

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION**CHAPTER 21 THE ADVANCED QUALIFICATION PROGRAM****Section 1 Safety Assurance System: Scope, Concepts, and Definitions**

3-1496 ADVANCED QUALIFICATION PROGRAM (AQP) OVERVIEW. In response to the recommendations from a Joint Aviation Task Force and from the National Transportation Safety Board (NTSB), the Federal Aviation Administration (FAA) on October 2, 1990 published Special Federal Aviation Regulation (SFAR) 58, Advanced Qualification Program. The FAA on October 2, 2005 incorporated SFAR 58 into Title 14 of the Code of Federal Regulations (14 CFR) part 121 as a permanent subpart (Y). Under part 121 subpart Y, certificated air carriers, as well as the training centers they employ, are provided with a regulatory alternative for training, evaluating, qualifying, and certifying pilots, Flight Engineers (FE), flight attendants (F/A), aircraft dispatchers, instructors, evaluators, and other operations personnel subject to the provisions of part 121 and 14 CFR part 135. The capabilities and use of full flight simulators (FFS) and other computer-based training (CBT) devices in training and qualification activities have changed dramatically, as has our knowledge of the role of Crew Resource Management (CRM) issues involving fatal accidents. Part 121 subpart Y allows certificate holders to develop innovative training and qualification programs that incorporate the most recent advances in training methods and techniques. It also requires participants to validate the training program empirically through continuing data collection and analysis. This section is related to Safety Assurance System (SAS) Element 2.1.6 (OP), Advanced Qualification Program (AQP).

A. Safety Enhancement. Although AQP is a voluntary program, the Flight Standards Service (AFS) encourages air carriers to participate. The AQP methodology directly supports the FAA's goals for safety enhancement. AQP provides for enhanced curriculum development and a data-driven approach to quality assurance (QA) along with the flexibility to target critical tasks during training. AQP aligns very well with a systems safety approach for training development, implementation, quality oversight, and surveillance. The AFS envisions data obtained from an AQP curriculum(s) in conjunction with information sharing from the flight operations quality assurance (FOQA) program and the Aviation Safety Action Program (ASAP), can provide AFS personnel with information that will enhance oversight capability, capacity, and improve operational safety.

B. AQP Methodology. The AQP is designed to provide a systematic methodology for developing the content of training programs for air carrier crewmembers and dispatchers. It replaces programmed hours with proficiency-based training and evaluation, integrating CRM, derived from a detailed Job Task Analysis (JTA). AQP incorporates data-driven quality control (QC) processes for validating and maintaining the effectiveness of curriculum content. The AQP encourages innovation in the methods and technology that are used during instruction and evaluation, and efficient management of training systems.

C. Technical and CRM Skills. It is a common misconception that the AQP targets only CRM skills. Although AQP participants must integrate CRM throughout the curriculum and CRM is indeed important to a complete training program, it is not the only important factor in AQP training. While analysis of commercial accidents indicates that deficiencies in CRM skills

have been a significant contributor to mishaps, skill-based errors are associated with a large percentage of aviation accidents. Nearly 60 percent of all accidents involving scheduled air carriers have involved at least one skill-based error. AQP combines technical and CRM skills in training and evaluation in order to achieve proficiency in the entire range of skills required for safe operations.

D. Other Voluntary Programs. Existing and future voluntary systems will be an integral part of FAA safety oversight activities. An increasing number of AQP participants have begun to implement programs that enable proactive corrective action to reduce the likelihood of accidents. Most AQP participants are using other voluntary data-driven programs (e.g., the FOQA program, the ASAP, and the Line Operations Safety Audit (LOSA) program) to feed information into the AQP in order to better identify training needs, improve training practices, or to simply validate assumptions. FOQA, ASAP, and LOSA information can also help in the design of AQP scenarios that focus on real-world operations.

E. Regulatory Flexibility. Since its release in 1990, AQP has provided the regulatory flexibility for participants to modernize and innovate training content and methods. AQP participants have pioneered instructor, check pilot, and check FE training, the use of flight simulation training devices (FSTD), distance learning methods, computerized testing, training strategies based on the mission – international versus domestic, the use of pilot demographic information, training intervals based on performance, the use of data-derived training decisions, the integration of other safety feedback programs into training, and fostering a strong relationship between the FAA, industry, and labor.

NOTE: Confusion sometimes arises concerning the relationship between policy guidance and the regulations. Inspectors and operators must bear in mind that Public Laws and regulations—including exemptions—comprise the body of requirements that cannot be changed by policy. Policy guidance documents, such as advisory circulars (AC), handbooks, and bulletins to the handbooks, are always subordinate to those requirements. Such policy documents may provide guidance on one means, but not necessarily the only means, acceptable to the FAA of achieving compliance with a regulatory requirement, or they may provide guidance on implementing programs for which there is no underlying regulatory requirement, such as ASAP.

NOTE: AQP, by part 121, §§ 121.903(b) and 121.909(b)(4), allows participants to depart from traditional practices with respect to what, how, when, and where training, evaluation, and certification is conducted. An applicant may propose to replace certain requirements of 14 CFR part 61, 63, 65, 121, or 135 with an AQP curriculum. An AQP may also employ alternatives to the practical test requirements. This is subject to FAA approval of the specific content of each proposed program. Policy established by this section defines the limits and obligations of the proposed alternatives.

1) Goal. The primary goal of AQP is to achieve the highest possible standard of individual and crew performance. In order to achieve this goal, AQP seeks to reduce the probability of crew-related errors by aligning training and evaluation requirements more closely

with the known causes of human error. Accidents are typically caused by a chain of errors that build up over the course of a flight that, if undetected or unmitigated, results in a final, fatal error. Singular maneuver-based evaluation artificially segments simulation events, preventing the realistic buildup of the error chain. The AQP development process will integrate CRM skills, systems knowledge, and flying skills in ground, flight training, validations, and evaluation modules. Traditionally, training programs have focused primarily on individual training and evaluation. Under AQP, the focus is on individual and crew performance during training and evaluation. An AQP evaluation is scenario-based, allowing the error chain to progress to a logical conclusion. It extends this concept from Line-Oriented Flight Training (LOFT) and Special Purpose Operational Training (SPOT) to Line Operational Evaluation (LOE). This approach allows both technical and cognitive skills to be tested together in a crew-oriented setting.

2) Equivalent Level of Safety (§ 121.909(b)(4) and (e)). AQP was also established to permit a greater degree of regulatory flexibility in the approval of innovative training programs. Based on a documented analysis of operational requirements, a certificate holder under AQP may propose to depart from traditional practices with respect to what, how, when, and where training, evaluation and certification is conducted. An applicant may propose to replace certain requirements of part 61, 63, 65, 121, or 135 with an AQP curriculum. An AQP may also employ alternatives to the practical test requirements. This is subject to FAA approval of the specific content of each proposed program. Part 121 subpart Y requires that all departures from traditional regulatory requirements be documented and based upon an approved continuing QA and data analysis process sufficient to establish at least an equivalent level of safety. To determine an equivalent level of safety, an airline's AQP must be examined as a comprehensive whole rather than considering any one component in isolation.

3) Process. Under an AQP, the FAA monitors the process as well as the product. Instead of basing curriculums on prescribed generic maneuvers, procedures, and knowledge items, AQP curriculums are based on a detailed analysis of the specific job tasks, knowledge, and skill requirements of each duty position of the individual airline. The AQP process provides a systematic basis for establishing an audit trail between training requirements and training methodologies.

4) Systematic Basis. AQPs are systematically developed, continuously maintained, and empirically validated, proficiency-based training systems. They allow for the systematic analysis, design, development, implementation, progressive evaluation, and maintenance of training programs that include integrated resource management, improved instructor/evaluator training and standardization, scenario-based evaluation, and a comprehensive data-driven QA system. AQP provides a systematic basis for matching technology to training requirements and for approving a training program with the content based on relevance to operational performance.

5) Requirements. To ensure that the AQP does establish an initial justification and a continuing process to show an equivalent level of safety, mandatory requirements have been established. AQP participants will:

- a) Comply with all aspects of the approved AQP.
- b) Continue the use of the approved processes for development, implementation, and maintenance of program operations throughout the life of the program.
- c) Document the requirements of the practical test standards (PTS) and part 61, 63, 65, 121, or 135, as applicable, which would be replaced by an AQP curriculum.
- d) Comply with each applicable requirement of the PTS and part 61, 63, 65, 121, or 135 that is not specifically documented in the AQP.
- e) Provide satisfactory justification that the proficiency-based qualification of personnel under AQP meets or exceeds existing part 121 and/or part 135 standards.
- f) Establish an initial justification and a continuing process to show how the AQP curriculum provides an equivalent or better level of safety for each requirement to be replaced.
- g) Include all flightcrew member positions, instructors, and evaluators, and may include other positions, such as F/As, aircraft dispatchers, and other operations personnel.
- h) Base curriculums on an instructional systems development methodology. This methodology must incorporate a thorough analysis of the certificate holder's operations, aircraft, line environment, and job functions.
- i) May build upon an existing training program or be completely new.
- j) Any training or evaluation that is satisfactorily completed in the calendar-month before or the calendar-month after the calendar-month in which it is due is considered to have been completed in the calendar-month it was due.
- k) Accommodate make, model, and series (M/M/S) aircraft (or variant).
- l) Provide three basic types of curriculums for every duty position: indoctrination (for new hires, new instructors, and new evaluators), qualification, and continuing qualification. Specialty curriculums (transition, upgrade, requalification, refresher, etc.) will be derivatives of the basic types.
- m) Integrate the training and evaluation of technical and CRM/dispatch resource management (DRM) knowledge and skills.
- n) Develop a list of, and text describing, the knowledge requirements, subject materials, job skills, and qualification standards of each task to be trained and evaluated.
- o) Develop a list of, and text describing, Supervised Operating Experience (SOE), evaluation/remediation strategies, provisions for special tracking, and how recency of experience requirements will be accomplished.

p) Include planned (not programmed) hours for ground training, flight training, evaluation, and Operating Experience (OE).

q) Include line operational training (e.g., full crew Line-Operational Simulation (LOS)).

r) Use LOE or an equivalent evaluation under an AQP acceptable to the FAA for proficiency evaluations.

s) Integrate appropriate advanced flight training equipment. Flight training devices (FTD) and FFS will be used to support scenario-based training as appropriate.

t) Develop data collection and analysis processes in order to obtain performance information on crewmembers, dispatchers, instructors, evaluators, and other operations personnel that will enable the certificate holder and the FAA to determine whether the form and content of training and evaluation activities are satisfactorily accomplishing the overall objectives of the curriculum.

u) Provide a Master AQP Transition Schedule (MATS) that provides a plan to transition from a traditional program to an AQP. In addition, the MATS should include a plan on how the applicant would return to a traditional program if that becomes necessary or desirable at some later date.

v) Develop and implement their AQP in five sequential phases:

- Phase One—Initial Application.
- Phase Two—Curriculum Development.
- Phase Three—Training System Implementation.
- Phase Four—Initial Operations (Initial Approval).
- Phase Five—Continuing Operation (Final Approval).

3-1497 UNIQUE CHARACTERISTICS OF AN AQP.

A. Extended Review Team (ERT). The review and surveillance of an AQP prior to final approval is equivalent to a recertification of the applicant's training program. Historically, the FAA has provided regulatory flexibility through an exemption/deviation or through operations specifications (OpSpecs). Unfortunately, in many instances the principal inspector (PI) is excluded from the exemption review process. The AQP process includes the PI in all decisions and provides for a data-driven validation for all program revisions and modifications.

