

VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135

Section 1 Safety Assurance System: Phase 1—Preapplication

2-341 GENERAL.

A. Direction and Guidance. This chapter provides direction and guidance on the certification process of Title 14 of the Code of Federal Regulations (14 CFR) part 135 air operators. An applicant is not certificated until Flight Standards District Offices (FSDO) and regional Flight Standards division (RFSD) offices are confident that the prospective certificate holder is capable of fulfilling the required responsibilities. The applicant will comply with 14 CFR in an appropriate and continuing manner.

B. Gate System. The certification process employs a gate system that requires the completion of certain items prior to continuation of the process.

C. Process for Smaller Operators. Small, less complex operators may be eligible to use a modified certification process. The modified process will usually be quicker and require fewer operator and Federal Aviation Administration (FAA) resources. The reviewing FSDO should ensure that the applicant thoroughly understands the certification process described in this chapter. Find a discussion of these selected practices in Volume 2, Chapter 4, Section 6.

2-342 DEFINITIONS.

A. Basic Part 135 Operator (Commuter and On-Demand Operations or On-Demand Operations Only), Operation Specification (OpSpec) A037 or OpSpec A038. A basic part 135 operator is a certificate holder limited to a maximum of five pilots and authorized (because of the operation's limited size and scope) certain deviations from the manual content, management personnel, and training program curriculum requirements of part 135. This section establishes the extent of deviation authorized, the maximum size and scope of operation, and selected practices applicable to the certification of a basic part 135 operator.

B. Single Pilot-in-Command (PIC) Operator OpSpec A039. A single PIC operator is a certificate holder limited to only one PIC for part 135 operations. Identify the PIC by his or her name on the certificate holder's OpSpecs. The FAA does not authorize the use of "freelance" pilots or temporary pilot employees in place of the PIC named on the OpSpec. Authorize the certificate holder to use no more than three individuals as second-in-command (SIC) pilots. Identify these individuals by name on the certificate holder's OpSpecs. They must meet all requirements of part 135 to serve as SICs. The FAA does not authorize single PIC operators to operate aircraft type certificated (TC'd) for more than nine passenger seats or conduct Category II Approach (CAT II) or Category III Approach (CAT III) operations or conduct operations outside the United States, Canada, Mexico, or the Caribbean. The FAA authorizes

certificate-holding district offices (CHDO) to grant single PIC operators complete deviations from part 135, §§ 135.21(a), and 14 CFR part 119, § 119.69(a). In some situations, the CHDO may not justify a complete deviation, and the CHDO may determine that partial deviations are more appropriate.

C. Single-Pilot Operator OpSpec A040. A single-pilot operator is a certificate holder limited to only one pilot for part 135 operations. Identify the pilot by name on the certificate holder's OpSpecs. The FAA does not authorize the use of "freelance" pilots or temporary pilot employees in place of the pilot named on the OpSpecs. Part 135 does not require single-pilot operators to maintain manuals, training programs, or management positions (no deviation required). For selected practices regarding certification of single-pilot operators reference Volume 2, Chapter 4, Section 6.

NOTE: See Volume 2, Chapter 2, Section 1, General Information, paragraph 2-103 for additional definitions.

2-343 INITIAL INQUIRIES OR REQUESTS.

A. Initial Inquiries. Initial inquiries about certification or requests for application may come in various formats from individuals or organizations. These inquiries may be in writing or in the form of meetings with FSDO personnel. The primary source of communication will be through the Safety Assurance System (SAS) External Portal.

B. Applicant Orientation and Preliminary Discussion. Upon initial contact, FSDO personnel should direct the applicant to the Flight Standards Service (AFS) Web site at <http://www.faa.gov> for applicable regulations, advisory circulars (AC); FAA orders, notices, bulletins; and other pertinent information. In addition, the FAA Web site provides examples of letters, application forms, and other types of information the applicant needs to complete the certification process.

C. FAA Form 8400-6, Preapplication Statement of Intent (PASI). Application for certification will come through the SAS External Portal. Upon initial contact, CHDO personnel should instruct the applicant to complete the PASI form found at <http://www.faa.gov/forms>.

1) Upon receipt of a signed PASI, the FSDO will review the form to ensure that there is sufficient information to further process the preapplication. The FSDO will determine that the proposed operation is consistent with part 135.

2) If the PASI is rejected, the FSDO must notify the applicant in writing describing the reasons in Section 2 of the form. It is mandatory to retain a copy of the rejected PASI and any correspondence in the FSDO files.

3) When the PASI is acceptable, the FSDO manager will initiate the Certification Service Oversight Process (CSOP) found in this section.

2-344 ASSIGNMENT OF THE CERTIFICATION TEAM. (SAS Configuration–Module 1).

A. Selection of Team Members. Once the CSOP and the designation of a FSDO as the CHDO for the certification project are complete, the CHDO will request a precertification number from Aviation Data Systems, AFS-620. (See Volume 2, Chapter 2, Section 2, paragraph 2-133). The CHDO manager will then select a certification team for the certification project. At a minimum, the team must consist of an Operations, Airworthiness, and Avionics inspector. Generally, these inspectors will be the principal inspectors (PI) assigned to the applicant once the certification process is complete. If appropriate, include a cabin safety inspector (CSI) and dispatch inspector. If a CSI or dispatch inspector is not readily available, contact the RFSD. Assign an Operations inspector qualified for each of the proposed aircraft to the team if the prospective principal operations inspector (POI) is not qualified for the aircraft.

