through 5-615.
VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 5 TITLE 14 CFR PART 65—AIRMEN OTHER THAN FLIGHT CREWMEMBERS

Section 9 Certificate Part 65 Parachute Rigger/Added Rating

5-1331 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3502/3508.
B. Avionics: 5508.

5-1332 OBJECTIVE. This section provides guidance for evaluating, testing, and certificating applicants for parachute rigger certificates and ratings.

5-1333 GENERAL.

A. Title 14 of the Code of Federal Regulations (14 CFR) part 65, subpart F provides for the issuance of senior and master parachute rigger certificates to include ratings for seat, back, chest, and lap.

B. Any person who applies in the prescribed manner and meets the regulatory requirements is entitled to be issued a parachute rigger certificate with appropriate rating(s).

5-1334 ELIGIBILITY REQUIREMENTS. Applicants must be at least 18 years of age and be able to read, write, speak, and understand the English language. Citizens of Puerto Rico or persons employed by a U.S. air carrier outside the United States who do not meet the language requirement may be issued a certificate under the provisions of part 65, § 65.113(a)(2).

5-1335 EXPERIENCE, KNOWLEDGE, SKILLS, AND TEST REQUIREMENTS.

A. Senior Parachute Rigger Requirements. The applicant must have packed at least 20 parachutes of each type for which a rating is being sought, in accordance with the manufacturer’s instructions. These parachutes must be packed under the supervision of either a certificated parachute rigger holding an appropriate rating or a person holding an appropriate military rating. The applicant must also successfully complete knowledge and oral/practical tests.

B. Senior Parachute Rigger Requirements, Military Competence. The applicant must have packed, as a military rated parachute rigger, at least 20 parachutes of each type for which a rating is sought. The applicant must successfully complete a knowledge test on the regulations only. No oral/practical test is required, per § 65.117.

C. Master Parachute Rigger Requirements.
1) The applicant must have at least 3 years of experience as a parachute rigger and must have packed at least 100 parachutes of each of 2 types in common use, in accordance with the manufacturer’s instructions.

2) The applicant must have met these requirements under one or more of the following conditions:
   • While a senior parachute rigger.
   • While under the supervision of a certificated and appropriately rated parachute rigger.
   • While under the supervision of a person holding appropriate military ratings.

3) An applicant for a master certificate who does not hold a senior certificate must successfully complete knowledge and oral/practical tests. An applicant holding a senior parachute rigger certificate is not required to take a knowledge test.

D. Experience Substantiation. In order to substantiate experience, the applicant must submit documentation, such as logbooks, satisfactory to the Administrator.

5-1336 PARACHUTE RIGGER PRIVILEGES.

A. At the time of original certification, each parachute rigger will be assigned an identification seal symbol and issued a Temporary Airman Certificate.

B. A certificated senior parachute rigger may pack and maintain or supervise the packing of the types of parachute for which the rigger is rated.

C. A certificated master parachute rigger may pack, maintain, or alter the type(s) of parachute for which the rigger is rated. The master parachute rigger may also supervise other persons in packing, maintaining, or altering any type of parachute for which a rating is held.

D. A certificated parachute rigger, without respect to ratings, may pack, maintain, or alter the main parachute of a dual parachute pack to be used for intentional jumping.

5-1337 RECORDKEEPING REQUIREMENTS.

A. A certificated parachute rigger must keep records of the packing, maintenance, and alteration of parachutes, as performed or supervised. The record entries must include the following information for each parachute:
   • Type and make,
   • Serial number,
   • Name and address of owner,
   • Kind and extent of worked performed,
   • Date when and place where the work was performed, and
   • Results of drop tests.
B. Each record of the packing, maintenance, and alteration of parachutes must be kept for at least 2 years after the date it is made.

C. The record may be kept as consecutive entries in a form that contains the required information and is retained for the required period, in accordance with § 65.131(c).

5-1338 FACILITIES AND EQUIPMENT.

A. Facilities and equipment must be available to the parachute rigger during the exercise of certificate privileges but are not required to be certificated or approved in advance by the Federal Aviation Administration (FAA).

B. No certificated parachute rigger may exercise the privileges of the certificate unless the following are available:

- A smooth top packing table or area as outlined by the parachute manufacturer,
- Suitable housing that is adequately heated, lighted, and ventilated for drying and airing parachutes,
- Sufficient tools and equipment to pack and maintain the types of parachutes serviced, and
- Adequate housing facilities to perform duties and to protect tools and equipment.

