VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135

Section 4 Safety Assurance System: Phase 4—Performance Assessment (SAS Business Process Modules 2, 3, & 4)

2-416   GENERAL. In this phase, the certification team determines that the applicant's proposed procedures and programs for training and directing personnel in the performance of their duties are effective. In this phase, the emphasis is on compliance with regulations and safe operating practices. As previously mentioned, certain segments of the Design Assessment (DA) phase often occur simultaneously with certain events in the Performance Assessment (PA) phase. For example, inspectors may be observing pilot training at the applicant's facilities (PA phase) while other certification team members are approving and/or accepting maintenance manuals in the district office (DA phase).

2-417   PLAN FOR REVIEW (MODULE 2). The plan for review should ensure that each of the required events list below, to be performed by the applicant, will be evaluated utilizing Element Performance (EP) Data Collection Tools (DCT) or Custom (C) DCTs. Ensure that the Comprehensive Assessment Plan (CAP) has been developed to complete all elements. Principal inspector (PI) instructions for each PA will include at least the following: "Name of Inspector" conducting the inspection and indicate "team member"; proposed completion date; the "National/Local/Field" block should read "Initial Cert.".

2-418   OBSERVATIONS AND MONITORING OF EVENTS. Through observation and other forms of onsite evaluation during the PA phase, members of the certificating team observe and monitor many types of applicant activities. The manner in which the applicant is to be evaluated while conducting different segments of this phase is outlined in various sections of this handbook. Refer to the certification job aid for specific handbook references for each activity or event. The following list of activities or events is representative of events that occur in the PA phase. This list is not all-inclusive, and certain items may not be applicable to a particular type of operator:

- Conduct of training programs including emergency drills and demonstrations (classroom, flight simulators, and aircraft training);
- Crewmember testing and certification (pilots and flight attendants (F/A), as applicable);
- Station facilities (equipment, procedures, and personnel);
- Recordkeeping procedures (documentation of training, flight and duty times, and flight papers);
- Operational control;
- Flight locating capabilities;
- Flight planning procedures;
- International Civil Aviation Organization (ICAO) Standards (as applicable);
- Approved maintenance program procedures;

- Maintenance activities (facilities, personnel, technical information, and spare parts);
- Aircraft (conformity inspection and aircraft maintenance records);
- Minimum equipment lists (MEL) and Configuration Deviation Lists (CDL) (compliance with Federal Aviation Administration (FAA)-approved operations manual/flight manual (fm) maintenance procedures, if applicable);
- Weight and Balance (W&B) control (if applicable) (procedures, accuracy, document control); and
- Aircraft proving and validation tests (ability of applicant to operate independently, safely, and in compliance with the applicable regulations). See Volume 3, Chapter 29.

2-419   RESOURCE MANAGEMENT (MODULE 3). The certification project manager (CPM) will provide input to the Front Line Managers (FLM) to help them identify team resources to complete each EP DCT or C DCT if applicable. The FLMs will determine resource availability and assign team members to support the plan. The FLM will concur with the CAP plan.

2-420   DATA COLLECTION (MODULE 4A). The Certification Project Team (CPT) will verify the performance of the events using the applicable EP DCTs and C DCTs. The CPT will collect and analyze the data by conducting a meeting analyzing the data.

2-421   DATA REPORTING (MODULE 4B). Each team member will then enter their responses into the Safety Assurance System (SAS). Enter Initial Cert." in the "Local/Regional/National" field on the "Common Data" screen. Save data by clicking "Submit".

> NOTE: If an inspector observes any finding(s) not related to their assigned element or he or she cannot capture it in their assigned element, document the finding(s) in a Dynamic Observation Report (DOR) and notify the inspector(s) working that element. If the inspector's review reveals deficiencies in the applicant's submissions, the CPM should negotiate resolution of the deficiencies. The certification team should remember that it is the applicant's responsibility to develop manuals and procedures that ensure safe operating practices and compliance with the rules.

2-422   DATA REVIEW (MODULE 4C). The data reviewer will ensure that data meets the data quality guidelines (DQGs) and submits to SAS.

2-423   ANALYSIS AND ASSESSMENT (MODULE 5A). Along with the identified members of the CPT, the CPM conducts an Element Design Assessment (EDA) meeting to analyze the data collected while completing the Element Design Data Collection Tool (ED DCT). The CPM will make a bottom-line assessment and document it in the Analysis, Assessment, and Action (AAA).

2-424   ACTION (MODULE 5B). Follow the Module 5 business process to determine the appropriate course of action for each element

RESERVED. Paragraphs 2-425 through 2-435.