B. Designation of the Certification Project Manager (CPM). The manager of the CHDO will designate one member of the certification team to serve as the CPM. The person designated as CPM should have completed appropriate training and should have previous experience in the certification of an air carrier under part 135. It is desirable that a person with PI experience be designated as the CPM; however, depending on the situation, other inspectors may be acceptable.

2-345 RESPONSIBILITIES OF THE CPM AND THE CERTIFICATION TEAM.

A. Responsibilities of the CPM. The CPM and other certification team members must conduct themselves in a professional and responsive manner with the applicant. The CPM must serve as the primary spokesperson for the FAA throughout the certification process. Consequently, the CPM must thoroughly coordinate all certification matters with all other specialists assigned to the certification project. The CPM must be responsible for ensuring that all certification job functions are complete. Coordinate all correspondence, both to and from the applicant, with the CPM. The CPM must notify the CHDO manager of any information that may significantly affect or delay the certification project. The CPM must ensure that individuals involved with the certification project and the CHDO manager are kept fully informed of the current status of the certification. The Five Phases of Certification and Requirements of the Gate System for Part 135 (Figure 2-11), Part 135 Certification Job Aid and Schedule of Events (Figure 2-12), and the Part 135 Certification Job Aid for Cabin Safety (Figure 2-13) should be used as guides for the conduct of these status meetings.

B. Responsibilities of the Certification Team Members. Each team member must respond to CPM requests for assistance and keep the CPM informed of the status of the certification. Bring immediately any discrepancy that may delay the certification effort to the attention of the CPM.

C. Responsibilities of the CHDO Manager. The CHDO manager must keep the RFSD informed of any unusual aspects of the certification process or of those aspects that may attract the attention of local or national political entities or the media. The CHDO manager must coordinate with the RFSD when the circumstance requires intra/interregional coordination. It is appropriate to encourage routine certification job function coordination between FSDOs.

D. Responsibilities of the Applicant. The applicant must develop and complete all required programs and documents for submission with the formal application.

2-346 PREAPPLICATION MEETING.

A. General. In preparation for the meeting, the assigned inspector should remind the applicant that the key management personnel should plan on attending the meeting and prepare themselves to discuss, in general terms, specific aspects of the applicant's proposed operation. The inspector should discuss the certification process in depth. Place emphasis on the expectations of the FAA, what the applicant should expect from the FAA, and the sequence of events. The Five Phases of Certification and the Requirements of the Gate System for Part 135 (see Figure 2-11) should receive emphasis, and the applicant should be encouraged to ask questions during the discussion. Applicants should be thoroughly familiar with the gate system requirements before continuing with the process.

B. Precertification Information.

1) The preapplication meeting between the CPM, other certification team members, and the applicant sets the tone for the rest of the certification process. It is important, therefore, that the CPM thoroughly prepare to conduct the meeting.

2) The CPM should direct the applicant to the FAA Web site at: <http://www.faa.gov> and International Civil Aviation Organization (ICAO) at <http://portal.icao.int> to obtain precertification information. These Web sites provide links to current editions of the following:

- AC 00-58, Voluntary Disclosure Reporting Program;
- AC 120-66, Aviation Safety Action Program (ASAP);
- AC 135-7, Part 135: Additional Maintenance Requirements for Aircraft Type Certificated for Nine or Less Passenger Seats;
- FAA Order 8000.88, PRIA Guidance for FAA Inspectors;
- Volume 11, Chapter 1, Section 1;
- Volume 11, Chapter 2, Section 1;
- PASI;
- Sample Formal Application Letter;
- Sample Letter of Compliance;
- Proposed OpSpecs;
- Additional publications or documents that the CPM considers appropriate;
- Sample General Operations Manual (GOM);

- Sample Company Training Manuals;
- Sample Schedule of Events (SOE);
- Initial cadre training plan;
- Drug and Alcohol Testing Program;
- Hazmat Procedures Manual and Training; and
- ICAO Annexes 1, 2, 6, and 8.

3) The certification team must review management qualifications (see subparagraph 2-348D) to determine that there is a résumé for each required management position and that these résumés contain the basic information necessary to determine regulatory compliance. The depth of review should be only to determine that there are no obvious omissions or significant discrepancies. An example of a significant discrepancy might be that the regulation requires an individual to hold an Airline Transport Pilot Certificate (ATPC), but the résumé shows that the individual holds only a commercial pilot certificate. (Refer to § 119.71(f) for deviation authority.) Accomplish a detailed review of the management qualifications and effectiveness during the design assessment and the performance assessment phases.

C. Briefing of the Applicant. At the preapplication meeting, brief the applicant and any key personnel attending the meeting in as much detail as necessary to ensure that he/she understands the certification process using the certification job aid and the SOE format as guides to facilitate the discussion and to ensure that you cover all elements of the certification process. Advise applicant that all manuals and correspondence must be submitted through the SAS External Portal. Encourage the applicant to ask questions about any area of the process not clearly understood.

D. Verifying Information on the PASI. The first item for discussion should be verification of the information on the PASI, such as the type of operation, types of aircraft, geographic areas of operation, and location of facilities. When changes to this information occur, the applicant must annotate the changes on the PASI. If the changes significantly affect the anticipated scope and/or type of operation, it is necessary to forward a copy of the revised PASI to the RFSD. If the changes indicate the need for reassignment of certification responsibilities to another FSDO, the RFSD must immediately notify the affected FSDOs so that the certification project can be reassigned. In this situation, it may be appropriate to terminate the preapplication meeting.