5-1339 COORDINATION REQUIREMENTS. None.

5-1340 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Advisory Circular (AC) 65-5, Parachute Rigger Senior/Master Certification Guide,
- FAA Order 8080.6, Conduct of Airman Knowledge Tests, and

B. Forms:

- FAA Form 8060-4, Temporary Airman Certificate,
- FAA Form 8060-5, Notice of Disapproval of Application, and
- FAA Form 8610-2, Airman Certificate and/or Rating Application-Privacy Act.

C. Job Aids. None.

5-1341 PROCEDURES.

A. Review the Application.

1) Ensure that the applicant provides photo identification. When satisfactory identification has been presented, indicate the type of identification in the “Remarks” section on the reverse side of FAA Form 8610-2. Acceptable identification may include the following:
• Valid driver’s license,
• Passport, and
• Military ID (Department of Defense (DOD) DD Form 2 or 2A).

2) If the applicant has previously held or currently holds an airman’s certificate, check the Enforcement Information System (EIS) file.

   a) Obtain a copy of any suspension/revocation order for review, if applicable.

   b) If the applicant is ineligible for a certificate/rating, return the application and take any appropriate enforcement action.

3) Ensure that documented information is sufficient to determine the type and number of parachutes packed by the applicant.

4) Ensure that documents provide a complete and positive record of meeting the requirements.

5) If the applicant is eligible, proceed with the certification.

**B. Certificate/Rating Requirements.** Ensure that the applicant meets the requirements for the certificate/rating as follows:

1) Ensure that the applicant has met skills and experience requirements.

2) Determine that the applicant can read, write, speak, and understand English.

3) Verify that the applicant is at least 18 years old.

**C. Proof of Successful Completion.** Ensure that applications for oral and practical tests include proof of successful completion of the applicable knowledge tests. Review the applicant’s FAA Form 8610-2 to ensure that all pertinent information is furnished.

**D. Oral and Practical Tests.** Ensure that oral and practical tests are administered and passed. Ensure that these tests are given by only designated parachute rigger examiners or by an FAA Airworthiness aviation safety inspector (ASI) with applicable parachute experience.

1) Ensure that the test(s) consist of questions and projects directly related to the type of parachute for which a rating is sought.

2) Ensure that each rating has its own oral/practical test.

3) Permit the applicant to refer to the manufacturer's instructions.

**E. Results.** Evaluate the oral and practical test results.

**5-1342 TASK OUTCOMES.**

A. Complete the PTRS Record.
B. **Complete the Task.** Successful completion of this task will result in the following:

1) Completion of FAA Form 8610-2.
   
   a) When the applicant passes a section of the oral/practical test, check the “Pass” block and indicate the expiration date.
   
   b) Fill out the FAA Inspector Report portion.

2) Completion of FAA Form 8060-4, in duplicate, including the seal symbol from FAA Form 3318. FAA Form 8060-4 must be either typewritten or filled out in ink. Both the issuing FAA Airworthiness inspector and the applicant must sign the applicant's copy of the temporary certificate.
   
   a) For the original issuance, enter the word “pending” in Block III.
   
   b) For reissuance, the previously assigned certificate number will continue to be shown in Block III. If a social security number is provided, enter the number without dashes or spaces immediately above the applicant's date of birth. A certificate may be reissued when an airman requests that the certificate number correspond with the applicant's social security number.

3) Submitting a file to the Airmen Certification Branch, AFS-760, to contain the following:
   
   - Original application (FAA Form 8610-2),
   - Original-typed FAA Form 8060-4,
   - Aeronautical Center (AC) Form 8080-2 (test results from previous certification, if applicable),
   - Seal symbol card,
   - Duplicate FAA Form 8610-2 or 8060-5 to report retest,
   - If the applicant has been retested within 30 days after failure, the letter certifying the applicant has received further instruction, and
   - AC Form 8060-1 or 8060-4, previously held certificate, for added ratings.

C. **Deny a Certificate/Added Rating.** When the applicant cannot show proof of meeting all of the eligibility requirements, fails any required section of the oral or practical test, or does not complete the test, accomplish the following:

   - Complete the FAA Inspector Report portion of FAA Form 8610-2.
   - Present the duplicate copy to the applicant as a record of the sections passed or failed. Counsel the applicant, if needed.
   - Return other documents to the applicant, as appropriate.