B. Components. The ERT combines the national program perspective and standardization with the expertise and insight of the field office. The Air Transportation Division (AFS-200) will provide assistance to the Flight Standards District Office (FSDO), certificate management office (CMO), or certificate management unit (CMU) from initial application through the final fleet approval as a collaborative effort. An accepted certificate holder AQP application will initiate the AFS-200/FSDO/CMO/CMU partnership. AFS-200 will provide

assistance during the development, implementation, and review as well as followup reviews for the certificate holder's AQP. AFS-200 and the FSDO/CMO/CMU will manage program approvals and revisions through an ERT process.

C. JTA and Qualification Standards (§ 121.907). Programmed hours are replaced by a proficiency-based curriculum. The JTA documents each major task and subtask, together with their associated knowledge and skills, to be addressed in an AQP curriculum. Proficiency requirements are embodied in applicant-developed qualification standards, which specify the performance, standards, and conditions to be employed for training and evaluation purposes. Qualification standards are derived from a JTA that is specific to an individual carrier's aircraft, operating environment, and trainee population.

D. Instructional Systems Development (§ 121.907). The use of the systematic Instructional Systems Development Methodology, known as Instructional Systems Development, must be incorporated into the AQP development process. Applicants may employ any of a wide range of current models or customize their own approaches to curriculum development. Applicants are encouraged to be creative in tailoring their own approach to their requirements, as long as the FAA deems them appropriate. Innovation and practical application may result in equally acceptable AQP. A document entitled "Applied ISD in AQP Development" is available from AFS-200. The minimal Instructional Systems Development requirements are:

- Develop a job task listing.
- Analyze that listing to determine essential skill and knowledge requirements (either directly or by reference).
- Determine which skill and knowledge requirements must be trained/tested.
- Develop qualification standards that define acceptable operational performance levels.
- Develop proficiency objectives that capture all training requirements.
- Develop tests that measure proficiency in skill and knowledge areas.
- Provide instructional programs that teach and test training requirements.
- Establish and maintain an audit trail of explicit links between task requirements, training requirements, training and evaluation activities, and evaluation results.
- Measure student performance against proficiency objectives and qualification standards for all curriculums.
- Revise the training program based on student performance levels on an ongoing basis. This data (stored in the Performance Proficiency Database (PPDB)) will be collected and reported to the FAA on a regular basis.

E. Integration of Resource Management (CRM/DRM) (§ 121.917(a)). Training of CRM/DRM skills is mandatory. Using the Instructional Systems Development process, CRM/DRM skills must be integrated into the ground and flight training segments. A means of evaluating the effectiveness of such training is also mandatory, but pass/fail standards are not required. Applicant-developed evaluation strategies must at least include provisions for assessing the extent to which poor CRM/DRM skills are a contributory factor in a failure to meet technical standards of operational performance in proficiency evaluations and line checks.

F. Data Reporting (§ 121.917(c)). Data collection and analysis are fundamental parts of AQP. Data collection and analysis processes must ensure that the certificate holder obtains performance information on its crewmembers, dispatchers, instructors, and evaluators that will enable the certificate holder and the FAA to determine whether the form and content of training and evaluation activities are satisfactorily accomplishing the overall objectives of the curriculum. AQP requires certificate holders to report data on performance in training and evaluation to AFS-200. This data must be submitted in a digital electronic format approved by AFS-200. All such data is de-identified. AQP data augments, but does not replace, the physical surveillance of certificate holder training and evaluation programs.

NOTE: AFS-200 uses de-identified data for program monitoring, not to monitor individual crewmembers, dispatchers, or other operations personnel.

G. Duration of Evaluation Periods and the Continuing Qualification Cycle (§ 121.915(a), (b), (d)). The time period during which all proficiency objectives are trained, validated, or evaluated is called a continuing qualification cycle. Initially, the continuing qualification cycle approved for an AQP must not exceed 24 calendar-months in duration, and must include two or more evaluation periods of equal duration. The FAA may approve extensions of the continuing qualification cycle and evaluation period upon demonstration that the extension is warranted. The maximum permissible duration of a continuing qualification cycle is 36 months. Extensions beyond the initial evaluation period and continuing qualification cycle permitted by AQP (12 and 24 months, respectively, plus or minus 1 month) will require strong justification. To obtain approval for an extension, a participant must show that individuals subject to the AQP are able to maintain their knowledge and skills under the already approved schedules and that a rational basis exists for believing that no loss of knowledge, skill, or ability would result from the extension. An extension shall be allowed to continue, or an additional extension shall be granted, only if a certificate holder's record and independent FAA evaluation show that the extension is appropriate as a means to maintain or increase the level of proficiency. This could occur, for example, if the applicant proposes to increase the number of training sessions per evaluation period.

3-1498 KEY CONCEPTS, SPECIAL TERMINOLOGY, AND DEFINITIONS.

A. First Look Maneuvers (§ 121.907). "First Look" maneuvers are applicable only to the continuing qualification curriculum. First Look maneuvers are those maneuvers that are identified as likely to be sensitive to loss of proficiency due to infrequent practice and/or other factors. The principal purpose of First Look is to test the retention of proficiency of the flightcrews over the evaluation period and continuing qualification cycle. First Look is an AQP requirement whenever the evaluation period exceeds the checking/training interval of a traditional part 121 training program. However, First Look is a valuable tool and should be considered regardless of the length of the evaluation period. For example, First Look may be employed as a means of validating that currency items are performed in line operations with sufficient frequency that proficiency is being maintained. First Look maneuver proficiency assessment is graded using the same measurement methodology and rating criteria used in maneuver validation. The First Look grades are then analyzed to determine trends of degraded proficiency. Repeating First Look maneuvers on an evaluation allows a pretest, post-test measure of the learning during training, where the difference between the session's First Look grades and

the last session's evaluation grades provide a rough measure of skill decay over the training interval.

B. Terminal and Supporting Proficiency Objectives (SPO). Terminal Proficiency Objectives (TPO) are derived at the task level from the JTA. They reflect the end-level proficiency to be achieved in training and demonstrated in evaluation. SPO are derived at the subtask level from the JTA. They reflect the subtasks on which proficiency must be achieved in training in order to perform at a satisfactory level on a given TPO. However, a consistent one-to-one correlation between all tasks/subtasks and TPOs/SPOs is not expected. Multiple TPOs may be derived from a single task, or multiple tasks may produce a single TPO, depending on how significantly the performance is altered due to conditions and/or contingencies. Both TPOs and SPOs require specification of the performance to be accomplished, the standards that must be met or exceeded to demonstrate proficiency, and the conditions under which training or evaluation of performance will be conducted. A complete list of TPOs and SPOs would encompass all major tasks and subtasks for all phases of flight/operation.

C. Qualification Standard (§ 121.907). A Qualification Standard is a job task proficiency objective (TPO or SPO) linked to an evaluation strategy together with specification of a media range. A certificate holder's qualification standards define the requirements of mastery for specific duty positions and replace the PTS for evaluation and certification. Qualification standards created at the terminal level generally reflect objectives for evaluation, although some such objectives may be addressed only in training to proficiency in the applicant's approved AQP. Qualification standards created at the supporting level generally reflect objectives for training, although some such objectives may also be identified for evaluation in the applicant's approved AQP. Figure 3-95, Advanced Qualification Program—Qualification Standards Documentation, presents an example of an AQP qualification standard established at the terminal level. See also Figure 3-96, Advanced Qualification Program—Documentation Checklist and Review Job Aid.

NOTE: Variation in the format of a given certificate holder's qualification standards is permissible, provided that all of the categories of information in the example are addressed.

D. Currency Objectives. The purpose of identifying currency events is to enable training and evaluation to focus on areas of greatest need. An applicant may elect to identify certain objectives (TPOs or SPOs, as applicable) as currency events, based on an analysis of the frequency with which a given objective and condition occur during line operations. Candidates for such a designation include only those objectives on which skills are maintained by virtue of their frequent exercise in flight, such as normal takeoff under Ceiling and Visibility OK (CAVOK) conditions. Approved currency events do not need to be specifically trained in continuing qualification curriculums, provided that the applicant implements a means acceptable to the FAA of periodically verifying that proficiency on such items is being maintained (line checks, safety audits, observations, etc.).

E. Critical Objectives. An applicant may elect to identify certain objectives (TPOs or SPOs, as applicable) as critical or non-critical, based on the applicant's JTA. The principal consideration with respect to criticality is the frequency of proficiency training or evaluation

required to ensure a margin of safety with respect to pilot performance. Critical objectives must be trained, validated or evaluated during every evaluation period. Training or evaluation of non-critical objectives for such a curriculum must occur within every continuing qualification cycle. If the applicant elects not to categorize objectives in terms of criticality, all objectives derived from the applicant's JTA shall be considered critical.

F. Special Tracking (§ 121.913(b)(4)). Special tracking is the assignment of a person to an augmented schedule of training and/or checking. It is applied to individuals that have failed to demonstrate proficiency during an evaluation event. There are other criteria that the certificate holder may use to place an individual on special tracking. It could include continuing difficulty in completing the maneuver validation, an extended absence from duty, for new pilots in command (PIC), or at the request of the individual trainee. However, the AQP participant may implement an AQP strategy such as reduced training intervals that would offset the need for a specific special tracking strategy.

G. Train to Proficiency. Training to proficiency is training to a performance level that meets or exceeds a qualification standard. The training must include enough repetition and practice to ensure that each individual can perform at the qualification standard level over the entire evaluation period or continuing qualification cycle.

H. Dual Qualification. For the purposes of AQP, an individual is deemed "dual qualified" if, during the continuing qualification cycle following an AQP proficiency evaluation the individual performs flightcrew member duties in that aircraft type after becoming qualified and operating another aircraft type during that same continuing qualification period.

I. Inter-Rater Reliability. Rater reliability is a standardization program for instructors/evaluators. The required data collection and analysis is incumbent upon reliable and valid instructor/evaluator grading judgments. This standardization program is necessary to establish uniform grading criteria, address reliability between instructors/evaluators, and develop remediation procedures. The program must provide rater reliability training during the qualification, transition, continuing qualification, and differences curriculums.

J. Crew-Oriented Scenario-Based Training and Evaluation. All AQP curriculums require crew-oriented scenario-based training and evaluation. AQP extends this concept from LOFT and SPOT to LOE. LOFT/SPOT/LOE scenarios must be designed to provide the opportunity for training or evaluation, as appropriate, on approved AQP qualification standards and CRM skills. LOE scenarios must be approved for their intended use in an AQP by the principal operations inspector (POI). A flightcrew member AQP curriculum requires scenario-based training and evaluation conducted with a full crew in a FSTD. Dispatchers, F/As, and other operations personnel training and evaluation scenarios must be conducted in an operational setting.

K. Full Crew. A complete paired (PIC/second in command (SIC)) crew complement should be scheduled and maintained. Unpaired flightcrew member (PIC/PIC or SIC/SIC) substitution is highly discouraged. If crew substitutions are unavoidable, the substitute crewmember will be either another line-qualified crewmember or a task-familiar crewmember in a training status comparable to the duty position being substituted. Evaluators conducting a

validation or evaluation may not serve as a substitute crewmember. The crew substitution table/matrix will be part of the certificate holder's approved AQP documentation (Implementation and Operations Plan (I&O Plan)). Refer also to the current edition of AC 120-35, Flightcrew Member Line Operational Simulations: Line Oriented Flight Training, Special Purpose Operational Training, Line Operational Evaluation.

L. Random Line Check (§ 121.915 (b)(2)(ii)). A no-notice line check strategy may be used in lieu of the annual PIC line check. The certificate holder who elects to exercise this option must ensure that the no-notice line checks are administered so that the flightcrew members are not notified in advance of the evaluation. In addition, the AQP Certificate holder must ensure that each PIC receives at least one no-notice line check every 24 months. As a minimum, the number of no-notice line checks administered each calendar-year must equal at least 50 percent of the applicant's PIC workforce, as determined in accordance with a strategy approved by the Administrator for that purpose. In addition, the line checks to be conducted under this paragraph must be representatively sampled over all geographic areas flown by the certificate holder in accordance with a sampling methodology approved by the Administrator for that purpose.