E. Informing the Applicant of Pertinent Regulations. It is essential that the applicant understands which regulations apply to the proposed operation. Advise the applicant to acquire and become familiar with 14 CFR and ACs pertinent to the proposed operation. Make sure the applicant and the applicant's personnel are aware of their responsibilities during the certification process. It is to their benefit to submit required items as soon as they become available, in order to meet Gate I requirements, and to notify the FSDO immediately of any problems or changes in the proposed operation.

F. Appropriate Department of Transportation (DOT) Economic Authority.

1) Advise the applicant that it is his/her responsibility to apply for and obtain the appropriate DOT economic authority per § 119.5(i). The inspector should further advise the applicant that the FAA will not proceed with the certification process until Gate I requirements have been fully met (see Figure 2-11). In addition, the FAA will not proceed beyond Gate III until the applicant provides the evidence of appropriate economic authority. The FAA will not issue the OpSpecs until the applicant obtains the DOT economic authority. Title 14 CFR part 204 requires a fitness determination in the case of a commuter air carrier or a carrier seeking a certificate of public convenience and necessity from DOT.

2) Per 14 CFR part 298, the on-demand part 135 air carrier applicant must submit the Office of the Secretary of Transportation (OST) registration Form 4507, Air Taxi Operator Registration and Amendments Under Part 298 of the Regulations of The Department of Transportation and proof of insurance coverage with the required fee to the Technical Programs Branch, AFS-260, at the FAA headquarters (HQ) 30 days prior to the commencement of operations. The liability insurance coverage can be established with an appropriate future effective date. The FAA will not issue the OpSpecs that have an effective date before the liability insurance is effective.

2-347 INSTRUCTIONS TO THE APPLICANT ON THE FORMAL APPLICATION.

A. Requirements of Formal Application. It is essential during the preapplication meeting that the applicant has a clear understanding of the form, content, and documents required for the formal application. It is necessary to inform the applicant that he/she must submit the formal application to the assigned FSDO. After the initial review, inform him/her that a letter will provide notification of his/her application's acceptance or rejection within 10 working days. Encourage the applicant to submit the formal application as far in advance as possible of the intended starting date.

NOTE: The inspector should inform the applicant that, while FAA inspectors will furnish informal guidance and advice during the preparation of required documents and manuals, the production of acceptable documents and manuals is solely the responsibility of the applicant.

B. Formal Application Letter. The formal application letter serves as the vehicle to transmit the package of documents required to pass through Gate II. The inspector must inform the applicant that the formal application must be a letter containing a statement that the letter serves as a formal application for either an air carrier certificate or an operating certificate.

1) The letter must contain the full and official name of the applicant. This letter must be signed by the owner, when applying as an individual or sole proprietorship, all partners, when applying as a partnership, or an authorized officer(s), when applying as an organization such as a company or a corporation. The letter must contain the physical location address of the applicant's intended primary operating location. The applicant must include their mailing address in the formal application letter, if it is different from

his/her physical location address. Title 49 of the United States Code (49 U.S.C.) § 46103(c) requires that this letter include the full name and address of the applicant's agent for service. Additionally, the letter will confirm the identity of key management personnel such as the general manager, Director of Operations (DO), Director of Maintenance (DOM), chief pilot, and chief inspector, as applicable.

2) When you anticipate a request for deviation from the qualification requirements of management personnel, note it in the formal application letter. It is essential, however, to make a request for the deviation and the justification for that deviation in a separate letter. The CPM should direct the applicant to the following FAA Web site to obtain a sample of a formal application letter: <http://www.faa.gov>.

2-348 FORMAL APPLICATION ATTACHMENTS. The formal application letter should include at least the attachments described in the following subparagraphs:

A. Schedule of Events (SOE). (Figure 2-14 provides a sample format for an SOE.) The applicant needs to understand that the SOE is a key document to be presented with the formal application. The SOE is a list of items, activities, programs, aircraft and/or facility acquisitions that the applicant must accomplish or make ready for FAA inspection before certification. The SOE will include the applicant's best estimate of the date he/she will accomplish the item, activity, program, aircraft, or facility acquisitions or have them ready for inspection. Inform the applicant that it is necessary to construct the SOE in a logical and sequential manner. The SOE must also provide for a reasonable amount of time for the FAA to review and accept or approve each item or event, before scheduling other items or events that are dependent on such acceptance or approval. Inform the applicant that failure to accomplish an item or event in a satisfactory or timely manner in accordance with the SOE could result in a delay in certification. Advise the applicant that if a certification team detects deficiencies during the review of manuals and other documents, then they will return them for amendment or correction.

B. Company General Manuals (GM). This attachment to the formal application may be in the form of one or more manuals or volumes. These manuals must contain information about the applicant's organization, general policies, duties, responsibilities of personnel, operational control policy, and procedures. In practice, these manuals are often known as the GOM and the General Maintenance Manual (GMM). Section 135.21 requires that the applicant develop his/her entire manual by the time of formal application to satisfy the requirements of Gate II. The applicant should ensure that the manuals are in compliance with at least the following 14 CFR sections, as applicable:

- Section 91.703—Operations of civil aircraft of U.S. registry outside of the United States, if applicable;
- Section 135.3—Rules applicable to operations subject to this part;
- Section 135.23(a)—Management personnel and responsibilities;
- Section 135.23(b)—Weight and balance (W&B) procedures;
- Section 135.23(c)—OpSpecs,1
- Section 135.23(d)—Accident notification procedures;
- Section 135.23(e)—Procedures for pilot knowledge of airworthiness status;