5-1343 **FUTURE ACTIVITIES.**
A. **Retest after Failure.** Conduct knowledge retests in accordance with the procedures in the current edition of FAA Order 8080.6.

   1) Normally an applicant must wait 30 days to retake a failed test. In order to take the test sooner, a statement must be presented certifying that the applicant has been given at least 5 hours of additional instruction in each of the subjects failed and is now considered ready for retesting. This statement must be from a certificated and appropriately rated parachute rigger, or a person holding an appropriate military rating.

   2) The oral and practical retests must cover all the subject areas in the failed section, as indicated on the application.

   3) If the applicant fails again, complete FAA Form 8610-2 only for the sections included in the retest. The AC Form 8080-2 presented by an unsuccessful applicant for the oral/practical retest will be returned to the applicant with a new duplicate of FAA Form 8610-2.

B. **Routine Surveillance.**

**RESERVED.** Paragraphs 5-1344 through 5-1360.
VOLUME 5  AIRMAN CERTIFICATION
CHAPTER 12  TITLE 14 CFR PART 141 PILOT SCHOOL

Section 1  Conduct a Chief/Assistant Chief Instructor Practical Test for 14 CFR Part 141 Pilot School

5-1761  PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE. 1648.

5-1762  OBJECTIVE. Completion of this task determines whether an applicant for a chief instructor position for a Title 14 of the Code of Federal Regulations (14 CFR) part 141 pilot school meets the requirements for that position.

5-1763  GENERAL.

A. Chief Instructor. A Federal Aviation Administration (FAA)-approved pilot school and provisional school must designate a chief instructor for each course of training. That chief instructor must meet the appropriate requirements prescribed under part 141, § 141.35. A chief instructor may serve as a chief instructor or as an assistant chief instructor for more than one approved course, but does not have authorization to serve as either a chief instructor or an assistant chief instructor at another pilot school or provisional school. A person who serves as either chief instructor at a pilot school or provisional school may not serve as an Airman Certification Representative (ACR) in that pilot school. The reason that a chief instructor may not serve as an ACR in the same school is because such service could be construed as a conflict of interest, and additionally the ACR must always be in a position that is superior to the chief instructor position.

B. Assistant Chief Instructor. Each FAA-approved school may designate one or more assistant chief instructors for a course or courses of training. The assistant chief instructor must meet the requirements of § 141.36 in order to act for the chief instructor in the chief instructor’s absence.

C. Standardization of Assistant Chief Instructors. For the purposes of this task, if a school proposes an assistant chief instructor, this task must be accomplished in the same manner as for the chief instructor.

D. Check Instructors. A school may designate a person to be a check instructor for conducting student stage checks, end-of-course tests, and instructor proficiency checks in accordance with § 141.37.

5-1764  INITIATION.

A. Chief Instructor and/or Assistant Chief Instructor Designation. A pilot school designates a chief instructor or assistant chief instructor when the school applies for, and is approved for, certification in a particular course of training (see Volume 2, Chapter 9, Section 1, Initial Certification or Renewal of a Part 141 Pilot School). The applying pilot school designates by name the chief instructor (and may also designate an assistant chief instructor) in the training
course outline (TCO) for each course. Pilot schools may also request approval of a replacement when the chief instructor for a particular course leaves that school’s employment, moves to another position, or otherwise causes the position to be vacant.

B. Approval as Part of TCO Evaluation. The letter of intent used to apply for initial certification of an FAA-approved pilot school must describe the name and qualifications of each intended chief instructor or assistant chief instructor for every course of instruction (see Volume 3, Chapters 53, Section 2, Approve Training Course Outlines for a Part 141 Pilot School).

C. Examination of the Candidate. An appropriately qualified aviation safety inspector (ASI) (or the certification team during initial certification) evaluates the chief instructor candidate’s background and qualifications, and conducts the practical test.

1) A chief instructor must meet the appropriate experience requirements outlined in § 141.35. An assistant chief instructor must meet the appropriate experience requirements outlined in § 141.36.

2) Sections 141.35 and 141.36 require every chief instructor or assistant chief instructor to pass both parts of the knowledge and skill test for each course he or she is designated as chief instructor or assistant chief instructor.

3) For the practical test, the ASI reviews the appropriate regulations, practical test standards (PTS), TCOs, and safety procedures of the school in order to give a comprehensive test. For additional guidance on conducting the practical test, consult 14 CFR part 61 and Volume 5, Chapter 2, Title 14 CFR Part 61 Certification of Pilots and Flight Instructors.