M. Planned Hours (§ 121.907). All curriculums will include planned hours for ground training, flight training, evaluation, and OE. Planned hours represent the estimated amount of time (as specified in a curriculum outline) that it takes an average student to complete a segment of instruction (to include all instruction, demonstration, practice, and evaluation, as appropriate, to reach proficiency). Planned hours replace the programmed hours associated with traditional programs. Planned hours enable the FAA and the applicant to schedule their personnel resources more efficiently and provide a baseline for curriculum adjustments. Planned hours are not used by the FAA as a basis for program approval, review, or compliance assessment. Planned hours should be shown on the course footprint that is part of the curriculum outline.

N. Conditions. Describe the range of circumstances under which student performance will be measured and evaluated. Conditions include the operational environment (Navigational Aid (NAVAID) inoperable, different aircraft weight, passengers not seated, aircraft configuration, etc.), and natural environment (ceiling, visibility, wind, turbulence, etc.). The qualification standard should (1) indicate with an asterisk, those specific conditions to be evaluated as part of the qualification curriculum, and (2) provide a more exhaustive listing of conditions over which crewmembers will be trained and tested during the course of successive continuing qualification cycles.

O. Contingencies, Abnormal Situations, Minimum Equipment List (MEL)/Configuration Deviation List (CDL), and Emergencies. The qualification standard should (1) indicate those specific contingencies to be evaluated as part of the qualification curriculum, and (2) provide a more exhaustive listing of contingencies over which crewmembers will be trained and tested during the course of successive continuing qualification cycles.

3-1499 REQUIRED DOCUMENTATION. In addition to the supporting documents and manuals provided the FAA in traditional training programs, there are six documents and an annual report requirement that are unique to AQP. The documents are instrumental in managing the AQP and must be maintained throughout the life of the program. The documents can be categorized in two groups, management and database, by their function and interrelationship.

The documents along with the reports comprise the Program Audit Database (PADB). The annual report provides a QC function and indicates the status of the program. See SAS Element 2.1.6 (OP), Element Design Data Collection Tool (ED DCT) or Element Performance Data Collection Tool (EP DCT), as applicable, and Figure 3-96.

NOTE: Variation in the format of a given certificate holder's qualification standards is permissible, provided that all of the categories of information in the applicable ED DCT or EP DCT and Figure 3-96 (Qualification Standards) are addressed.

A. Management Documents. These documents include the Application, Instructional Systems Development Methodology, and I&O Plan. These documents are standalone in that a change in one will not necessitate a change in another.

B. Database Documents. These documents include the Task Analysis, Qualification Standards, and Curriculum Outlines. Because a change to one often means a change to the others, they should be maintained in an interactive database.

C. Annual Report. The purpose of the report is to identify changes to the curriculums resulting from feedback and analysis of the information in the PPDB.

1) The AQP Application (§ 121.909(a)). The purpose of the application is to establish the applicant's methodology for developing an AQP for all of its fleets, instructors and evaluators, and for non-fleet-specific curriculum (i.e., indoctrination). The application is submitted once and is updated as information in the application warrants changing (a change in the schedule, adding new aircraft, initiating F/A or dispatcher AQP programs, etc.). See Figure 3-96.

2) JTA (§ 121.909(b)(2)). JTA is the method or procedure used to reduce a unit of work to its base components. The JTA provides a detailed, sequential listing of tasks, subtasks, and elements (if required) with the knowledge and skills that clearly define and completely describe the job. A JTA provides consideration for conditions surrounding the job both in the environment and in the equipment used. It establishes standards (parameters and tolerances) that provide safe and effective job accomplishment. It also identifies characteristics such as consequence of error, relative difficulty, frequency of occurrence in specific operations, and the time needed to accomplish the task. As a complete document, the JTA has several components: a job task list, learning analysis and crew positions. See Figure 3-94, Advanced Qualification Program—Job Task Analysis Documentation, and Figure 3-96.

3) Qualification Standards Document (§ 121.909(b)(2)). It is the central AQP document. It provides the regulatory basis for all deviations from current regulations, and summarizes the operational and instructional foundations for all major curriculum elements, such as learning objectives, curriculum outlines, evaluation strategies and gradesheets. The Qualification Standards Document has four parts: the prologue, a regulatory comparison, the evaluation/remediation methodology, and the specific TPO or SPO qualification standards. See Figures 3-95 and 3-96.

4) Instructional Systems Development Methodology Document

(§ 121.909(b)(2)). It describes the approach to be used by applicant airlines to develop and maintain all AQP curriculums. The Instructional Systems Development Methodology document should be finalized before constructing curriculums for each duty position. It applies to pilot, instructor, and evaluator programs, and may be expanded to include other personnel, such as F/As and dispatchers. This document is divided into two sections. The first section, Curriculum Development Procedures, describes the applicant's approach for using the JTAs and qualification standards as baseline documents to construct their general training curriculums across all AQP courses. The second section, Line Operational Simulation Methodology, describes the approach for developing LOS scenarios. See Figure 3-96.

5) Curriculum Outline Document (§ 121.909(b)(2)).

This is a listing of course material divided into segments, segments into modules, modules into lessons, and lessons into elements or topics. All AQP curriculum outlines must be structured in accordance with the guidance provided in Volume 3, Chapter 19, for segment, module, lesson, and element. Each part of the curriculum outline must clearly indicate the subject matter to be taught and correspond directly to the hierarchical numbering system of the Task Analysis. The document must detail a clear audit trail tracing each training objective to the appropriate curriculum. A curriculum outline provides the basis for the curriculum footprint, which is a high-level graphical overview of the curriculum content depicting the training and evaluation activities and the proposed hours for each day of the curriculum. Curriculum outlines are developed and submitted with the understanding that application of the course material may require some flexibility regarding the actual day on which each activity is accomplished. See Figure 3-96.

6) I&O Plan (§ 121.909(b)(2)).

This is a milestone schedule detailing the transition to an AQP and a blueprint describing provisions for maintenance, administration, data management, and continuing QC of curriculums. The I&O Plan can be sectioned into two parts. The first part describes how the certificate holder proposes to implement the AQP. Included in this proposal is the schedule for the Phase III training evaluation to include instructor/evaluator training and small group tryouts. It should also include provisos for evaluating the effectiveness of performance measurement tools, and provisions for evaluating facilities, courseware, and equipment before starting the plans for the small group tryouts. The second part explains how the certificate holder intends to operate the AQP in Phases IV and V. Included in this section are strategies for maintaining the program, crew pairing policy, First Look administration, and instructor/evaluator requirements. The operations plan will also describe in detail, the Data Management Plan that includes a statement of understanding addressing the collection and analysis of performance/proficiency data and a description of the PPDB, the data management collection process, and the FAA data submission, analysis, and reporting requirements. See Figure 3-96.

7) Annual AQP Report.

Certificate holders will monitor the status of all AQP curriculums and the PPDB and will summarize their findings in an annual report that is given to the POI with a copy to AFS-200. See Figure 3-96.

8) Job Aids.

SAS Element 2.1.6 ED DCT and/or EP DCT and Figure 3-96.

3-1500 TRAINING, VALIDATION, EVALUATION, REMEDIATION, AND CERTIFICATION.

A. Conformance to Handbook Standards. AQP follows the direction and guidance provided in Volume 3, Chapter 19 for training programs and flightcrew member qualification. All AQP curriculum outlines must be structured in accordance with the guidance provided in Volume 3, Chapter 19 for segment, module, lesson, and element. Although AQP follows its own phased approval process, the activities described in Volume 3, Chapter 19 with respect to inspector review of curriculum content, are virtually identical under AQP.

B. Elements From Existing Programs. A curriculum approved under an AQP may include elements of existing approved training programs under parts 121 and 135. Each curriculum must specify the M/M/S and variant of aircraft and each crewmember position or other positions to be covered by that curriculum. Positions to be covered by the AQP must include all flightcrew member positions, instructors, and evaluators, and may include other positions, such as F/As, aircraft dispatchers, and other operations personnel.

C. AQP Requirements over Part 61, 63, 65, 121, or 135. Each certificate holder that obtains approval of an AQP must comply with all of the requirements of the AQP instead of the corresponding provisions of part 61, 63, 65, 121, or 135. However, each applicable requirement of part 61, 63, 65, 121, or 135 that is not specifically addressed in the AQP continues to apply to the certificate holder. No person may be trained under an AQP unless the FAA has approved that AQP and the person complies with all of the requirements of the AQP.

D. Completion Month. Any training, validation or evaluation required under an AQP that is satisfactorily completed in the calendar-month before or the calendar-month after the calendar-month in which it is due is considered to have been completed in the calendar-month it was due.

E. FSTDs (§ 121.921). Procedures for the qualification of FSTDs are described in 14 CFR part 60. An applicant may propose to depart from the permissible-use tables for FSTDs provided in Volume 3, Chapter 19, Section 6, subject to acceptable justification and FAA approval of the intended use of such equipment in a specific AQP curriculum.

F. Training. Section 121.909(b) requires three primary curriculums for each M/M/S of aircraft (or variant) for each duty position. These curriculums are Indoctrination, Qualification, and Continuing Qualification. In addition to primary curriculums, operational necessities may require secondary curriculums (segments) to fulfill particular needs. Secondary curriculums may include: Transition, Upgrade, Differences, Related Aircraft Differences, Requalification, Refresher, and Recency. The three primary curriculums do not have to be implemented simultaneously. For example, participants may elect to develop a continuing qualification curriculum followed by a qualification curriculum implemented sometime in the future.

1) Indoctrination Curriculum (§ 121.911). (See also Volume 3, Chapter 19). An indoctrination curriculum consists of all training elements, which will be learned and evaluated before an individual may begin a qualification curriculum. Indoctrination curriculum segments

typically consist of ground training and evaluation. Four distinct areas of indoctrination ground training are:

a) **Operator-Specific Training.** This training acquaints crewmembers, dispatchers, instructors, evaluators, and other operations personnel with company policies, practices, and general operational procedures. The subject matter of indoctrination includes elements that pertain to the certificate holder's methods of compliance with regulations and safe operating practices.

b) **Airmen-Specific Training.** This training provides the basic aeronautical knowledge needed to enter the subsequent qualification curriculum. Weather, 14 CFR, security, some emergency, and hazardous material (hazmat) training that is partially certificate holder-specific and partially duty-position-specific.

c) **Instructor-Specific Training.** The fundamental principles of the teaching and the learning process; methods and theories of instruction; and the knowledge necessary to use aircraft, FSTDs, and other training equipment.

d) **Evaluator-Specific Training.** General evaluation requirements of the AQP; methods of evaluating crewmembers, aircraft dispatchers, and other operations personnel, and policies and practices used to conduct the kinds of evaluations particular to an AQP (e.g., LOE).

G. Qualification Curriculum (§ 121.913). (See also Volume 3, Chapter 19). AQP requires a qualification curriculum for each duty position in each M/M/S aircraft (or variant). Each qualification curriculum will include training, validation, evaluation, and possibly airman certification. The training activities include ground and flight training, operational experience, and may include special qualification training. If the training is to result in airman certification or an additional type rating, curriculum segments must explicitly identify the alternative training and evaluation strategy to be used in place of the prescribed practical test requirements of part 61, 63, 65, 121, or 135. The applicant must show that the proposed AQP training and evaluation strategy will ensure individual competence that equals or exceeds the practical test requirements and that that each person certificated through an AQP has demonstrated satisfactory proficiency in the integration of technical and CRM skills.

1) Ground Qualification Training Activities. To be qualified for a particular duty position, a person will receive job-specific ground training. This training typically includes general operational subjects, technical systems, system integration, and emergency equipment training. Ground Qualification culminates in a systems knowledge validation session that may take the form of a traditional oral examination, written test, or may incorporate other means of systems knowledge validation (e.g., computer-based), as approved by the FAA.

