

**VOLUME 10 SAFETY ASSURANCE SYSTEM POLICY AND PROCEDURES****CHAPTER 11 MAJOR CHANGES IN OPERATIONAL AUTHORITY****Section 1 Safety Assurance System: Major Changes Process Document—General Information**

**10-11-1-1 GENERAL.** This section outlines the process for managing a certificate holder's change of operations that requires validation tests and/or proving tests. When a certificate holder adds a new make/model of aircraft, the Flight Standards National Field Office's (FSNFO) (AFS-900) participation/assistance is optional.

**A. Purpose.** This chapter provides detailed guidance for a certificate-holder-requested change of operations that require validation tests and/or proving tests to a certificate holder operating under Title 14 of the Code of Federal Regulations (14 CFR) part 121. See Volume 3, Chapter 29 for information on when to use this process (e.g., additional authority under the same part, or to include adding a new make/model of aircraft). If you are a participant in a major change in operational authority, this section applies to you.

**B. Scope.** The certificate-holding district office (CHDO) team leader (TL) is the point of contact (POC); he or she works closely with the principal inspectors (PI) to ensure continuity between the certificate holder and the change in operational authority. Participants in a major change in operational authority must refer to this process to determine if a certificate holder meets the requirements of the change in operational authority.

**10-11-1-3 RESERVED.**

**10-11-1-5 BACKGROUND.** This section provides participants in a major change in operational authority information about the process the Federal Aviation Administration (FAA) use when we receive a request for a change to a certificate holder's operation.

**A. Initial Inquiries or Requests.** When a CHDO receives a request for a change to a certificate holder's operation, the CHDO manager first determines if the change requires validation and/or proving tests. If the project involves validation and/or proving tests, the CHDO must see the Major Change Process Document (MCPD) in Volume 10, Chapter 11, Section 2. During this process, the CHDO forms a Certification Project Team (CPT).

**B. AFS-900 Notification.** The FAA recommends notification/involvement of AFS-900's Certification and Evaluation Program Office, which may participate in adding a new make/model aircraft. AFS-900's participation/assistance is optional when adding a new make/model aircraft. To request AFS-900 participation, the CHDO manager notifies AFS-900 via email at: AFS-900-Management-Team@faa.gov. This notification must include the following minimum information:

- The name of the certificate holder,
- The location of the certificate holder's principal base of operations,
- The kind of operational change,

- The airplane type, and
- The proposed date for implementation.

### C. MCPD.

**1) Background.** The MCPD provides work instructions for the process and is useful to the CPT and certificate holder. The MCPD replaces Notice 8900.23, New Aircraft Process Document, which expired on October 1, 2008.

**2) Process.** This process should be limited to the size and scope of the requested change. Responsibility of an MCPD project remains at the CHDO level. The CHDO TL is the POC and works closely with the PIs to ensure continuity between the existing certificate and the proposed change. Under no circumstances must any project activity compromise the safety posture of existing certificate management functions. This document identifies the person responsible for each action in the process. Every project is unique. The MCPD has five phases, which separate this process into related activities supporting specific functions. Each phase has a set of requirements that the participants must complete before beginning the next phase. Participants may accomplish steps within each phase concurrently.

NOTE: MCPD tasks for an AFS-900 Certification Team Leader (CTL) are required only when the process includes AFS-900 at the request of the CHDO manager.

**3) Phase 1—Initial Inquiry.** The operator initiates the application process by providing a request for a change of operation to the CHDO. The CHDO then briefs the operator in the MCPD process. The operator's request must be in the form of a letter, which must include supporting documents as listed in Figure 10-11-1A, Required Document List (RDL).

**4) Phase 2—Application.** The CPT reviews the operator's submissions for completeness and accuracy. This phase may provide for planning and coordination with AFS-900, as applicable. Phase 2 ends when the CPT accepts the application.

NOTE: In Phase 2, the TL may modify the MCPD by changing, adding, or deleting steps as necessary to suit the individual project. A consensus of the PIs determines acceptance of all changes to the process document. Do not modify steps related to 14 CFR regulations and FAA orders.

**5) Phase 3—Element Design Assessment (EDA).** The CPT evaluates the revised system design using Element Design Data Collection Tools (ED DCT) to assure compliance with regulations and safety standards, including the obligation to provide service at the highest level of safety in the public interest. This phase uses Safety Assurance System (SAS) Data Collection Tools (DCT) to collect data that FAA aviation safety inspectors (ASI) use to determine if the certificate holder's system design meets all regulatory requirements. Phase 3 does not require the operation of an aircraft. Phase 3 ends when the assigned PI accepts or approves all revised manuals.