4) The knowledge portion of the practical test must include at least the following:

   • The teaching methods and applicable provisions of the Airman’s Information Manual;
   • Title 14 CFR parts 61, 91, and 141;
   • A discussion of the course of training for which the instructor seeks approval, including training standards, objectives, and completion standards; and
   • The use and understanding of all training aids.

5) The practical portion of the examination will consist of the applicant’s knowledge, skills, and abilities on teaching, testing, and evaluating area of operations/tasks for the course of training/pilot certificate level/rating in which the applicant will serve as a chief instructor. For example, if the applicant is applying for a chief instructor position in the school’s Private Pilot-Airplane Single-Engine Land (ASEL) course, then the applicant must be tested on teaching, testing, and evaluating area of operations/tasks for the Private Pilot-ASEL rating. The standards and objectives must be appropriate to the certificates and ratings held by the applicant.
5-1765  EXAMINATION RESULTS.

A. Approval of the Candidate. When the candidate successfully completes the practical test and meets all other requirements, approve the appropriate TCO with respect to the applicant’s acceptance as chief instructor.

B. Disapproval of the Candidate. If the ASI determines that the chief instructor applicant’s performance does not meet the minimum standards appropriate to the certificate held, he or she may not approve the TCO until the designation of an acceptable chief instructor. Failure of a practical test by an assistant chief instructor is not grounds for disapproval of the TCO. However, the TCO cannot include the assistant chief instructor’s name until that assistant chief instructor has passed the practical test.

C. Retesting. The applicant who has failed the chief instructor practical test may apply for a retest. If the applicant accomplishes the retest within 60 days, he or she only needs to repeat the portion of the test that was unsatisfactory. If reexamination is delayed beyond 60 days, the applicant must satisfactorily accomplish the entire test.

5-1766  CHIEF INSTRUCTOR RESPONSIBILITIES.

A. Responsibilities. Part 141 outlines specific responsibilities for a chief instructor. The need for the chief instructor to fulfill these responsibilities completely and accurately cannot be overstressed. These responsibilities include the following points:

1) The chief instructor must properly certify the training records, graduation certificates, and stage and final test reports of airman candidates considered eligible for a certificate or rating.

2) When giving a stage or final test, the chief instructor should make “student recommendations,” as discussed in § 141.85, that are complete and definitive with respect to any additional training needed.

3) The chief instructor is responsible for conducting the stage checks and final tests for the particular course of training.

4) The chief instructor must continue to update and improve the courses of training for which the instructor is responsible whenever he or she becomes aware of deficiencies in the course or needed changes in training standards.

5) Chief instructors must seek assistance and guidance from FAA ASIs in the resolution of problems concerning their responsibilities.

B. Delegation of Responsibilities. The chief instructor may delegate duties to the assistant chief instructor or check instructor.

C. Availability-Direct Supervision. The chief instructor is required to supervise noncertificated instructors directly (see § 141.81). The chief instructor for a particular course must be available when instruction in that course is given.
1) Pilot schools are permitted to use noncertificated ground instructors based on the ground instructor’s specific teaching credentials and qualifications. Section 141.81 requires that instruction by noncertificated ground instructors be given under the direct supervision of the chief instructor for the course. FAA policy indicates that the chief instructor, assistant chief instructor, or another instructor designated by the chief instructor must be present at the school and in the classroom when noncertificated ground instructors give instruction.

2) A chief instructor would not be able to supervise noncertificated ground instructors nor be available for consultation if that chief instructor was employed in another job that demanded the instructor’s presence.

3) Certificated ground and flight instructors do not have to be as closely supervised as noncertificated ground instructors. The chief instructor or designated assistant chief instructor will be available at the pilot school or, if away from the premises, by telephone, radio, or other electronic means during the time the instruction is given for an approved course of training.

4) Satellite bases require that the chief instructor be “available” for consultation, which can be accomplished by telephone. This ensures that the chief instructor can provide necessary supervision and meet the responsibilities with respect to a school’s main base of operation and its satellite base. If the chief instructor is unavailable for consultation, training in relation to the chief instructor’s responsibilities must cease until that chief instructor returns, unless these duties have been delegated. The chief instructor may delegate duties to the assistant chief instructor or another appropriate, qualified instructor. Except for the initial flight check of instructors and final stage check, all duties may be assigned to an appropriately qualified instructor. Examples of duties that would be appropriate for delegation are the certification of training records and the conduct of stage checks other than the final stage check.