2) Flight Qualification Training Activities. Each AQP includes curriculum segments for systems training integration and knowledge validation, with training and evaluation in FSTDs, where applicable. Training and evaluation in an aircraft is discouraged, but may be approved by the FAA on a case-by-case basis.

3) Special Qualification Training. Curriculum segments may include special purpose training. These are portions of ground and flight training that have specific application

(e.g., to crewmembers that serve in international operations or for initial introduction of new flight operations, such as Category (CAT) II/III, Global Positioning System (GPS) or Required Navigation Performance (RNP) approaches). Special purpose training and validation may initially be a separate curriculum segment that is later integrated into ground and flight training segments.

4) Instructor Training. Training and evaluation activities to qualify a person to conduct instruction on how to operate, or on how to ensure the safe operation of a particular M/M/S aircraft (or variant).

5) Evaluator Training. Training and evaluation activities that are aircraft and equipment specific to qualify a person to assess the performance of persons who operate or who ensure the safe operation of, a particular M/M/S aircraft (or variant).

H. OE. OE curriculum segments are integral to qualification curriculums. OE provides hands-on experience in performing the duties of a newly assigned position under the supervision of an appropriately and currently qualified evaluator/check pilot/check FE. OE is conducted during actual flight operations. Part 121 subpart Y allows participants to propose alternatives to the requirements of § 121.434, subject to FAA approval. Deviation from the OE and operating cycle requirements of § 121.434 based on a designation of related aircraft must be authorized by AFS-200. (See Volume 3, Chapter 19, Section 12 for additional information regarding deviations based on designation of related aircraft.)

I. Secondary Curriculums (§ 121.909(b)). Developing a secondary curriculum entails selecting, revising, and arranging modules (with related proficiency objectives) from all three primary curriculums. In all cases, the TPOs, SPOs, and enabling objectives (EO) must include CRM principles and when appropriate include the use of LOS for training, validation, and evaluation. The applicant will identify the differences between the traditional training/checking regulatory requirements and those specified in a certificate holder's AQP.

1) Transition Curriculum. This curriculum is applicable for an employee who has been previously trained and qualified in a specific duty position by the certificate holder and is being assigned the same duty position on a different aircraft. In a transition training curriculum, the same qualification standards apply as found in the qualification curriculum. Individuals must meet all the same validation and evaluation sessions as the qualification curriculum. However, the training received may be abbreviated, based on an analysis of the training/validation/evaluation requirements of the qualification curriculum compared to an assessment of the currency, knowledge, skills, and qualifications of the individual. In most cases, the training received would be from modules extracted from the qualification curriculum for that particular aircraft. For example, if both aircraft used the same flight management system (FMS), training may be tailored to be aircraft-specific and proficiency-validated rather than requiring the student to sit through the entire FMS curriculum segment.

2) Upgrade Curriculum. This curriculum is for an employee who has been previously trained and qualified as either a SIC or FE for the certificate holder and is being assigned as either a PIC or SIC, respectively, for the same aircraft type in which he or she was previously trained and qualified. Elements or training modules for this curriculum may be found

in all three primary curriculums. In upgrade training, the same qualification standards apply as found in the qualification curriculum. The individual must meet at least the same validation and evaluation sessions as in the continuing qualification curriculum for the position that they are being assigned. However, the training received may be abbreviated, based on an analysis of the training/validation/evaluation requirements of the qualification and continuing qualification curriculums compared to an assessment of the currency, knowledge, skills, and qualifications of the individual. For example, if the individual is current in the aircraft as a SIC, proficiency in training modules such as systems, FMS, and emergency drills may be validated through testing. Other training, such as seat dependent task training, command authority, and CRM, may be trained and evaluated using a combination of classroom and LOS methodology.

3) Downgrade. Seat-dependent task training is required when a PIC is reassigned as an SIC on the same type aircraft. It may be appropriate to provide modules from several different secondary curriculums (i.e., transition and requalification) if the flightcrew member has never served as an SIC on that type aircraft. The training required when the downgrade is from PIC to SIC from one type aircraft to another type aircraft will depend on whether the crewmember was previously qualified as a SIC in that type. If previously qualified in the duty position and type, a requalification curriculum based on time away is appropriate. If only previously qualified in the duty position, transition is appropriate.

4) Refresher Training. This curriculum is for an individual who has not met the time requirements of consolidation. The individual must be requalified using this secondary curriculum in order to resume serving in that duty position.

J. Continuing Qualification Curriculum (§ 121.915). (See also Volume 3, Chapter 19). This curriculum provides the means for fully qualified individuals to maintain their proficiency in their duty positions and aircraft assignments. Similar to the Qualification Curriculum, each Continuing Qualification Curriculum will include training, validation, and evaluation.

1) Continuing Qualification Cycle. During a continuing qualification cycle each person qualified under an AQP, including instructors and evaluators, will receive a mix of training and evaluation on the objectives necessary to ensure that each person maintains proficiency in the knowledge, technical skills, and cognitive skills required for initial qualification. Each continuing qualification cycle must include at least the following:

a) **Evaluation Period.** Initially, the continuing qualification cycle is comprised of two or more evaluation periods of equal duration. Each person qualified under an AQP must receive ground training and flight training, as appropriate, and an evaluation of proficiency during each evaluation period.

b) **Training Session.** A contiguously scheduled period devoted to training activities at a facility acceptable to the FAA for that purpose. The FAA must approve the number and frequency of training sessions.

2) Training. Continuing qualification must include training in all tasks, procedures, and subjects required in accordance with the approved program documentation, as follows:

a) **Ground Training.** For crewmembers, instructors, evaluators, dispatchers and other operational personnel, a general review of knowledge and skills covered in qualification training, hazmat, security, emergency equipment, updated information on newly developed procedures, and safety information and, if applicable, a line observation program.

b) **Flight Training.** For crewmembers, instructors, evaluators, and other operational personnel who conduct their duties in flight; proficiency training in an aircraft or FSTD, as appropriate, on normal, abnormal, and emergency flight procedures and maneuvers. For instructors and evaluators who are limited to conducting their duties in FSTDs: training in operational flight procedures and maneuvers (normal, abnormal, and emergency).

c) **First Look.** For PICs, SICs, and FEs, in accordance with the certificate holder's approved program.

d) **Instructors/Evaluators.** Proficiency training in a FSTD regarding training equipment operation and inter-rater reliability training.

e) **Recency of Experience.** For PICs, SICs, FEs, aircraft dispatchers, instructors, evaluators, and F/As, approved recency-of-experience requirements appropriate to the duty position.

K. Requalification Curriculum. This curriculum is for an individual who has not met the requirements of a Continuing Qualification Curriculum and becomes unqualified for the duty position. The individual must be requalified to resume serving in that duty position. An AQP applicant should establish nonqualification duration limits based on a currency analysis beyond which an individual would be required to repeat some or the entire indoctrination and qualification curriculum to requalify.

L. Dual Qualification. When maintaining qualification in more than one aircraft type, the individual will have one aircraft type designated as "primary" and other aircraft type(s) designated as "secondary." For each aircraft type for which they are maintaining qualification, the individual must accomplish the AQP Continuing Qualification Curriculum for that aircraft. Those training items that are not "fleet-specific" in nature need only be addressed in the "primary" aircraft's AQP continuing qualification program. In addition, the individual must accomplish at least one line check during the Continuing Qualification Cycle on the "primary" aircraft. The individual should then receive a line check on a different aircraft type each successive year so they are given a line check on all "secondary" aircraft types prior to reaccomplishing a line check on the first "secondary" aircraft type.

M. Differences. (See Volume 3, Chapter 19, Section 9. Also refer to the current edition of AC 120-53, Guidance for Conducting and Use of Flight Standardization Board Evaluations, and the fleet Flight Standardization Board (FSB) report.) Variations between the FSB report and a certificate holder's proposed differences training, checking, and currency requirements under an AQP must be justified, documented, and approved by the ERT.

NOTE: For every proficiency objective, the participant must designate the testing/validation/evaluation strategy. These strategies may include, but are not

limited to, Train to Proficiency, Systems/Knowledge Validation, Procedures Validation, Maneuvers Validation, LOE, or Line Check.

N. Related Aircraft Differences. If a certificate holder's proposal includes related aircraft differences training, the certificate holder must first receive approval of the related aircraft designation from AFS-200 prior to initial approval of the curriculum. Variations between the FSB report and a certificate holder's proposed related aircraft differences training, checking, and currency requirements under an AQP must be justified, documented, and approved by AFS-200. Deviation from the requirements of § 121.434, § 121.439, or § 121.441, based on a designation of related aircraft, must be authorized by AFS-200. (See Volume 3, Chapter 19, Section 12 for additional information regarding related aircraft designation, related aircraft differences training, and deviations based on designation of related aircraft.)

O. Training to Proficiency.

1) The train to proficiency strategy is not unique to an AQP curriculum. Traditional part 121/135 training programs have been using the "train to proficiency" concept since the early 1980s. It is not practical or necessary to evaluate the applicant in every event in which the applicant has received training. A reasonable number of events per evaluation should accomplish the purpose of ensuring that the applicant is proficient throughout the range of objectives in which training was conducted.

2) Training to proficiency for initial qualification flightcrew members is permitted by § 121.401(e), Training Program: General, allowing that a person who progresses successfully through flight training, is recommended by his instructor, check pilot, or check FE, and successfully completes the appropriate flight check for a check pilot, check FE, or the Administrator, need not complete the programmed hours of flight training for the particular airplane. Volume 3, Chapter 19 urges POIs to emphasize that training is of primary importance, and checking is the means of verifying that training has been adequate. The POI can consider the objective to have been met when the crewmember is able to perform at the required standard of proficiency immediately before entering the next cycle of required training. Section 121.441(d) allows waiver discretion under certain conditions to the check pilot (also a qualified examiner), or the FAA inspector conducting the check for those crewmembers employed by part 121 certificate holders. This waiver authority requires that the applicant be trained to proficiency in all waiver-eligible maneuvers/procedures in the certificate holder's FAA-approved training program.

3) When using the AQP train to proficiency concept, the training provided must ensure the trainee's performance is to a level that meets or exceeds the specific qualification standard. This concept must include enough repetition and practice to ensure that each individual can perform at the qualification standard over the entire evaluation period or continuing qualification cycle.

P. Validation.

1) Validation is a determination that the training produces the required results as identified in the qualification standards and that the individual has met the performance objectives of the training module.

2) Participants are encouraged to be innovative with their validation strategy. Any validation strategy must ensure that the level of proficiency of each individual is appropriate and adequate to move on to the next level. All validation/evaluation strategies require ERT approval.

3) The following are flightcrew member validation strategies by curriculum:

Q. Indoctrination. End of course exam, generally a written test with a required passing score of 80 percent.

R. Qualification Curriculum.

1) **Systems Knowledge Validation.** This is an assessment of an individual's technical systems knowledge. Systems knowledge validation may be accomplished by a written, electronic, or oral exam.

2) **Procedures Validation.** This is an assessment of an individual's systems integration knowledge and skill. This validation addresses the individual's ability to assimilate system and procedural knowledge into the appropriate execution of procedures. This validation session should take place in an FSTD. The intent of the Procedural Validation session is to ensure an individual's systems and procedural knowledge is at an appropriate level before progressing into the flight training phase. There is no established requirement that the systems and procedures validation have to be accomplished sequentially.

3) **Maneuvers Validation (MV).** This validation addresses an individual's proficiency in the execution of maneuvers. For a Qualification Curriculum, crewmembers are expected to have reached a satisfactory level of proficiency in the maneuvers prior to this validation event.

4) **OE.** OE provides hands-on experience in performing the duties of a newly assigned position under the supervision of an appropriately and currently qualified evaluator (check pilot or check FE). OE is conducted during actual flight operations. Part 121 subpart Y allows participants to propose alternatives to the requirements of § 121.434, subject to FAA approval. Deviation from the OE and operating cycle requirements of § 121.434 based on a designation of related aircraft must be authorized by AFS-200. (See Volume 3, Chapter 19, Section 12 for additional information regarding deviations based on designation of related aircraft.)

