

VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135

Section 5 Safety Assurance System: Phase 5—Administrative Functions

2-436 GENERAL. Issue the certificate and the approved operations specifications (OpSpecs) to the applicant after correcting all significant unsatisfactory items. This action completes the certification process. The Federal Aviation Administration (FAA) will not, under any circumstances, certificate an applicant until the certification project manager (CPM) determines that the applicant is fully capable of fulfilling his/her responsibilities as charged by Title 49 of the United States Code (49 U.S.C.) (formerly the Federal Aviation Act of 1958 (FA Act)) and that the applicant will comply with Title 14 of the Code of Federal Regulations (14 CFR) in an appropriate manner.

2-437 PREPARATION OF FAA CERTIFICATES. See Volume 2, Chapter 1, Section 4, Preparation of FAA Operating Certificates.

2-438 ISSUANCE OF OPSPECS AND A CERTIFICATE.

A. Regulatory Requirements Met. After determining that the applicant has met all regulatory requirements, the applicant receives the appropriate certificate and OpSpecs. Prepare the OpSpecs in accordance with the procedures described in Volume 3, Chapter 18, Operations Specifications.

B. Department of Transportation (DOT) Economic Authority. An applicant for an Air Carrier Certificate will not, for any reason, receive OpSpecs or a certificate until the applicant presents a copy of his/her DOT economic authority (a certificate, commuter air carrier authorization, or FAA Form 4507, Air Taxi Operator and Commuter Air Carrier Registration and Amendments Under Part 298 of the Regulations of the Department of Transportation) to the CPM. The FAA does not require an applicant for an Operating Certificate, engaged in intrastate common carriage, to have DOT economic authority or submit any financial statement as a condition of certification.

C. Signatures. Before issuing the OpSpecs, the applicant and the appropriate principal inspectors (PI) will sign it. Please see Volume 3, Chapter 18, Section 2, for more information on digital signatures and delegation procedures. The new certificate holder will then receive the original certificate and OpSpecs.

2-439 CERTIFICATION REPORT.

A. Composition. When the new operator receives certification, the CPM is responsible for assembling a certification report. The CPM must sign the report, which includes the name and title of each team member who assisted in the certification project. During the business life of the operator, maintain the report in the permanent file relating to the new operator. The report will consist of the following eight documents:

- Preapplication Statement of Intent (PASI);
- Certification Job Aid and Schedule of Events (SOE);
- The formal application letter;
- The compliance statement;
- Proving/Validation Test Evaluation Report;
- A copy of the OpSpecs issued;
- A copy of the issued certificate; and
- A summary of major difficulties experienced during the certification process and/or any recommendations noted by phase and specialty that may enhance the process.

B. Summary Format. Enter this summary into the Program Tracking and Reporting Subsystem (PTRS) in chronological order and maintain it in the archival records. To standardize the following format for summaries of major difficulties and/or recommendations, arrange as follows:

1) Phase 1—Preapplication (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.

2) Phase 2—Formal Application (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.

3) Phase 3—Design Assessment (DA) (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.

4) Phase 4—Performance Assessment (PA) (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.

2-440 CERTIFICATION REPORT RETENTION. The district office will retain the original of the certification report in the operator file as long as the certificate holder remains active.

Figure 2-6. FAA Form 8430-18, Air Carrier Operating Certificate

U.S. Department
of Transportation

**Federal Aviation
Administration**

Air Carrier Certificate

This certifies that

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed thereunder for the issuance of this certificate and is hereby authorized to operate as an Air Carrier and conduct common carriage operations in accordance with said Act and the rules, regulations, and standards prescribed thereunder and the terms, conditions, and limitations contained in the approved operations specifications.

This certificate is not transferable and, unless sooner surrendered, suspended, or revoked, shall continue in effect indefinitely.

By Direction of the Administrator

Certificate Number _____	_____
	<i>(Signature)</i>
Effective Date _____	_____
	<i>(Title)</i>
Issued At _____	_____
	<i>(Region/Office)</i>

Figure 2-7. FAA Form 8430-21, Operating Certificate for Intrastate Common Carriage



U.S. Department
of Transportation

**Federal Aviation
Administration**

OPERATING CERTIFICATE

This certifies that

(Enter Intrastate Common Carriage Company Name)
(Enter Address of Principal Base of Operations)

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 hereby authorized to operate as an Air Operator and conduct

Intrastate Common Carriage Operations

in accordance with said Act and the rules, regulations, and standards; *and the terms, conditions, and limitations contained in the approved operations specifications.*

This certificate is not transferable and, unless canceled, suspended, superceded, or revoked, shall continue in effect *indefinitely.*

By Direction of the Administrator

Certificate Number _____ _____
(Signature)

Effective Date _____ _____
(Title)

Issued At _____

FAA Form 8430-21

Figure 2-8. FAA Form 8430-21, Operating Certificate for Private Carriage


 U.S. Department
 of Transportation
**Federal Aviation
 Administration**

OPERATING CERTIFICATE

This certifies that

(Enter Private Carriage Company Name)
 (Enter Address of Principal Base of Operations)

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 hereby authorized to operate as an Air Operator and conduct

Private Carriage Operations

in accordance with said Act and the rules, regulations, and standards; *and the terms, conditions, and limitations contained in the approved operations specifications.*

This certificate is not transferable and, unless canceled, suspended, superceded, or revoked, shall continue in effect *indefinitely.*

By Direction of the Administrator

Certificate Number _____ _____ (Signature)
 Effective Date _____ _____ (Title)
 Issued At _____

FAA Form 8430-21

RESERVED. Paragraphs 2-441 through 2-455.