NOTE: See subparagraph 5-1766B above for delegation of responsibilities.

D. Responsibility To Receive Annual Recurrent Training. At least once every 12 months, each chief instructor and assistant chief instructor must complete an approved syllabus of training consisting of ground or flight training, or both, or an approved flight instructor refresher course (FIRC) (see § 141.79). This training is not required to receive initial designation as the chief instructor or assistant chief instructor.

1) To fulfill this requirement, a chief instructor may attend any one of the many FAA-approved, industry-conducted FIRCs.

2) FAA policy allows the chief instructor to obtain the required hours of ground or flight instruction by attending other standardization seminars or courses. Nevertheless, the FAA must approve how the chief instructor fulfills the required time. For example, a chief instructor who is also a pilot examiner may credit the instruction received in the examiner’s standardization course toward meeting the requirements of § 141.79. In addition, he or she may use any other course of instruction approved by the Flights Standards District Office (FSDO) to satisfy this instructional requirement.

E. Assistant Chief Instructor Responsibilities. The assistant chief instructor’s and chief instructor’s responsibilities may be similar, provided the chief instructor has delegated such
duties and responsibilities to the assistant chief instructor. Any time the chief instructor delegates duties, that delegation should be in writing, citing the specific duties delegated, to whom, and for what time period.

5-1767 CHANGE OF CHIEF INSTRUCTOR.

A. Procedures To Follow. Whenever a pilot school or provisional pilot school makes a change of designation of its chief instructor, that school must do the following:

1) Immediately provide written notification of the change to the FAA FSDO that has jurisdiction over the area in which the school is located.

2) Conduct training without a chief instructor for that training course for a period not to exceed 60 days while awaiting the designation and approval of another chief instructor.

3) For a period not to exceed 60 days, have the stage checks and end-of-course tests administered by:
   - The training course’s assistant chief instructor, if designated;
   - The training course’s check instructor, if designated;
   - An FAA ASI; and
   - An examiner.

4) After 60 days without a chief instructor, a pilot school or provisional pilot school, as appropriate, must cease instruction in that training course or in all the training courses if just one chief instructor is designated for that entire school. Whether a school must surrender its air agency certificate and permanently shut down depends on whether the school has a qualified and assigned assistant chief instructor who can competently perform the duties of the chief instructor in the interim and whether the school can present a plan for employing a qualified chief instructor in a reasonable amount of time. The authority to permanently shut down the school and retrieve the school certificate is solely the authority of the supervising FSDO.

5) Have its certificate reinstated, upon:
   - Designating and approving another chief instructor;
   - Showing it meets the requirements of § 141.27(a)(2); and
   - Applying for reinstatement on a form and in a manner prescribed by the Administrator.

B. Authority To Examine. The school may continue to train students under an approved course of training without a chief instructor for a period of 60 days. If the course of training has an assistant chief instructor, approved by the FAA, training can continue beyond the 60-day limit; however, at the time of Air Agency certificate renewal, no TCO may be renewed without a qualified and approved chief instructor. If there is no assistant chief instructor when the school is without a chief instructor, each stage or final test of a student enrolled in that approved course of training must be given by an FAA ASI or a Designated Pilot Examiner (DPE) (see Volume 5, Chapter 12, Section 2, Conduct a Stage Test for a Title 14 CFR Part 141 Pilot...
School). By referring to the approved training syllabus, the FAA ASI or DPE must become familiar with the specific areas to be tested and with the completion standards for each stage of training being tested. The operator of the school must receive the results of the tests given by the ASI or the DPE for inclusion in the appropriate student files.

C. Maintenance of Records. The holder of the school certificate is responsible for the maintenance of training records, the issuance of graduation certificates, and the general operation of the school during any change of chief instructor.

5-1768 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of the regulatory requirements of part 141, FAA policies, and qualification as an ASI (Operations).

B. Coordination. This task will require coordination with the principal operations inspector (POI) and may require coordination with the airworthiness unit.

5-1769 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- 14 CFR parts 1, 61, and 91;
- FAA Order 2150.3, Compliance and Enforcement Program;
- Appropriate PTRS;
- Advisory Circular (AC) 141-1, Pilot School Certification; and
- The school’s TCOs.

B. Forms. FAA Form 8710-1, Airman Certificate and/or Rating Application.


5-1770 PROCEDURES.