S. Continuing Qualification Curriculum.

1) **First Look.** First Look maneuvers are applicable only to the Continuing Qualification curriculum. First Look maneuvers are those maneuvers that are identified as likely to be sensitive to loss of proficiency due to infrequent practice and other factors. The principal

purpose of First Look is to test the retention of proficiency of the flightcrews over the evaluation cycle. First Look is an AQP requirement whenever the evaluation period exceeds the checking/training interval of a traditional part 121 training program. However, First Look is a valuable tool and should be considered regardless of the length of the evaluation period. First Look proficiency assessment is graded using the same measurement methodology and rating criteria used for the maneuvers validation.

a) **List of Maneuvers.** The listing of First Look maneuvers is developed by the applicant and approved by the FAA. First Look items are performed, graded, and analyzed to validate that flightcrews can maintain proficiency in these items between training intervals. These may include certain items given a designation of “currency” in the qualification standard, if any, in order to facilitate initial validation that these items are being performed outside of training with sufficient frequency that proficiency is being maintained.

b) **Validation Strategy.** The validation strategy the applicant develops for First Look is detailed in the I&O Plan. An ideal approach would be to have a listing of several critical and/or currency items that will be sampled under a controlled sampling technique that would ensure that each of the items are adequately and evenly assessed during the evaluation period. It is important to remember that First Look is not as much an assessment of an individual’s skills, as it is a measure of the collective retention of proficiency by flightcrews. Individual assessment occurs in maneuvers validation and LOE. The data that is collected from First Look is used for trend analysis and as a tool to validate the AQP program’s overall effectiveness.

c) **Administration.** First Look objectives/maneuvers must not be briefed in advance of the first execution of such maneuvers. Proficiency data must be collected before the repeated execution of any such First Look item during training. There are several options as to when the First Look validation can be conducted. For example, a First Look maneuver could be introduced as the first event of a FFS training session addressing maneuvers. Other options would be to make it part of an event in a LOFT or SPOT. The common element in all such options is that proficiency is assessed the first time the First Look item occurs in training.

d) **Remediation.** First Look proficiency assessment is considered a no-jeopardy event, subject to the requirement that any maneuvers unsuccessfully accomplished be trained to proficiency prior to the LOE. If an applicant proposes to request maneuver validation credit for First Look maneuvers, the applicant must assure that the First Look proficiency assessment is accomplished by an AQP qualified evaluator, rather than by an instructor.

2) MV. The MV session in the Continuing Qualification Curriculum allows assessment and attainment of technical proficiency prior to evaluation in the LOE. A Continuing Qualification Curriculum MV must be successfully completed within the time limits of the standard company-scheduled FFS session (national norm is 2 hours per crewmember) or an additional training period is required. If an individual requires additional training periods to be able to demonstrate proficiency, consideration should be given to placing the individual in Special Tracking.

T. Evaluation.

1) Qualification Curriculum. The LOE evaluation addresses the individual's ability to demonstrate technical and CRM skills appropriate to fulfilling job requirements in a full mission scenario environment. The intent of the LOE is to evaluate and verify that an individual's job knowledge, technical skills, and CRM skills are commensurate with AQP qualification standards and that the individual is qualified to begin the OE portion of the Qualification Curriculum (Refer to AC 120-35). An LOE failure is reported to the FAA. If the LOE is to result in certification, a failure will result in the issuance of FAA Form 8060-5, Notice of Disapproval of Application.

NOTE: An aircrew program designee (APD) or FAA Operations inspector must administer all Qualification Curriculum LOEs that result in airman certification; otherwise, a Qualification LOE may be administered by a check pilot or check FE. A check pilot or check FE may administer continuing Qualification LOEs.

2) Continuing Qualification.

a) LOE. This evaluation addresses the individual's ability to demonstrate technical and CRM skills appropriate to fulfilling job requirements in a full mission scenario environment. The intent of the LOE is to evaluate and verify that an individual's job knowledge, technical skills, and CRM skills are commensurate with AQP qualification standards and that the individual is still qualified. The purpose, administration, and remediation strategy for the Continuing Qualification Curriculum LOE is the same as for a Qualification Curriculum.

b) Line Check. An annual continuing qualification line check is mandatory for each PIC. It is conducted in an aircraft during actual flight operations under part 121 or 135, or during operationally (line)-oriented flights, such as ferry flights or proving flights. A line check must be completed in the calendar-month at the midpoint of the evaluation period plus or minus 1 month.

3) No-Notice Line Check.

a) Section 121.915(b)(2)(ii) allows a "no-notice" line check strategy to be used in lieu of the line check required by the above paragraph. The certificate holder who elects to exercise this option must ensure that the "no-notice" line checks are administered so that the flightcrew members are not notified in advance of the evaluation. In addition, the certificate holder must ensure that each PIC receives at least one "no-notice" line check every 24 months. As a minimum, the number of "no-notice" line checks administered each calendar-year must equal at least 50 percent of the applicant's PIC workforce, as determined in accordance with a strategy approved by the Administrator for that purpose. In addition, the line checks to be conducted under this paragraph must be representatively sampled over all geographic areas flown by the certificate holder in accordance with a sampling methodology approved by the Administrator for that purpose.

b) During the line check, each person performing duties as a PIC, SIC, or FE for that flight must be individually evaluated to determine whether the person remains adequately

trained and currently proficient with respect to the particular aircraft, crew position, and type of operation in which he or she serves; and that the person has sufficient knowledge and skills to operate effectively as part of a crew. The evaluator must be check pilot, an APD, or the Administrator and must hold the certificates and ratings required of the PIC.

U. Repeating Objectives/Maneuvers During Validations and Evaluations.

1) Training and repeating substandard maneuvers during a traditional proficiency check has been permitted by § 121.441 for many years. Section 61.157(f)(1)(i) allows part 121 air carriers to substitute a § 121.441 proficiency check for part 61 certification flight check requirements for the appropriate aircraft rating. Section 121.441(e) reads, “If the pilot being checked fails any of the required maneuvers, the person giving the proficiency check may give additional training to the pilot during the course of the proficiency check. In addition to repeating the maneuvers failed, the person giving the proficiency check may require the pilot being checked to repeat any other maneuvers he finds are necessary to determine the pilot’s proficiency.” Volume 3, Chapter 19 calls this repeat process “Training to Proficiency.” It also states that when a check pilot determines that an event is unsatisfactory, the check pilot may conduct training and repeat the testing of that event. This provision has been made in the interest of fairness and to avoid undue hardship and expense for pilots and certificate holders.

2) Under an AQP, repeats of objectives/maneuvers are allowed in all validations and evaluations under certain specific conditions. The conditions depend on the event and the curriculum.

V. Qualification Curriculum.

1) **Systems Validation.** If a written or electronic testing system is used in lieu of an oral exam, a score of 80 percent or greater corrected to 100 percent would be an acceptable validation. An overall score of less than 80 percent would require retraining and retesting. A failure of an individual module or subsection, with an 80 percent or better overall only requires retraining and retesting of the specific module. Consideration should be given to establishing a maximum number of modules or subsections that, if failed, constitute an overall failure of the validation.

2) **Procedures Validation (PV).** Training repeats are allowed and are not counted as a validation repeat. The PV must be successfully completed within the time limits of the standard company scheduled validation session or an additional training period is required. After additional training, the individual need only repeat the objectives that were graded unsatisfactory.

3) **MV.** MV must not allow more than two repeats of any one maneuver or one repeat of any two maneuvers. A debriefing of why the maneuver(s) was unsatisfactory is allowed, but the repeats must occur with no training, practice, or coaching. If the crewmember fails to demonstrate proficiency within the time constraints of the FFS session, the MV is considered unsatisfactory and additional training is required. After additional training, the individual need only repeat the maneuvers that were unsatisfactory. Failure of the MV does not result in the issuance of FAA Form 8060-5.

4) LOE. Grading of an LOE is at the event set level. An LOE with more than 25 percent of the event sets graded unsuccessful would constitute a failure of the LOE and will require remedial training and another LOE. For an LOE with 25 percent of the event sets or fewer graded unsuccessful, repeats may be permitted at the end of the LOE session, if time permits and if it is possible to recreate the conditions similar to the original event set for the repeat. For example, if an LOE has five, six, or seven event sets, only one set may be repeated. If an LOE has between 8 and 11 event sets, 2 may be repeated. No event set can be repeated more than once. A debriefing of why the event set(s) is unsatisfactory is allowed, but the repeat must occur with no training, practice, or coaching. If any repeated event is unsatisfactory, remedial training and another complete LOE evaluation is required. A failure of an LOE requires that the individual enter special tracking. If the LOE is to result in certification, a failure will result in the issuance of FAA Form 8060-5.

NOTE: Regardless of the number of events sets, unsafe individual or crew performance that would result in significant damage, hull loss, or loss of life (i.e., crash) during an LOE constitutes a failure of the LOE.

5) Line Check. Crewmembers receiving this evaluation are assessed for their proficiency in the duty position. Successful completion of the line check verifies that the individual is adequately trained and is capable of performing the duties and responsibilities of the crew position. If any task is unsatisfactory, the individual must receive remedial training on that task, additional OE if necessary, and if appropriate another line check. If a pilot receives an unsatisfactory overall performance rating on a line check, the pilot must be removed from continued line operations until the approved remediation has been successfully completed.

W. Continuing Qualification Curriculum.

1) MV. Training repeats are allowed and are not counted as an evaluation repeat. A Continuing Qualification MV must be successfully completed within the time limits of the standard company scheduled FFS session (national norm is 2 hours per crewmember) or an additional MV period is required.

2) LOE. Same as Qualification Curriculum.

3) Line Check. Same as Qualification Curriculum.

X. Remediation.

1) Remediation Strategy (§ 121.913(b)(4), (d)(3), and (e)(3)). The Qualification Standards Document must describe the methodology that will be used to remediate unsuccessful testing, validation, or evaluation sessions. This remediation strategy must detail when and what may be repeated and whether or not additional training is warranted. Remediation strategies must also specify when no more training will be offered to the individual and the resulting actions. This strategy may be presented in narrative or flow diagram format.

2) Special Tracking (§ 121.913(b)(4)). This is a program of monitoring the proficiency of an individual at scheduled intervals. It is applied to individuals that have failed to demonstrate proficiency during an evaluation event. There are other criteria that the certificate

holder may use to place an individual on special tracking. It could include continuing difficulty in completing the MV, an extended absence from duty, for new PICs, or at the request of the individual trainee. However, the AQP participant may implement an AQP strategy such as reduced training intervals that would offset the need for a specific special tracking strategy. This section will discuss: the situation(s) that requires an individual to be placed in special tracking, the strategy to be used, and when special tracking is no longer required.

Y. Certification.

1) General. AQP provides an alternative practical means to certificate pilots, FEs, and aircraft dispatchers.

2) Certification Requirements (§ 121.919). An applicant for AQP certification is eligible to receive a commercial, airline transport pilot, FE, or aircraft dispatcher certificate or appropriate rating based upon successful completion of training and evaluation events accomplished under the AQP if the following requirements are met:

a) In Accordance with the Applicable Requirements of Part 61, 63, or 65. Certificate holders may develop and implement an alternative training and evaluation strategy, as specified in the Qualification Standards, if it can be demonstrated that the new criteria represent an equivalent or better measure of competence, operational proficiency, and safety. Once approved, AQP training and evaluation strategies are used in place of the prescribed practical test requirements of parts 61, 63, and 65, § 121.441, part 121 appendix E/F, and the applicable FAA-S-8081, Practical Test Standards (PTS).

b) Competence. Applicants for certification and/or qualification, including dispatchers and F/As, must show competence in required technical proficiency objectives and CRM/DRM in actual or simulated operational scenarios (i.e., LOE) that assess both types of skills together.

c) Qualification Curriculum Completion. An applicant must have successfully completed the entire Qualification Curriculum, as appropriate.

d) Eligibility. An applicant must be eligible under the applicable requirements of part 61, 63, or 65.

e) Training. The applicant must be trained to proficiency on the certificate holder's approved AQP Qualification Standards as witnessed by an instructor, check pilot, check FE, or APD and have passed a LOE administered by an APD or the FAA.