- Section 135.23(f)—Procedures for recording mechanical irregularities;
- Section 135.23(g)—Procedures for determining maintenance corrective action;
- Section 135.23(h)—Procedures for obtaining maintenance without previous arrangements;
- Section 135.23(i)—Procedures for release of/or continuing a flight with required equipment inoperable;
- Section 135.23(j)—Procedures for refueling;
- Section 135.23(k)—Passenger briefing procedures;
- Section 135.23(l)—Flight-locating procedures;
- Section 135.23(m)—Procedures for ensuring compliance with emergency procedures;
- Section 135.23(n)—Pilot en route qualifications procedures (when applicable);
- Section 135.23(o)—Approved aircraft inspection program (when applicable);
- Section 135.23(p)—Procedures and instructions regarding hazardous materials;
- Section 135.23(q)—Procedures for the evacuation of persons requiring assistance;
- Section 135.23(r)—Destination airport analysis (when applicable);
- Section 135.23(s)—Other procedures and policy instructions regarding operations;
- Section 135.183—Performance requirements: land aircraft operated over water;
- Section 135.223(a),(b)—Instrument flight rules (IFR) alternate airport requirements (fuel);
- Section 135.427(a)—Organization and maintenance arrangements;
- Section 135.427(b)(1)—Method of performing routine and non-routine maintenance;
- Section 135.427(b)(2)—Items that must be inspected (required inspections);
- Section 135.427(b)(3)—Method of performing required inspections;
- Section 135.427(b)(4)—Procedures for reinspection;
- Section 135.427(b)(5)—Inspection procedures;
- Section 135.427(b)(6)—Procedures to ensure inspections are performed;
- Section 135.427(b)(7)—Inspection limitations;
- Section 135.427(b)(8)—Authority to countermand decisions;
- Section 135.427(b)(9)—Procedures to ensure that inspections are completed; and
- Section 135.427(c)—Records retention system.

C. Company Training Curricula. (The company training curriculum must include at least the following curriculum segments, as applicable, for each applicable position (pilot, flight attendant (F/A), flight instructor, check pilot):

- Basic indoctrination training;
- Emergency training;
- Crew Resource Management (CRM) training;
- Initial ground and flight training;
- Upgrade ground and flight training;
- Recurrent ground and flight training;
- Qualification training;

- Differences ground and flight training;
- Transition ground and flight training; and
- Hazardous materials (hazmat).

D. Management Qualification Résumés. This attachment must include résumés that meet the requirements of both §§ 119.69 and 119.71 and contain information on the qualifications, certificates, ratings, and experience of personnel selected for the following positions, or equivalent:

- Director of Operations (DO);
- Director of Maintenance (DOM); and
- Chief pilot.

1) Inform the applicant that the effectiveness of the applicant's management personnel will be observed throughout the certification process. If, during the preapplication meeting, it becomes apparent that a proposed management candidate does not meet the required experience outlined in the appropriate regulation, inform the applicant that he/she may apply for a deviation for the prospective certificate holder to employ that person if the documentation shows equivalent aeronautical experience. Further, the deviation request procedure is not meant to accommodate individuals who do not possess the length of experience the regulations require. This request for a deviation must be made to the FSDO as soon as practical to involve the individual who will hold the position early in the certification process. See Volume 3, Chapter 18, Section 3, OpSpec A006 for detailed guidance regarding management deviation requests.

2) Normally, expect full-time management employees for part 135 operations. Depending on the size, scope, and complexity of the operation, however, the CHDO may accept part-time management personnel.

3) Although part 135 does not establish a requirement for a Director of Safety (DOS) position, PIs must encourage their assigned air carriers to either:

a) Develop a safety department, appropriate to the size and scope of operations, that addresses the broad range of risks involved in commercial aviation to include, but not limited to, flight, maintenance, and ground safety.

b) Designate a company management official or manager to monitor and evaluate flight, maintenance, and ground safety practices, procedures, and programs.

4) Operations outside the United States must comply with the Safety Management System (SMS) process per ICAO standards. For guidance, contact your regional NextGen (AXX-220) Special Areas of Operation (SAO) Specialist. ICAO Doc 9859 Safety Management Manual (SMM) provides background information for operators to assist them in the development of operating manuals and flightcrew procedures. It is intended to provide States with guidance for the development and implementation of a State Safety Program (SSP), in accordance with the International Standards and Recommended Practices (SARP) contained in Annex 1 - Personnel Licensing, Annex

6 - Operation of Aircraft, Annex 8 - Airworthiness of Aircraft, Annex 11 - Air Traffic Services, Annex 13 - Aircraft Accident and Incident Investigation and Annex 14 - Aerodromes, Volume 1 - Aerodrome Design and Operations.

NOTE: Refer the applicant to the current edition of AC 120-59, Air Carrier Internal Evaluation Programs, for additional information.

E. Documents of Purchase, Contracts, and Leases. This attachment should provide evidence that the applicant has acquired aircraft, facilities, and services to conduct the type of operation proposed. This evidence may be in the form of proof of formal purchases, leases, or contractual arrangements. These documents should provide evidence that the applicant is, in good faith, committed to making arrangement for aircraft, supporting facilities, and services as necessary for the proposed operation. Examples of the types of equipment, facilities, and services these documents, contracts, or leases should include the following:

- Aircraft;
- Station facilities and services;
- Weather and Notices to Airmen (NOTAM) gathering facilities and services;
- Communications facilities and service;
- Maintenance facilities and service;
- Aeronautical charts and related publications;
- Airport analysis and obstruction data; and
- Contract training or facilities.