A. Task Clarification. Determine the course for which the task will be conducted.

1) For an initial certification, conduct a practical test for all proposed courses.

2) For adding a course or changing the chief instructor or assistant chief instructor, conduct the practical test for only the affected course.

B. Application. Provide the applicant a blank copy of FAA Form 8710-1 (Figure 5-200). Advise the applicant to mark the “Flight Instructor” box in Section I as well as the “Other” box and write/type “Application for Chief Instructor or Assistant Chief Instructor Proficiency Check.”

C. TCO Review. Review the relevant TCO for the school’s procedures.
D. **File Review.** Review any appropriate FSDO file for pertinent information on the applicant or air agency.

E. **PTRS.** Open PTRS file.

F. **Personnel History.** Using office procedures, conduct an Enforcement Information System (EIS)/Accident Incident Data System (AIDS) check on the chief instructor applicant or assistant chief instructor applicant.

1) If the applicant has no previous enforcement or accident/incident history, place the EIS/AIDS report in the FSDO file.

2) If the EIS/AIDS report shows a prior enforcement or accident/incident, evaluate the results to determine if the problems were related to flight training. If the problems do relate to flight training, discuss the findings with the school. Inform the school that the test cannot be continued until the school submits a different person for consideration. Set a time limit for receipt of the application.
   
   a) When the school submits a new name, repeat paragraph 3F and schedule a date and time for the test.
   
   b) If the school does not submit a new application, terminate the task.

G. **Schedule Test.** Schedule date, time, and location for the practical test.

H. **Review Application.** Review FAA Form 8710-1 for completeness, accuracy, minimum qualifications, and experience requirements.

   1) Determine whether the application states “Application for Chief Instructor or Assistant Chief Instructor Proficiency Check” and if it lists the courses for which the chief instructor or assistant chief instructor will be tested.

   2) Determine if the pilot’s experience and qualifications meet the requirements of the regulations for the approval requested (§§ 141.33, 141.35, or 141.36).

   3) If the application is incorrect or the applicant’s qualifications are inadequate, inform the applicant that he or she lacks the qualifications. Notify the operator and confirm in writing, indicating the specific areas that were inadequate (Figure 5-200). Explain to the applicant how to correct the discrepancy, and reschedule the test.

   4) If the application is correct and the applicant’s qualifications meet the regulations, examine the pilot certificates.

I. **Review Pilot Certificates.**

   1) Check the pilot and flight instructor certificates for appropriate certificates and ratings.
2) If the pilot certificates are inappropriate, inform the applicant that he or she lacks the qualifications. Notify the operator and confirm in writing, indicating the specific areas of deficiency (Figure 5-201). Explain to the applicant how to correct the discrepancy and reschedule the test.

J. Inspect Aircraft Used in Test.

1) If an airworthiness ASI is available, have that ASI check aircraft documents and current inspections. If not, check the following:
   - The registration certificate;
   - The airworthiness certificate;
   - The radio station license;
   - The operating limitations; and
   - The Weight and Balance (W&B) information.

2) If the aircraft does not have all of the above documents, inform the applicant that the test cannot be conducted until the documents are available for review.
   a) Notify the operator and confirm in writing that the test cannot be conducted, indicating the specific areas that were deficient (Figure 5-201)
   b) Reschedule the test after the deficiencies have been corrected or reschedule the test with another appropriate aircraft after it has been inspected.

3) If the aircraft is airworthy and appropriate for the practical test, conduct the knowledge portion of the test.

K. Conduct Chief Instructor/Assistant Chief Instructor Practical Test-Knowledge Portion.

1) Test the chief instructor’s or assistant chief instructor’s knowledge of at least the following:
   - Parts 61, 91, 141, and other appropriate regulations relating to the course of training;
   - The school’s TCOs and/or special curriculums relating to the tested courses;
   - The school’s prerequisites and enrollment procedures (§ 141.93);
   - The school’s training standards, objectives, completion standards, and graduation procedures;
   - Airports and aircraft (§§ 141.38 and 141.39);
   - Simulators and other training devices (§ 141.41);
   - The minimum qualifications and ratings for each instructor used for the particular course of training;
   - The safety procedures and practices of the school;
   - The chief instructor’s duties and responsibilities (§ 141.85); and
• The means by which the chief instructor will ensure standardized instruction (§§ 141.79, 141.81, 141.83, and 141.89).

2) If the knowledge portion of the test is satisfactory, proceed with the skill portion.