3) Application. An applicant for FAA airman certification must make application for certification on FAA Form 8710-1, Airman Certificate and/or Rating Application. There is a signature requirement on the back of the application form. It is the block entitled "Evaluator's Record (Use for ATP Certificate and/or Type Ratings)." Signature in the AQP block constitutes verification, by a competent authority, that all of the requirements under the specific provisions of a certificate holder's AQP qualification program have been satisfactorily accomplished. In this instance, the competent authority is an APD, Air Transport Pilot Examiner (ATPE), Training Center Evaluator (TCE) authorized by the FAA, or a qualified FAA inspector.

4) Personnel Authorized to Conduct Certification Activities. POIs shall only authorize aviation safety inspectors (ASI), aircrew program managers (APM), Training Center Program Managers (TCPM), APDs, or air carrier designated examiners (ADE/ATPE) to conduct pilot examination activities that have completed the requisite AQP evaluator training. Historically, ASIs and APDs certified airmen using a maneuver-based evaluation scenario derived from the practical test requirements of part 61, 63, or 65, as appropriate. AQP replaces the traditional pilot maneuver-based certification check with a scenario-based LOE. Due to the unique characteristics and detailed scripting of LOEs, all personnel approved to conduct certification activities are required to complete AQP evaluator training. This training should consist of the indoctrination and qualification curriculums for new personnel or a differences module for ASIs and APDs who are already qualified under the certificate holder's traditional program.

NOTE: ASIs that have completed a certificate holder's AQP evaluator training may administer certification activities for ASIs from other certificate holding district offices (CHDO) without completing another certificate holder's training.

5) POI Authorization. POI authorization shall be accomplished by appropriate entry on FAA Form 8710-6, Examiner Designation and Qualification Record, block 10 (with limitations, if any, noted on side 2) and FAA Form 8430-9, Certificate of Authority, under "is authorized to act in the capacity of a," specifying the aircraft on which AQP certification activity is authorized. FAA Form 8710-6 is not required for ASIs.

Figure 3-94. Advanced Qualification Program—Job Task Analysis Documentation

This is the section of the Job Task Analysis (JTA) that serves as the foundation document for the sample qualification standards that follow. Task 6.1 serves as the basis for the TPO-level qualification standard while subtasks 6.1.1 and 6.1.2 serve as the foundation for the SPO-level qualification standards.

Generic Airlines Inc.

Operations Manual

Volume 9

Chapter 3: Qualification Standards, B-757 Flight Crew

Rev. # 5

Dated 10/01/07

6. Approach Operations and Landing

6.1 Perform an Instrument Approach*

6.1.1 Perform a 2 Engine Precision Approach Cat I ILS and Landing*

6.1.2 Perform One Engine Inoperative Cat I ILS Approach*

6.1.2 Perform Cat II ILS

6.1.3 Perform Cat IIIb ILS

6.1.4 Perform Coupled Autopilot Approach and Autoland Procedures

6.1.5 Perform Non-Precision Approach Procedures (VOR, NDB, LOC, LOC/BC, LDA, SDF, ASR, RNAV/FMS, GPS)

6.1.6 Perform an IMC One Engine Inoperative Missed Approach

6.2 Visual Approach

6.3.1 Perform Visual Approach and Landing

6.3.2 Perform Visual Approach and Rejected landing

* Used as an example.

Figure 3-95. Advanced Qualification Program—Qualification Standards Documentation

Generic Airlines Inc	Operations Manual	Volume 9
Chapter 3: Qualification Standards, B-757 Flight Crew		
Rev. # 8		Dated 10/25/07
Task: 6.1 Perform An Instrument Approach		
Duty Position: All		
Criticality: Yes	Currency: Yes	
Curricula: Qualification & Continuing Qualification		
<p>Performance Statement: All instrument approach procedures will be conducted in accordance with the applicable profiles as outlined in Volume 6 of the Operations Manual (B-757 Flight Standards). During all instrument approaches, the PF will configure the airplane so as to be stabilized on the approach by 500 feet below the FAF. The PM will continuously monitor the approach and make the required instrument approach altitude calls and deviation calls based on the parameters defined in Volume 6, Chapter 3 of the Operations Manual.</p>		
<p>Conditions: IMC * lowest approach minimums Turbulence * light Strong Cross Winds Present * lowest approach minimums Icing Conditions Present * light rime</p>		<p>Contingencies: Flight Director Inop FMS Inop Autopilot Inoperative * Windshear Loss of ATC Communication</p>
<p>Engine Failure Inside of the FAF Loss of Flight/Navigation Instrument</p>		
<p>Standards: During all instrument approaches, the PF achieves and maintains a stable airspeed, descent rate, vertical flight path, and configuration by 500 feet below the FAF. Between 1000 feet and 500 feet above DH or MDA, only minimum deviations from the standards below occur and are corrected with the proper calls and responses as defined in Volume 6 of the Operations Manual. Below 500 feet above DH or MDA in IMC conditions, with any deviations greater than these standards, the crew calls for and executes a missed approach. The following standards apply: Prior to the FAF, the PF maintains desired altitude within +/- 100 ft., desired heading within +/- 5 degrees, and desired airspeed within +/- 10 knots; Inside the FAF or Final Segment, the PF maintains desired Airspeed within +5 or -0 knots, Localizer or VOR course within 1/2 dot either side, RMI course within +/- 5 degrees, Glideslope within 1/2 dot either side, Sink rate within 1000 fpm, and desired altitude on a non-precision approach within +50/-0 feet. The crew makes all of the required instrument approach calls and responses as detailed in Volume 6 of the Operations Manual. The crew complies with all ATC instructions and clearances or advises ATC if unable. The crew complies with the specific instrument approach profile as depicted in Volume 6 of the Operations Manual. The instrument approach procedure is flown correctly and adjusted as necessary based on equipment availability or other factors. The crew immediately initiates a missed approach upon arriving at the DH or MAP if the required visual references are not distinctly visible. The landing checklist is completed in a timely manner without errors or omissions.</p> <p>At all times during the approach, the crew uses standard phraseology and procedures to improve situational awareness, and communicates changes in systems or flight profiles in a clear, timely manner. The crew demonstrates strong knowledge of, and makes sound judgments concerning instrument approach procedures and policies.</p>		
Media: Level C FFS		
Evaluation Strategy: Qualification – Maneuvers Validation/Continuing Qualification – Maneuvers Validation		
<p>Reference: Volume 6 of the Operations Manual Airman’s Information Manual Chapter: 1 Airman’s Information Manual Chapter: 5 Jeppesen Airway Manual</p>		

* identifies specific condition used during qualification validation/evaluation

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Chapter 3: Qualification Standards, B-757 Flight Crew		
Rev. # 8		Dated 10/25/07
Task: 6.1.1 Perform a 2 Engine Precision Approach Cat I ILS		
Duty Position: All		
Criticality: No	Currency: Yes	
Curricula: Qualification & Continuing Qualification		
Performance Statement: The crew will complete the appropriate approach briefing prior to the initial approach fix. Once cleared for the approach, the PF will configure the airplane prior to the FAF per the Generic Airline B-767 Precision Approach Profile, so as to be stabilized on the approach by 500 feet below the FAF as outlined in Volume 6 of the Operations Manual. The PF will call for the configuration changes and the PM will perform each action. The landing checklist will be completed during the approach prior to landing. The PM will give the required altitude calls in reference to DH as outlined in Volume 6 of the Operations Manual. When deviations from the standards occur, the PM will give the proper correction callouts as defined in Volume 6 of the Operations Manual. With the adequate visual references in sight, the crew will execute the required calls and responses and transition to a normal landing. If, upon arriving at DH, neither the approach lights nor runway is in sight, then the PM will call for the missed approach. If upon arriving at DH and only the approach light system is visible, the PF may continue the approach down to 100 feet above touchdown zone elevation. If at this point the requirements of FAR 91.175 are not visible, the PF will call for the missed approach and the crew will perform the missed approach procedures. If the runway environment becomes visible prior to 1000 feet above DH, the PM will call the runway in sight and the PF will state "Visual Calls." The PM will then proceed with stating the appropriate visual approach calls and the visual approach procedures may be applied.		
Conditions: IMC * lowest approach minimums Strong Cross Winds Present * 15K Icing Conditions Present * Light Rime		Contingencies: Flight Director Inop FMS Inop *Autopilot Inoperative
Standards: For all precision instrument approaches, the PF achieves and maintains a stable airspeed, descent rate, vertical flight path, and configuration by 500 feet below DH. Between 1000 feet and 500 feet above DH, only minimum deviations from the standards below occur and are corrected with the proper calls and responses as defined in Chapter 6, Volume 6 of the Operations Manual. Below 1000 feet above DH in IMC conditions, with any deviations greater than these standards, the crew calls for and executes a missed approach. The following standards apply: Prior to the FAF, the PF maintains desired altitude within +/- 100 ft., desired heading within +/- 5 degrees, and desired airspeed within +/- 10 knots; Inside the FAF or Final Segment, the PF maintains desired Airspeed within +5 or -0 knots, Localizer course within 1/2 dot either side, and Glideslope within 1/2 dot either side. The crew makes all of the required instrument approach calls and responses as detailed in Volume 6 of the Operations Manual. The crew complies with all ATC instructions and clearances or advises ATC if unable. The crew complies with the Generic Airlines Precision Instrument Approach Profile as depicted in Volume 6 of the Operations Manual. The instrument approach procedure is flown correctly and adjusted as necessary based on equipment availability or other factors. The crew immediately initiates a missed approach upon arriving at the DH if the required visual references are not distinctly visible. The landing checklist is completed in a timely manner without errors or omissions. The crew demonstrates strong knowledge of, and makes sound judgments.		
Media: Level C FFS		
Qualifying Evaluation Event: Maneuvers Validation/Continuing Qualification – Line Check (Sample)		
Reference: Volume 6 of the Operations Manual Airman's Information Manual Chapter: 1 Airman's Information Manual Chapter: 5 Jeppesen Airway Manual		