F. Compliance Statement.

1) The purpose of the compliance statement is to ensure that the applicant adequately addresses applicable regulations during the certification process. The compliance statement must be in the form of a listing of all parts 91, 119, and 135 regulations by part, section, paragraph, subparagraph, etc., applicable to the applicant's proposed operation. Next to each regulation, the applicant must provide a specific reference to a manual or other document, and may provide a brief narrative description that describes how the applicant will comply with each regulation. This statement also serves as a master index to the applicant's manual system to expedite the FAA's review and approval of the operation and manual system. Update the compliance statement, which is a living document, as changes are made to the applicant's system. Find a sample compliance statement at <http://www.faa.gov/>.

NOTE: Make sure you inform the applicant that, regardless of the regulations or ICAO Standards listed on the compliance statement, a certificate holder is responsible for complying with all applicable regulations (e.g., 14 CFR parts 39, 43, and 91 and hazmat and security regulations, etc.).

2) Where the compliance information has been developed (for example, the manual material submitted with the formal application), a manual reference or description of the method of compliance must be entered next to the applicable regulatory section.

3) Present the list of the specific regulations and subparts, including all subparagraphs, in the manner prescribed in the two compliance statement examples below:

a) Section 135.244, Operating Experience:

1. GOM page 217, paragraph 237,
2. GOM page 218, paragraph 238,
3. GOM page 219, paragraph 240, and
4. Pilot crewmembers must acquire operating experience as follows:
 - GOM page 220, paragraph 241, Training Manual, page 25, and
 - GOM page 221, paragraph 242, Training Manual, page 26.

b) Section 135.65, Reporting Mechanical Irregularities. The GOM, page 37-5, paragraph 35, instructs the PIC on the requirements for, and methods of completing, the aircraft discrepancy log. The PIC is required to review the log before each flight and to ascertain the status of each previous entry.

2-349 CONCLUSION OF THE PREAPPLICATION MEETING. The certification team must ensure that the applicant understands that the formal application, with the previously described attachments, must be complete and acceptable or they will reject the entire formal application.

A. Applicant is Adequately Prepared. At the close of the preapplication meeting, the inspector should determine whether the applicant is prepared to proceed with the certification process. If it appears that the applicant understands the requirements of a formal application and will proceed to that phase, the inspector should encourage the applicant informally to coordinate required documents, as they are developed, with the certification team before formal submission.

B. Applicant is Not Prepared. If it is evident that the applicant is not adequately prepared to proceed with the certification process, the inspector should advise the applicant of the reasons for concern. When it is apparent that the applicant will not be able to prepare an adequate formal application, the inspector should advise the applicant to request another preapplication meeting after complete preparation on the applicant's part. It is appropriate for the inspector to recommend to the applicant one or more of the following actions:

- Further review of the certification process and all applicable guidance,
- A more thorough review of the applicable regulations,
- Changes in proposed key management personnel,
- Retain the services of a professional aviation consultant, and
- Cease efforts to become FAA-certificated.

2-350 TERMINATION OF THE PREAPPLICATION PROCESS. If, at any time during the preapplication phase, the applicant formally terminates all efforts toward certification, or the FSDO determines that the applicant will not proceed with the certification process, return the PASI to the applicant. The FSDO will notify the applicant in writing that this action terminates the preapplication process and that the applicant must submit a new PASI in order to initiate the certification process again. Notify the RFSD of any terminated certification project. The CHDO will notify AFS-620, and the precertification number will be put back into the centralized certificate number data file. The CHDO should ensure the accomplishment of the appropriate enhanced Vital Information Database (eVID) entries. Should the applicant again request to apply, paragraphs 2-344 and 2-345 reference the procedures to follow, and AFS-620 will assign a new precertification number.

Figure 2-11. Five Phases of Certification and Requirements of the Gate System for Part 135