3) If the knowledge portion of the test is unsatisfactory, inform the applicant and debrief the applicant on how to correct the deficiency.
   a) Notify the operator and confirm in writing, indicating the specific areas of deficiency.
   b) Reschedule the test at the operator’s request after the deficiencies have been corrected.

L. Conduct Chief Instructor/Assistant Chief Instructor Practical Test-Skill Portion.

1) Use the procedures for evaluating a DPE (see Volume 13, Chapter 5, Section 1, Appoint/Renew a General Aviation Designee). Give special attention to the TCO requirements and the applicant’s ability to evaluate not only the performance of students but the performance of other flight instructors as well.

2) If the skill portion of the test is completed satisfactorily, note the result on FAA Form 8710-1 and place it in the operator’s file in the FSDO. Do not forward it to the Airmen Certification Branch, AFS-760.

3) If the knowledge and skill tests are unsatisfactory, inform the applicant immediately. In addition:
   a) Notify the operator and confirm in writing that the tests were unsatisfactory, indicating the specific areas of deficiency (Figure 5-201).
   b) After the deficiencies have been corrected, schedule a reexamination at the operator’s request.

4) If a reexamination is accomplished within 60 days, the ASI may elect to repeat the entire practical test or repeat only that portion of the test that was unsatisfactory. If reexamination is delayed beyond 60 days, repeat the entire practical test.

5) In the case of an existing TCO, remind the operator that he or she may need to change the TCO to reflect the new chief or assistant chief instructor.

M. PTRS. Make the final PTRS entry and close.

5-1771 TASK OUTCOMES. Completion of the task results in either of the following:

• Acceptance of the applicant as either chief instructor or assistant chief instructor for a course of training.
• Denial of the applicant.
5-1772  FUTURE ACTIVITIES.

A. Possible TCO Acceptance. Possible acceptance of the school’s TCO.

B. Performance Inspection. According to the established surveillance plan, inspect either the chief instructor’s or assistant chief instructor’s performance for each course of training for which that instructor is responsible.

C. Additional Practical Tests. Conduct additional chief instructor or assistant chief instructor practical tests for other courses or for when the school changes its chief instructor.
Figure 5-200, FAA Form 8710-1, Airman Certificate and/or Rating Application

Indicate in the Other field that this is an application for, as appropriate, the:

Chief Instructor Proficiency Check

or

Airman Certificate and/or Rating Application

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<tr>
<th>Citizenship</th>
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<tr>
<th>Do you speak, read, write, &amp; understand English?</th>
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<tr>
<th>Height</th>
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<tr>
<th>Do you have a Medical Certificate?</th>
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<tr>
<th>Have you been convicted for violation of any Federal or State statute relating to the use of drugs, marijuana, or alcohol?</th>
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II. Certificate or Rating Applied For on Basis of:

<table>
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<tr>
<th>Completion of Required Tests</th>
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<tr>
<th>Military Competence</th>
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1. Service

2. Date issued

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<tr>
<th>Graduate of Approved Courses</th>
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<tr>
<th>Course of Instruction</th>
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1. Name and Location of Training Agency or Training Center

<table>
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<tr>
<th>Inspections from which Graduated</th>
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1. Date

<table>
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<tr>
<th>Inspections</th>
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1. Country

2. Grade of License

3. Number

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<th>Inspections</th>
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<th>Inspections</th>
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1. Name of Air Carrier

2. Date

IV. RECORD OF PILOT TIME (Do not write in the shaded areas) |

<table>
<thead>
<tr>
<th>Total Instruction Received</th>
<th>Solo</th>
<th>Flight in Government (PO)</th>
<th>Cross Country (Non-Federal)</th>
<th>Cross Country (Federal)</th>
<th>Instrument</th>
<th>Night Instruction Received</th>
<th>Night Airman License</th>
<th>Night Airman License</th>
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</table>

V. Have you failed a test for this certificate or rating? Yes No

VI. Applicant's Certification: I certify that all statements and answers provided by me on this application form are complete and true to the best of my knowledge and I agree that they are to be considered as part of the basis for issuance of any FAA certificate to me. I have also read and understand the Privacy Act statement that accompanies this form.

Signature of Applicant

Date

FAA Form 8710-1 (4-06) Supersedes Previous Edition

MSIC: 8002-30-062-5607

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**Airman Certificate and/or Rating Application**

Complete and submit this form to obtain an Airman Certificate and/or rating. The applicant is responsible for submitting this form to the Federal Aviation Administration (FAA) at the address below.