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Chapter 3: Qualification Standards, B-757 Flight Crew		
Rev. # 8		Dated 10/25/07
6.1.2 Perform One Engine Inoperative Cat I ILS Approach		
Duty Position: All		
Criticality: Yes	Currency: No	
Curricula: Qualification & Continuing Qualification		
Performance Statement: The crew will complete the appropriate approach briefing prior to the initial approach fix. Once cleared for the approach, the PF will configure the airplane prior to the FAF per the Generic Airline B-767 Precision Approach Profile, so as to be stabilized on the approach by 500 feet below the FAF as outlined in Volume 6 of the Operations Manual. The PF will call for the configuration changes and the PM will perform each action. The landing checklist will be completed during the approach prior to landing. The PM will give the required altitude calls in reference to DH as outlined in Volume 6 of the Operations Manual. When deviations from the standards occur, the PM will give the proper correction call outs as defined in Volume 6 of the Operations Manual. With the adequate visual references in sight, the crew will execute the required calls and responses and transition to a normal landing. If, upon arriving at DH, neither the approach lights nor runway is in sight, then the PM will call for the missed approach. If upon arriving at DH and only the approach light system is visible, the PF may continue the approach down to 100 feet above touchdown zone elevation. If at this point the requirements of FAR 91.175 are not visible, the PF will call for the missed approach and the crew will perform the missed approach procedures. If the runway environment becomes visible prior to 1000 feet above DH, the PM will call the runway in sight and the PF will state "Visual Calls." The PM will then proceed with stating the appropriate visual approach calls and the visual approach procedures may be applied.		
Conditions: IMC * DH +100' Strong Cross Winds Present * 15K		Contingencies: *Autopilot Inoperative
Standards: The PF achieves and maintains a stable airspeed, descent rate, vertical flight path, and configuration by 500 feet below DH. Between 1000 feet and 500 feet above DH, only minimum deviations from the standards below occur, and are corrected with the proper calls and responses as defined in Chapter 6, Volume 6 of the Operations Manual). Below 1000 feet above DH in IMC conditions, with any deviations greater than these standards, the crew calls for and executes a missed approach. The following standards apply: Prior to the FAF, the PF maintains desired altitude within +/- 100 ft., desired heading within +/- 5 degrees, and desired airspeed within +/- 10 knots; Inside the FAF or Final Segment, the PF maintains desired Airspeed within +5 or -0 knots, Localizer course within 1/2 dot either side, and Glideslope within 1/2 dot either side. The crew makes all of the required instrument approach calls and responses as detailed in Volume 6 of the Operations Manual. The crew complies with all ATC instructions and clearances or advises ATC if unable. The crew complies with the Generic Airlines Precision Instrument Approach Profile as depicted in Volume 6 of the Operations Manual). The instrument approach procedure is flown correctly and adjusted as necessary based on equipment availability or other factors. The crew immediately initiates a missed approach upon arriving at the DH if the required visual references are not distinctly visible. The landing checklist is completed in a timely manner without errors or omissions. The crew demonstrates strong knowledge of, and makes sound judgments.		
Media: Level C FFS		
Qualifying Evaluation Event: Maneuvers Validation/Continuing Qualification: Maneuvers Validation		
Reference: Volume 6 of the Operations Manual Airman's Information Manual Chapter: 1 Airman's Information Manual Chapter: 5 Jeppesen Airway Manual		

Figure 3-96. Advanced Qualification Program—Documentation Checklist and Review Job Aid

This AQP tool contains seven job aids for both the FAA and the certificate holder to use as simplified checklists for the development and review of the documentation requirements of AQP. Other document configurations may be appropriate to a specific certificate holder. If a certificate holder adopts a different document configuration, other than the one suggested in the current edition of Advisory Circular (AC) 120-54, Advanced Qualification Program, then the applicant should provide clear and specific guidance as to the location of the information for each of these document topics. Certificate holders should include specific references where information can be found that addresses each item. The comment section may be used to record any remarks relative to the review and approval of the document.

There are six document types and one annual report required for each AQP certificate holder. Each document will have its own job aid:

1. Application – One per AQP airline/training center.
2. Job Task Analysis – One for each trainee type and one for each trainee type's Instructor/Evaluators.
3. Qualification Standards – One for each trainee type (e.g., pilot, flight attendant (F/A), and dispatcher) and one for each trainee type's instructor/evaluators.
4. Instructional Systems Development Methodology – One per AQP airline/training center.
5. Curriculum Outline – One per curriculum/make, model, series, variant and instructor/evaluator.
6. Implementation and Operations Plan (I&O Plan) – One per AQP airline/training center.

NOTE: Each of the above documents must remain current throughout the life of the AQP. Each of the documents must utilize a revision control process.

Annual AQP Report – Certificate holders will monitor the status of all AQP curriculums and the performance/proficiency Data Base and will summarize their findings annually in a report to the FAA. Although there is no established format for the report, the associated job aid highlights areas that should be addressed.

Application, Phase I. The purpose of the application is to establish the applicant's methodology for developing an AQP for all of its fleets, instructors and evaluators, and for non-fleet-specific curriculum (i.e., indoctrination). The application is submitted once and is updated as information in the application changes (a change in the transition schedule, adding new aircraft, initiating F/A or dispatcher AQP programs, etc.). In order to establish the applicant's intent and approach for developing an AQP, the application should thoroughly discuss the following topics numbered 1-9 in this job aid.

1	Statement of Intent	Y	N	Comments
	a. Does the Statement of Intent specify the applicant’s intent to develop, implement, and operate an AQP?			
	b. Does the Statement of Intent address all fleets?			
	c. Does the Statement of Intent address how and to what extent the AQP will be operated and maintained?			
	d. Does the Statement of Intent address how CRM will be integrated and measured?			
	e. Does the Statement of Intent include the use of the single visit exemption or that single visit will not be used?			
2	The Applicant’s Staff Organization	Y	N	Comments
	a. AQP Coordination: Is a person identified that will be the focal point for the applicant’s AQP development and contact with the FAA?			
	b. Subject Matter Expertise (SME): Are current and qualified individuals identified by name or position, who have varying levels of expertise that fairly represent the population of professionals the AQP will address?			
	c. Document and Curriculum Development: Are individual(s) identified by name or position, who interface with the AQP coordinator and the SMEs to develop the requisite AQP process, curriculum, and instructor/evaluator documents?			
	d. Document Management: Is an individual identified, who ensures AQP document control and congruence with FAA approvals?			
	e. Computer Specialist/Database Management: Is an individual identified who will develop and manage the performance/proficiency data acquisition and analysis system?			
	f. In addition, will the computer specialist/database manager be used for other computer-related issues related to the facilitation of an AQP, such as electronic document review?			

3	Data Collection, Submission, and Analysis Reporting	Y	N	Comments
	a. Does the applicant acknowledge their understanding and acceptance of the AQP performance data requirements by stating the intended purpose for the collection, management, analysis, and reporting of AQP training/evaluation data for each curriculum?			
	b. Does the applicant defer to the I&O plan for describing the process and methodology for AQP data collection and analysis?			
	c. Does the applicant acknowledge that an electronic data management system will be developed prior to entering phase III of any AQP curriculum?			
	d. Does the applicant acknowledge the requirement for collecting SVTP data?			
	e. Does the applicant acknowledge that requirement for submitting de-identified data to the FAA no later than 2 months after collecting the data?			
	f. Does the applicant acknowledge the requirement of a more stringent collection and analysis of the data than that submitted to the FAA?			
	g. Does the applicant describe the purpose of the data analysis and how it will be used?			
	h. Does the applicant acknowledge the requirement for submitting an annual AQP report summarizing their data analysis and any resulting changes that ensued in their AQP program?			
4	Supporting Documents and Manuals	Y	N	Comments
	a. Do the supporting documents and manuals list each make, model, and series aircraft or variant?			
	b. Has the applicant provided the FAA (CHDO) with the following documents or manuals:			
	1. A current listing of company and manufacturers manuals that governs company operations?			

	2. General descriptive summary of each aircraft type, including aircraft configuration and the performance baseline?			
	3. Flight Operations Manual (FOM)?			
	4. General Operations Manual (GOM)?			
	5. Manufacturer's Aircraft Flight Manual (AFM)?			
	6. Minimum Equipment List/Configuration Deviation List (MEL/CDL)?			
	c. Does the applicant have available the training and qualification recommendations in the FSB reports?			
5	Operating Environment Description	Y	N	Comments
	a. Does the applicant describe the operating environment, including the general meteorological and geographic factors expected to be encountered during operations?			
	b. Does this description include the weather norms and extremes expected to be encountered in operations?			
	c. Does this description include normal, abnormal, and emergency equipment operation in geographic areas that require special procedures (e.g., engine failures in mountainous terrain)?			
	d. Does this description include terminal and en route operating areas such as controlled and uncontrolled airfields?			
6	Trainee Demographics	Y	N	Comments
	a. Does the applicant provide a general summary of trainee experience and entry level by aircraft make, model, series or variant?			
	b. Does the applicant identify entry requirements for ground and flight instructors and evaluators?			
	c. Does the applicant group students in terms of previous experience (e.g., with high, low, and mean experience included)?			
	d. Does the applicant identify the current and anticipated need for replacement crewmembers by duty position? This information is necessary to determine priority on curriculum development.			

7	Training Equipment—Description and Location	Y	N	Comments
	a. Does the applicant identify the training equipment to be used, its location, and identify the organization (vendor or applicant) responsible for its security and maintenance?			
	b. Does the applicant identify FSTDs by make, model, serial number, and/or FAA identification number assigned by the National Simulator Program?			
8	Facilities Description	Y	N	Comments
	a. Does the applicant describe the location, general type of facility, classrooms, training aids, course software, and other resources to be used to support AQP training?			
9	Master AQP Transition Schedule (MATS)	Y	N	Comments
	a. Does the MATS include all aircraft, crewmembers, instructors, evaluators, and other personnel that the applicant intends to transition to AQP?			
	b. Is the MATS complete? A partial MATS is not acceptable.			
	c. Does the MATS address how currently qualified personnel may transition between traditional recurrent training and continuing qualification curriculums or single visit training?			A simple spreadsheet, provided by the applicant, may be helpful to highlight the crew pairing requirements during the first year of AQP or Single Visit operations.
	d. Does the MATS address how personnel who have completed initial, transition, or upgrade curricula may enter a continuing qualification curriculum?			
	e. Does the MATS address personnel who have completed a traditional basic indoctrination curriculum, but have not completed an initial, transition, or upgrade curriculum?			
	f. Does the MATS address personnel who are current instructors or evaluators and how they may transition to AQP via a differences course?			

	g. Does the MATS address the incremental implementation of the curriculums as opposed to all at once?			
	h. Does the MATS provide the timeframe necessary to withdraw from AQP if it becomes necessary to revert to the traditional 14 CFR part 121 or 135 training program?			

Job Task Analysis (JTA), Phase II. A JTA is the method or procedure used to reduce a unit of work to its base components. The JTA provides a detailed, sequential listing of tasks, subtasks, and elements with the knowledge, skill, and attitude characteristics (KSAs) that clearly define and completely describe the job. An applicant will provide a JTA for each make, model, and series aircraft (or variant). These may be submitted as individual listings, or a single higher level listing with appendices for each aircraft, showing its unique lower level features. As a complete document, the JTA has four components: a job task list, a learning analysis (KSA), identified crew positions, and references.

1	JTA Structure	Y	N	Comments
	a. Does the JTA provide a general introduction explaining the development of the task listing and the subsequent task analysis and how it is to be used to form the basis for the qualification standards, and the AQP curriculums upon which they are built?			
	b. Is the JTA organized using a hierarchical system with the flight phases at the top level, tasks at the next level, component subtasks at the next level, elements at the next level?			
	c. Is the JTA complete with tasks, subtasks, elements, and crew positions?			
	d. Has the applicant completed full development of the JTA to the element level?			
	e. In the JTA applicable knowledge, skills, CRM markers, and (where desired) attitudes are applied at the element level?			
2	Flightcrew Member Training Requirements	Y	N	Comments
	Does the JTA incorporate all knowledge and skill requirements currently specified in the regulations?			
	a. Aircraft Systems' Subjects			
	Aircraft General			
	Equipment and Furnishings			
	Emergency Equipment			
	Powerplants			
	Electrical			

	Pneumatic			
	Air-conditioning and Pressurization			
	APU			
	Hydraulics			
	Landing Gear and Brakes			
	Flight Controls			
	Fuel			
	Communications Equipment			
	Flight Instruments			
	Navigation Equipment			
	Autoflight			
	Warning and Detection Systems (to include TCAS, GPWS/TAWS, and WX Radar)			
	Fire and Overheat Protection			
	Oxygen			
	Aircraft Performance & Limitations			
	MEL/CDL			
	b. System-Operations Integration Training	Y	N	Comments
	Preflight Visual Inspection			
	Prestart Checklist and Procedures			
	Powerplant Start			
	Taxi to include lowest visibility allowed by OpSpecs			
	Pre-Takeoff Checks and Procedures			
	Normal Takeoff			
	Crosswind Takeoff			
	Instrument Takeoff (Low Visibility)			
	Powerplant Failure on Takeoff (at or near V1)			
	Powerplant Failure After V2			
	Rejected Takeoff			
	Area Departure			
	Cruise Procedures			
	Holding			
	Area Arrival			
	RNAV, RNP, SAAAR			
	Normal ILS			
	Engine-out ILS			
	Autopilot-Coupled ILS—CATII/III			
	Non-precision Approach			
	ILS missed Approach			
	Second Missed Approach			
	Precision Radar Monitored Approaches/Missed			
	Circling Approach			
	No-flap Landing			