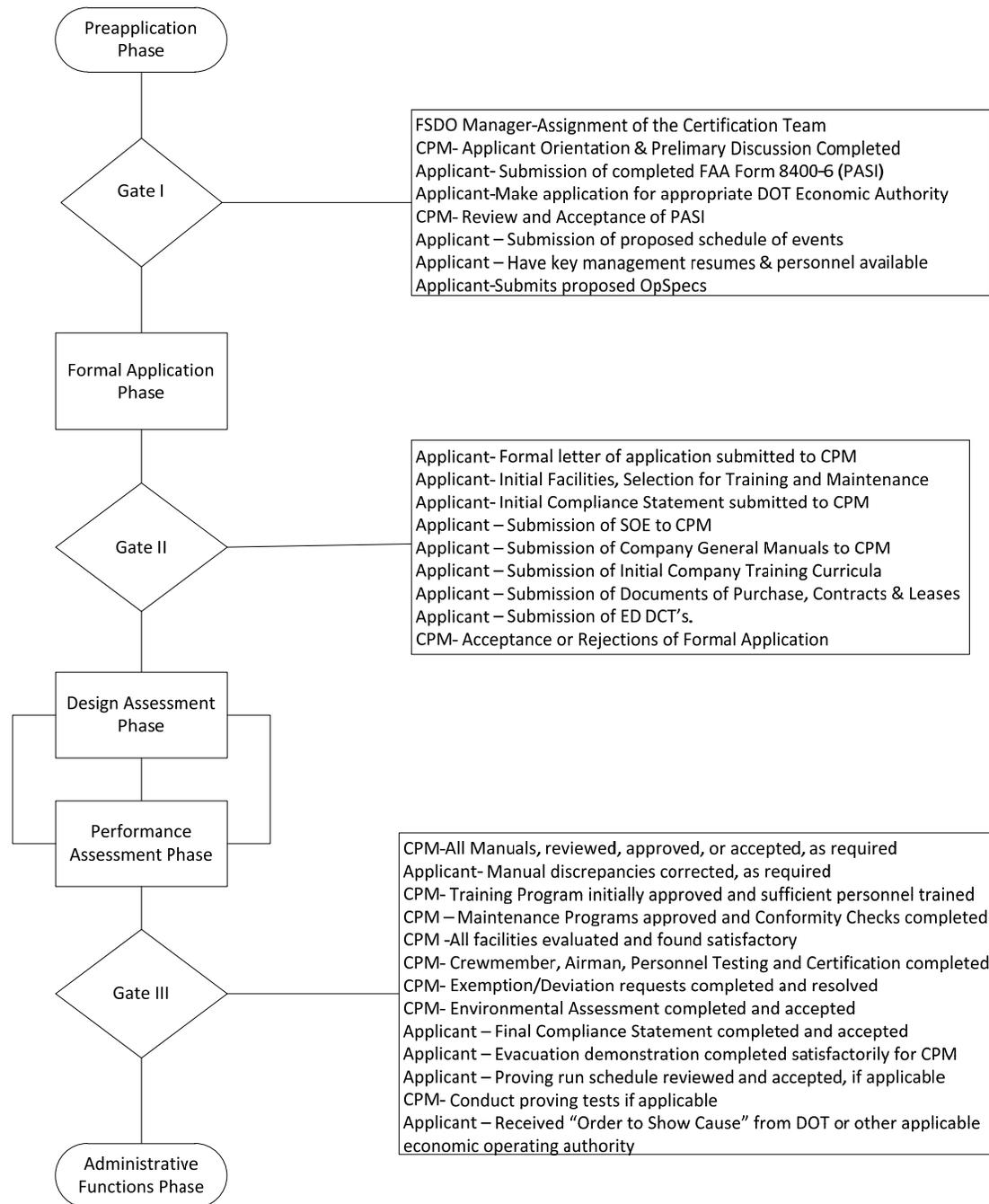


Figure 2-12. Part 135 Certification Job Aid and Schedule of Events

OFFICIAL NAME OF COMPANY		LOCATION ADDRESS			
MAILING ADDRESS (if different from location)		PRECERTIFICATION NO.			
PTRS CODE/ INPUT	I. PREAPPLICATION PHASE	DATE(S) RECEIVED	DATE(S) RETURNED FOR CHANGES	DATE ACCEPTED	INSP. INITIALS
	A. CONDUCT PREAPPLICATION MEETING				
	1. VERIFY PREAPPLICATION STATEMENT OF INTENT (PASI) INFORMATION				
	2. REVIEW 14 CFR PART 119 MANAGEMENT PERSONNEL RESUMES.				
	3. OVERVIEW OF CERTIFICATION PROCESS				
	4. PROVIDE GUIDANCE ON WHERE TO OBTAIN CERTIFICATION INFORMATION				
	a. Certification Job Aid				
	1. Voluntary Disclosure Reporting Program (VDRP) (as applicable)				
	2. Life vests and pyrotechnic signaling device. Title 14 of the Code of Federal Regulations (14 CFR) part 91, § 91.205(b)(12)				
	b. Schedule of Events (SOE)				
	c. Advisory Circular (AC) Checklist				

	d. Operations Specifications (OpSpecs) data sheet				
	e. Other Applicable Publications and Documents				
	5. EXPLAIN FORMAL APPLICATIONS SUBMISSIONS				
	<p>B. CERTIFICATION TEAM DESIGNATED (at least one operations, one maintenance, and one avionics inspector, cabin safety inspector (CSI) and dispatch inspectors are recommended)</p> <p>NAME</p> <p>SPECIALTY</p> <p>CERTIFICATION PROJECT MANAGER (CPM) _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>				
	<p>C. INITIAL ORIENTATION:</p> <p>Inspector _____</p> <p>_____</p>				
	1. PASI:				
	<p>a. Date Forwarded to Regional Office (RO)</p> <p>_____</p> <p>_____</p>				
	<p>b. Precertification Number</p> <p>_____</p> <p>_____</p>				
REMARKS:					

PTRS Code/ Input	II. FORMAL APPLICATION PHASE NOTE: In the Certificate Holder Operating Profile (CHOP), enter information provided by the applicant and update pre-populated fields as appropriate.	Date(s) Received	Date(s) Returned for Changes	Date Accepted	Insp. Initials
	A. REVIEW APPLICANT'S SUBMISSIONS 1. FORMAL APPLICATION LETTER				
	a. Full and Official Name (Legal)				
	b. Mailing Address				
	c. Primary Operating Location (Principal Operations Base)				
	d. Name and Address of Applicants Agent for Service				
	e. Key Management Personnel Names				
	2. FORMAL APPLICATION ATTACHMENTS				
	a. Schedule of Events				
	b. Initial Compliance Statement				
	c. Company General Manuals (Operations and Maintenance)				
	d. Training Curriculae, to include: <ul style="list-style-type: none"> • Basic Indoctrination • Crewmember Emergency Training • Crew Resource Management Training • Pilot—Ground & Flight Training to include: Initial, Upgrade, Transition, Differences & Recurrent, as applicable • Flight Attendant Ground Training to include: Initial, Transition & 				