**6) Phase 4—Element Performance Assessment (EPA).** The CPT evaluates the performance using Element Performance Data Collection Tools (EP DCT) to determine if the applicant’s revised systems are performing as intended and producing the desired results. This phase requires the operation of an aircraft to aid in the assessment of the applicant’s system design. Phase 4 ends after the successful completion of the validation and/or proving tests.

**7) Phase 5—Administrative Functions.** This phase provides for completion of all administrative functions (e.g., approval or acceptance of revised system documentation and issuance of operations specifications (OpSpecs)).

**10-11-1-7 through 10-11-1-13 RESERVED.**

**10-11-1-15 JOB AIDS.**

**Figure 10-11-1A. Required Document List (RDL)**

Event Description		
Event Description	Verified by:	Date
Certificate Holder Name		
Review Major Change Process Document (MCPD)		
Documentation Required at Initial Application Meeting		
Document/Manual	Verified by:	Date
Application Letter—Request for amendment to its operations specifications (OpSpecs). Must meet requirements of Title 14 of the Code of Federal Regulations (14 CFR) part 119, § 119.51.		
Application Meeting		
Office of the Secretary of Transportation (OST) economic authority (if required).		
List of proposed OpSpecs paragraphs.		
Deviation and/or exemption requests.		
Schedule of Events (SOE). <sup>1</sup>		
Element Design Data Collection Tools (ED DCT) self-audit (as applicable). <sup>5</sup>		
Compliance statement (14 CFR part 121, § 121.135(b)(3)).		
Company manuals and programs. <sup>2, 7</sup>		
Initial Cadre Check Airman (ICCA) training plan.		

Outsourcing contractual agreements. <sup>6</sup>		
Aircraft lease agreement or proof of ownership. <sup>3</sup>		
Aircraft document request list (see Aircraft Configuration Control Document (ACCD) in Volume 10, Chapter 9, Section 1).		
Facility agreements (as required).		
Aircraft information form (see ACCD).		
List of Passenger Accommodations (LOPA). <sup>4</sup>		
Status of security program (as applicable).		
Environmental assessment information (as applicable).		
Status of hazardous materials (hazmat) procedures manual and training program (as applicable).		

**Required Document List (RDL) Instructions**

1. Indicate in the application letter whether the RDL and SOE are original or if they contain update.
2. Submit all manuals/programs necessary to conduct daily operations. This includes computer software programs users’ manuals, engineering and program substantiation documents that support or justify the manual system, or a program design to include user manuals for dispatch programs and flight planning programs (e.g., Weight and Balance (W&B) programs; aircraft modifications; or aircraft manufacturer’s maintenance, flight, operating, and performance manuals).

NOTE Ensure there is a method to separate real-time (current) manuals from project manuals.

3. Include as part of the formal application letter each lease agreement, letter of intent, or proof of ownership of an aircraft for the principal inspector (PI) to enter into the OpSpecs. (A lease agreement or proof of ownership of an aircraft is a Phase 2 requirement.)
4. Include an engineering diagram of the aircraft cabin interior (LOPA) that includes but is not limited to locations of passenger and flight attendant (F/A) seats, emergency equipment, exits, lavatories, and galleys. A LOPA may not be required if applying for an all-cargo operation. Documentation must be available for aircraft converted to all-cargo Supplemental Type Certification (STC).
5. Submit completed self-audited ED DCTs, if applicable, to the intended operation. All questions must be answered “Yes,” “No,” or “N/A.” Provide explanations for “No” and “N/A” responses. For every “Yes” response, provide reference to the manual(s), volume number(s), chapter number(s), and paragraph(s) in the company manual system or location where the relevant information is located. Provide manual references in the “References” section of the ED DCT.

NOTE The completed ED DCT version must be current within 90 days of the first submission.

6. Include in the application package all new contractual agreements for outsourcing (maintenance, training, operations, etc.).
7. Include all manuals and programs required by part 121 as part of the application meeting package. Identify each manual and program submitted by using the same naming or numbering convention used to develop the manual and program.

**10-11-1-17 through 10-11-1-29 RESERVED.**