**Chief Flight Instructor, Private Pilot Certification Course**

**Application Information**
- Student
- Recreational
- Private
- Commercial
- Airline Transport
- Instrument

**Additional Aircraft Rating**
- Aircraft Single-Engine
- Aircraft Multiengine
- Rotorcraft
- Glider
- Lighter-Than-Air

**Flight Instructor**
- Initial
- Renewal
- Reinstatement
- Additional Instructor Rating

**Medical Flight Test**
- Recommission
- Reissuance of Certificate
- Other

**Proficiency Check**

**Other**

**Type or Print All Entries in Ink**

**United States Department of Transportation, Federal Aviation Administration**

---

**Application Information**

- **Name:** (Last, First, Middle)
- **SSN:** (US Only)
- **Date of Birth:** (Month, Day, Year)
- **Place of Birth:**

**Address (Please See Instructions Before Completing):**

- **City, State, Zip Code:**

**Nationality (Citizenship):**

**Language:**

- **Do you speak and understand English?**

**Height:**

**Weight:**

**Hair:**

**Eyes:**

**Sex:**

**Height:**

**Weight:**

**D.**

**Do you hold a pilot certificate?**

- **Yes**
- **No**

**G.**

**Do you hold a medical certificate?**

- **Yes**
- **No**

**H.**

**Grade Pilot Certificate:**

**Certificate Number:**

**Date Issued:**

**Name of Examiner:**

**U.**

**Have you been convicted for violation of Federal or State statutes relating to narcotics, marijuana, or depressant or stimulant drugs or substances?**

- **Yes**
- **No**

**W.**

**Glider or Free Balloon:**

**Pilots only:**

**Medical Statement:** I have no known physical defect which makes me unable to pilot a glider or free balloon.

**Signature:**

**Date:**

---

**Certificate or Rating Applied For on This Form:**

- **A.**
  - Completion of Required Test
  - Aircraft to be used (if flight test required): 1. **Service**
  - Date Rated: 2. **Date**
  - Rank or Grade and Service Number: 3. **Rank**

- **B.**
  - Military Competence Obtained in:
  - Military Service: 1. **Country**
  - In the past 12 months: 2. **Grade of License**

- **C.**
  - Graduate of Approved Courses
  - Name of Training Agency or Training Center: 1. **Course**
  - Curriculum from Which Graduated: 2. **Course Number**

- **D.**
  - Holder of Foreign License Issued By
  - Country: 1. **Country**
  - Grade of License: 2. **Grade**
  - Number: 3. **Number**

- **E.**
  - Completion of Air Carrier's Approved Training Program
  - Name of Air Carrier: 1. **Name**
  - Date: 2. **Date**
  - Which Curriculum: 3. **Curriculum**

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**Record of Pilot Time (Do not write in the shaded areas):**

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</table>

**IV. Have you failed a test for this certificate or rating?**

- **Yes**
- **No**

**Within the Past 30 Days?**

- **Yes**
- **No**

---

**V. Applicant's Certification:**

I certify that all statements and answers provided by me on this application form are complete and true to the best of my knowledge, and that the statements made are to be considered as the basis for issuance of any FAA certificate to me. I have also read and understand the Privacy Act statement that accompanies this form.

**Signature of Applicant:**

**Date:**

**FAA Use Only**

**EMP**: **INS**: **OS**: **LSS**: **ACT**: **LEY**: **BR**: **ENK**: **RTE**: **RTM**: (1)

---

**Check with FSIMS to verify current version before using**
Figure 5-201, Letter Explaining Why Chief Flight Instructor Knowledge and Skill Test Was Unsatisfactory

FAA Letterhead

[date]

[school’s name and address]

Dear [applicant’s name]:

On [date of test], [name of airman] failed to satisfactorily demonstrate the appropriate [knowledge/skills] to be designated as chief flight instructor for [names of courses]. The specific areas that were unsatisfactory are [list unsatisfactory items].

A reexamination of this candidate or of a new candidate may be rescheduled only at your request.

Sincerely,

[certification project manager’s signature (if an initial certification) or principal operations inspector’s signature, (if an existing pilot school)]

RESERVED. Paragraphs 5-1773 through 5-1790.
VOLUME 6 SURVEILLANCE

CHAPTER 9  PART 145 INSPECTIONS

Section 14  Reserved

RESERVED. Paragraphs 6-1951 through 6-1975.