	Recurrent, as applicable * • HAZMAT Training • Initial/Transition Check Pilot Training • Initial/Transition Flight Instructor Training • Security Training				
	e. Management qualification resumes				
	f. Documents of Purchase/Contract/Lease/Letters of Intent				
	Applicant completed ED DCTs				
	Proposed Ops Specs				
	B. EVALUATE FAA RESOURCE CAPABILITY BASED ON SCHEDULE OF EVENTS				
REMARKS:					
	C. FORMAL APPLICATION MEETING 1. SCHEDULE MEETING Date: _____ Time: _____ 2. DISCUSS EACH SUBMISSION 3. RESOLVE DISCREPANCIES/OPEN ITEMS 4. REVIEW CERTIFICATION PROCESS 5. REVIEW IMPACT IF SOE NOT MET				
	D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION				
REMARKS:					
	III. DESIGN ASSESSMENT PHASE				
	A. EVALUATE APPLICABLE TRAINING PROGRAMS* 1. TRAINING CURRICULAE				
	a. Basic Indoctrination				
	b. Crewmember Emergency Training				
	c. CRM				

	d. Pilot Initial Ground & Flight Training				
	e. Pilot Recurrent				
	f. Pilot Transition				
	g. Pilot Upgrade				
	h. Pilot Differences				
	i. F/A Initial				
	j. F/A Recurrent				
	k. F/A Transition				
	l. Security				
	m. Hazmat				
	n. Flight Instructor Initial				
	o. Flight Instructor Transition				
	p. Check Pilot Initial				
	q. Check Pilot Transition				
	r. Maintenance Personnel				
	B. EVALUATE MANAGEMENT QUALIFICATIONS				
	1. DIRECTOR OF OPERATIONS (Principal Owner/Principal Ops Official*)				
	2. CHIEF PILOT *				
	3. DIRECTOR OF MAINTENANCE*				
	4. REQUEST FOR DEVIATION LETTER(S) 14 CFR part 119, § 119.71(f)				
	C. EVALUATE APPLICABLE MANUALS NOTE: See 14 CFR part 135, § 135.23 for a detailed list of requirements				
	1. GENERAL OPERATIONS MANUAL				
	a. Management Persons Required Under § 119.69(a)				
	b. Applicable Operation Specification (OpSpec) Sections				
	c. Emergency Plan/Accident Notification				
	d. Pilot in Command (PIC) Knowledge of: Required Airworthiness Inspections, Reporting and Recording of Mechanical				

	Irregularities, Minimum Equipment List (MEL)/Logbook Knowledge and Out Station Maintenance/Serviceing				
	e. Procedures for the Release For, or Continuation of, Flight with Inoperable or Unserviceable Equipment				
	2. GENERAL MAINTENANCE MANUAL				
	3. FAA-APPROVED AIRCRAFT FLIGHT MANUAL				
	4. AIRCRAFT CHECKLISTS				
	a. Normal				
	b. Abnormal				
	c. Emergency				
	5. F/A MANUAL (as applicable)				
	6. DESTINATION AIRPORT ANALYSIS (as applicable) *				
	7. MEL				
	8. CONFIGURATION DEVIATION LIST (CDL) (as applicable)				
	9. MAINTENANCE TECHNICAL MANUALS (as applicable):				
	a. Airframe/Powerplant				
	b. Structural Repair				
	c. Parts Catalogue				
	d. Inspection Procedures				
	e. Manufacturer's or Vendor's Manual				
	f. Wiring Manual				
	g. Overhaul Manual				
	10. FUELING/REFUELING PROCEDURES				
	11. OPERATIONAL CONTROL				
	12. FLIGHT LOCATING				
	13. FLIGHT PLANNING				
	14. ICAO STANDARDS				
	15. WEIGHT AND BALANCE LIMITATIONS				
	16. HAZMAT RECOGNITION AND/OR ACCEPTANCE				
	17. SECURITY PROGRAM				
	18. CONTINUOUS AIRWORTHINESS MAINTENANCE PROGRAM (CAMP) (if applicable)				
REMARKS:					

	D. OTHER EVALUATIONS (as applicable) *				
	1. AIRCRAFT LEASE				
	2. MAINTENANCE CONTRACTS/AGREEMENTS				
	3. SERVICING CONTRACTS/AGREEMENTS				
	4. EXEMPTION/DEVIATION REQUESTS/ JUSTIFICATION				
	5. AIRCRAFT PROVING OR VALIDATION TEST PLAN (if applicable)				
	6. ENVIRONMENTAL ASSESSMENT				
	7. FINAL COMPLIANCE STATEMENT				
	8. INITIATE OPSPECS PREPARATION DATA SHEET				
	9. TRAINING CONTRACTS				
	10. DEICING/ANTI-ICING				
	11. EXIT ROW SEATING (20-30 SEAT ON-DEMAND OR COMMUTER 10 OR MORE SEATS)*				
	12. ANTIDRUG AND ALCOHOL MISUSE PREVENTION PROGRAM				
	13. Completed ED DCTs				
REMARKS:					
	IV. PERFORMANCE ASSESSMENT PHASE				
	A. EVALUATE APPLICANT CONDUCTING TRAINING				
	1. TRAINING FACILITIES				
	2. TRAINING SCHEDULES				

	3. FLIGHTCREW MEMBER TRAINING*				
	a. Basic Indoctrination				
	b. Emergency				
	c. CRM				
	d. Ground				
	e. Flight				
	4. CHECK PILOT/FLIGHT INSTRUCTOR				
	5. F/A TRAINING *				
	a. Basic Indoctrination				
	b. Emergency				
	c. CRM				
	d. Ground Training				
	6. HAZMAT				
	7. SECURITY TRAINING				
	8. MAINTENANCE TRAINING				
	a. Mechanics/Repairmen				
	b. Inspection Personnel				
	c. Ground Handling/Serviceing				
	9. Station Personnel				
REMARKS:					
	B. CREWMEMBER TESTING AND/OR CERTIFICATION				
	1. PILOTS				
	2. F/As *				
REMARKS:					
	C. AIRCRAFT CONFORMITY INSPECTION				
	D. MAIN OPERATIONS BASE				
	E. MAIN MAINTENANCE BASE				
	F. RECORDKEEPING:				
	1. Crewmember:				
	a. Training				
	b. Flight & Rest Times				

	c. Qualifications				
	G. MAINTENANCE:				
	1. Aircraft Records				
	2. Personnel Training				
	3. Personnel Duty Time Limitations				
	H. FLIGHT/TRIP RECORDS				
	I. EMERGENCY AND EMERGENCY EVACUATION DUTIES AND PROCEDURES				
	J. AIRCRAFT PROVING TEST(S) (as applicable)				
	K. VALIDATION TEST(S) (as applicable)				
	L. PROOF OF DEPARTMENT OF TRANSPORTATION ECONOMIC AUTHORITY (AIR CARRIERS ONLY)				
REMARKS:					
	V. ADMINISTRATIVE FUNCTIONS PHASE				
	A. APPROVE OPSPECS				
	B. PRESENT CERTIFICATE & OPSPECS TO CERTIFICATE HOLDER				
REMARKS:					
	C. PREPARE CERTIFICATION REPORT				
	1. ASSEMBLE REPORT				
	a. Preapplication Statement of Intent				
	b. Certification Job Aid				
	c. Formal Application Letter				
	d. SOE				
	e. Final Compliance Statement				
	f. Proving/Validation Test Evaluation Report				
	g. Copy of OpSpecs				
	h. Copy of Certificate				

	i. Summary of Difficulties				
	j. Suggestions to Improve Certification Process				
	2. DISTRIBUTE REPORT				
REMARKS:					
	D. DEVELOP POST CERTIFICATION SURVEILLANCE PROGRAM				
	1. WITHIN GEOGRAPHICAL AREA				
	2. OUTSIDE GEOGRAPHICAL AREA				
REMARKS:					
*—Denotes processes/steps that may not be required of single pilot, single PIC, or basic part 135 operators					

Figure 2-13. Part 135 Certification Job Aid for Cabin Safety

CABIN SAFETY INSPECTOR (CSI): _____	PRECERTIFICATION NO. : _____	
I. PREAPPLICATION PHASE		
A. Attend Preapplication Meeting (Applicant's Representative Responsible for the Flight Attendant (F/A) and Cabin Safety Material) NAME: _____		
B. Inform the Applicant About How to Obtain the Following:		
1. The current edition of Advisory Circular (AC) 121-24, Passenger Safety Information Briefing & Briefing Cards 14 CFR Part 135, § 135.117)		
2. Exit Seating (if applicable) (14 CFR § 135.129)		
3. F/A/Cabin Safety Sections (Volume 3, Chapters 23, 32, and 33)		
4. Preparation of F/A Manual (Volume 3, Chapter 32, Section 13)		
5. F/A Training (Volume 3, Chapter 23, Section 2)		
6. Title 14 CFR Part 382		
7. Title 14 CFR Part 252		
II. FORMAL APPLICATION PHASE		
	Date(s) Received	Dates Accepted
A. Formal Application Attachments, to Include:		
1. F/A Training Programs, to Include Initial, Transition & Recurrent (as applicable)		
2. F/A Manual		
3. Applicable Crewmember Recordkeeping Documentation		
4. Exit Seat Program		
5. Passenger Briefing Cards		
6. Compliance Statements (Cabin Safety Related)		
7. Schedule of Events (Cabin Safety Related)		
III. DESIGN ASSESSMENT (DA) PHASE		
A. Evaluate Applicable Manuals		
1. F/A Manual		
2. F/A Training Manual		
3. Security Program		
4. Hazardous Materials (hazmat) Training Program (14 CFR part 135, Subpart K)		
5. Passenger Briefing Cards (as applicable)		
B. OTHER EVALUATIONS (as applicable)		
1. Exit Row Seating (20-30 Seat On-Demand or Commuter 10 or More Seats)		
2. Emergency and Emergency Evacuation Duties and Procedures		
3. Training Contracts (as applicable)		
4. Proving and Validation Tests (as applicable)		
IV. PERFORMANCE ASSESSMENT (PA) PHASE		
A. Evaluate Applicant Conducting Training		
1. F/A Training Facilities		

2. F/A Training Schedules		
3. F/A Training, to Include: Basic Indoctrination, Ground, Crew Resource Management (CRM), Hazmat, Emergency & Security		
4. Recordkeeping, to Include: Training, Currency & Flight/Rest Times		
5. Proving and Validation Tests (as applicable)		
V. CERTIFICATION PHASE		
A. Coordinate with Other Principal Inspectors (PI) to Issue Operation Specifications (OpSpecs)		

RESERVED. Paragraphs 2-351 through 2-365.