	Crosswind Landing			
	Landing With Engine Out			
	Landing From Circling Approach			
	Rejected Landing			
	Landing With 50% Power Loss			
	LAHSO			
	Stall Prevention (Approach to Stall)			
	Steep Turns			
	Powerplant Failure			
	Windshear Training			
	Mis-Trim Situations			
	Selected Events - Unusual Attitudes			
	TCAS and GPWS - Escape			
	Normal and Abnormal Procedures			
	Emergency Procedures			
	c. Company Operations Manual Content	Y	N	Comments
	Company Policy or Procedures (dispatch and flight release requirements)			
	Regulations, Operations Specifications, and Standards Operating Procedures (SOP)			
	Weather Requirements (seasonal changes, flight into various geographic locations and temperature-related requirements)			
	Hazardous Material			
	Security			
	Special Operations (special airports, special approaches, and departures)			
	Emergency crew assigned duties and procedures			
	Operation of emergency equipment/systems			
	Operation of ditching/evacuation equipment/systems			
	Crew Resource Management (CRM)			
	Emergency Situation Training – Rapid Decompression, Fire (Flight/Surface), and Smoke Control Procedures			
	Assistance of Persons to Exits during Emergency			
	Illness, Injury, or Other Abnormal Situations Involving Passengers or Crew (use of medical kit)			
	Flight Physiology (i.e., Hypoxia or Respiration)			
	Use of Checklist (SOP)			
	Cockpit Familiarization			
	Preflight Planning and FMS			
	In-flight Planning LNAV, VNAV, RNAV, and GPS			

Required Navigation Procedures/SAAAR			
Navigation Systems Integration			
Autoflight and Flight Director Integration			
Use of Radar/CRTs			
TCAS			
GPWS/TAWS			
Communication Systems Integration (ACARS/FMS/CPDLC)			
Surface Movement Guidance Systems (SMGS)			
Runway Incursion Prevention Strategy			
Stabilized Approach Strategy			
Precision Radar Monitoring (PRM) Procedures			
Land and Hold Short (LAHSO) Procedures			
CAT II/III			

Qualification Standards (QS), Phase II. The qualification standards document has four parts, the prologue, a regulatory comparison, the evaluation/remediation methodology, and the specific terminal proficiency objectives (TPO)/supporting proficiency objectives (SPO) qualification standard.

1. Prologue: This is an introductory section that explains the methodology, format, and terminology of the document.
2. Regulatory Requirements Comparison: The qualification standards document must also include regulatory comparison information. The comparison must meet the requirement of AQP regulatory guidance, which states that the AQP program "...must indicate specifically the requirements of parts 61, 63, 65, 121, or 135, as applicable, that would be replaced by an AQP curriculum." The comparison should be comprehensive and understandable so that a reader can discern the scope and appropriateness of the training.
3. Testing/Validation/Evaluation & Remediation Methodology: This section is a detailed plan describing the point in the curriculum when a test, validation, or evaluation will be applied. It must identify what constitutes a failure and/or unsatisfactory performance. This section will also describe the remediation strategy to be used to correct unsatisfactory performance and special tracking provisions.
4. The Qualification Standard: The qualification standard is constructed by applying a performance statement, conditions, and standards to a task or subtask, thereby creating a TPO or an SPO.

1	Qualification Standards Prologue	Y	N	Comments
	a. Does the prologue discuss the methodology used to develop the qualification standards document?			
	b. Does the methodology explain how any aspect, from curriculum outline to lesson elements or gradesheet items, is traceable to an item in the qualification standard?			
	c. Does the prologue discuss the format (structure) that used for the qualifications standards?			
	d. Does the prologue define terms used for the qualification standards?			
2	Regulatory Comparison	Y	N	Comments
	a. Does the regulatory comparison specify the requirements of the applicable practical test standards and parts 61, 63, 65, 121, or 135 that would be replaced by an AQP curriculum and how they will be addressed?			
	b. Are departures from those requirements identified and justified?			
	c. Are any standards specifications used that differ from practical test standards (FAA-S-8081)?			
3	Testing/Validation/Evaluation & Remediation Methodology	Y	N	Comments
	a. Does the applicant describe where to ascertain how, when, where, and who will assess a student's proficiency on each terminal and supporting objective?			
	b. Does this section identify the points in the curriculum where the testing, validation, or evaluation will be applied?			
	Systems Validation			
	Procedures Validation			
	Maneuvers Validation			
	LOE			
	Line Checks			

	c. Does the applicant clearly define the different strategies that will be used to test, validate, or evaluate performance?			
	First Look			
	Train to Proficiency			
	Systems/Knowledge Validation			
	Procedures Validation			
	Maneuvers Validation			
	Line Operational Evaluation			
	Initial Line Check			
	Line Check			
	d. Does this section describe how the criticality and currency ratings translate into testing strategies for TPOs and SPOs in the continuing qualification cycle?			
	e. Does this section describe how a TPO with several SPOs may be alternatively sampled over multiple evaluation periods or continuing qualification cycles? e.g., TPO (Non-Precision Approaches) SPOs (NDB, VOR, BC, etc.)			
	f. Does the applicant specify and clearly describe the rating scale that will be used by instructors/evaluators to score performance?			
	g. Do the rating scale definitions clearly discriminate performance levels? Are they clear?			
	h. Does the applicant identify what constitutes a failure and/or unsatisfactory performance for each validation/evaluation point?			
	i. Does the applicant specify the strategy for remedying unsatisfactory performance?			
	j. Does this remediation strategy detail when and what may be repeated and whether or not additional training is warranted?			
	k. Does the applicant describe the methodology that will be used to remediate unsuccessful testing, validation, or evaluation sessions?			
	l. Does the applicant describe the level of FSTDs or aircraft to be used to evaluate the proficiency objective at each point in the curriculum?			

	m. Does the remediation strategy specify when no more training will be offered to the individual and the resulting actions such as “Referred to Director of Training,” “returned to previous position,” etc.?			
	n. Does the remediation strategy describe the criteria for placing an individual on special tracking?			
	o. Does the remediation strategy describe the strategy that will be used for an individual on special tracking?			
	p. Does the remediation strategy describe what must take place for an individual to be removed from special tracking?			
4	Qualification Standards	Y	N	Comments
	a. Does each individual qualification standard contain the following:			
	A header identifying the certificate holder and the document?			
	Page revision control dates and revision numbers?			
	Consecutive page numbers?			
	Phase of Operations: Number and title from task listing?			
	Qualification Standard Title: Either TPOs or SPOs?			
	Task or Subtask: Number and title from task listing?			
	Crew duty positions?			
	Criticality/Currency Rating: From the task factors analysis?			
	Curriculum: This field identifies the curriculum(s) in which the task will be trained and evaluated.			
	Evaluation Strategy: The evaluation point for this particular qualification standard: e.g., train to proficiency, procedures validation, maneuvers validation, LOE, or line check?			
	Media: The specific media in which training and/or evaluation will be conducted. For qualification, the media is the lowest media used for final evaluation. For continuing qualification, the media is the range of media used for training.			

	Performance Statement: An expanded statement of expected behavior, which, when executed, will complete the work required for a specific portion of a job?			
	Conditions operational and environmental? Are the specific conditions to be used for the qualification curriculum specified?			
	Contingencies. Are the specific contingencies to be used for the qualification curriculum specified?			
	Maneuver Standards: Are they specific and do they correspond to the standards listed in the practical test standards?			
	Procedural Standards: They may be specific or general. If they are specific, do they correspond to the standards listed in the manuals listed in the reference block? If general, do they reference information in a document or manual to chapter or section (page numbers are not required)?			
	References: Identify the primary references from which performance statements and associated standards were derived. Cite documents by title and where applicable, chapter or section. Page numbers are not required.			
	b. Are there any operations specifications requirements other than those listed above?			
<p>The Instructional Systems Development Methodology. This document describes the approach to be used by applicants to develop and maintain all Advanced Qualification Program (AQP) curriculums. This document is divided into two sections. The first section, Development Procedures, describes the applicant’s approach for using the Job Task Analyses and Qualification Standards as baseline documents to construct their general training curriculums across all AQP courses. The second section, Line Operational Simulation Methodology, describes the approach for developing line operational simulation (LOS) scenarios.</p>				

1	Development Procedures	Y	N	Comments
	a. Is the procedure for allocating TPOs and SPOs to lessons, selecting media and methods, and developing the curriculums described?			
	b. Does the applicant describe how enabling objectives (EO) are developed to support their higher level objectives?			
	c. Does the applicant describe how learning and evaluation activities are developed to support these objectives?			
	d. Does the applicant describe how instructional media and methods to are assigned to objectives?			
	e. Does the applicant describe how objectives are clustered and sequenced into lessons, modules, segments, and curriculums?			
	f. Does the applicant describe how an audit trail will be maintained to link proficiency objectives, lesson activities/content, and test items?			
2	Line Operational Simulation (LOS) Methodology	Y	N	Comments
	a. Does the applicant describe how the typical scenario is constructed?			
	b. Does the applicant describe how each event set relates to a phase of operation?			
	c. Does the applicant describe how each event set consists of a series of proficiency objectives that include both technical and CRM activities?			
	d. Does the applicant describe the use of event conditions, triggers, and distracters, as well as supporting events?			
	e. Does the applicant identify possible sources of incidents that will elicit the behavior required by the proficiency objectives selected for the scenario?			
	f. Does the applicant define the basic success criteria for the LOS, and each event set within it?			
	g. Does the applicant describe the scenario development process?			
	Drafting - who will do the work?			

	Use of gradesheets?		
	Testing - who will be involved?		
	Training instructors/evaluators to administer LOS scenario?		

The Curriculum Outline. This is a listing of course content. It should be arranged from curriculum into segments, segments into modules, modules into lessons, and lessons into elements. Each part of the curriculum outline must clearly indicate the subject matter to be taught and correspond directly to the hierarchical system of the task analysis. A curriculum outline provides the basis for the curriculum footprint, which is a high-level graphical overview of the curriculum content depicting the training and evaluation activities and the proposed hours for each day of the curriculum.

1	Curriculum Outline	Y	N	Comments
	a. Does the certificate holder have indoctrination, qualification, and continuing qualification curriculums for each duty position in each make, model, and series/variant aircraft?			
	b. Does the certificate holder have separate indoctrination, qualification, and continuing qualification curriculums for the instructors and evaluators?			
	c. Does the certificate holder have any special curriculums (transition, upgrade, requalification or refresher)?			
	d. Is each curriculum constructed in the following order: curriculum, segment, module, lesson, and lesson element?			
	e. Does the curriculum outline provide a level of detail that will allow the AQP applicant to make changes to the syllabus without submitting a new document for each syllabus change?			
	f. Does the curriculum outline include:			
	1. Operator's Name?			
	2. Type of Aircraft?			
	3. Duty Position(s)?			
	4. Title of curriculum and/or curriculum segment?			
	5. A listing of numbered (coded) objectives organized into lessons, modules, and segments?			Numbers (codes) must allow AFS-200 to track objectives back to qualification standards and Job Task Analysis.

	6. An outline of each training module within each curriculum segment?			Each module should contain sufficient detail to ensure that the main features of the principal elements or events will be addressed during instruction.
	7. The checking and qualification modules of the qualification curriculum segment used to determine successful course completion, including any regulation qualification requirements for crewmembers to serve in part 121 or part 135 operations (such as operating experience (OE), line checks, operating familiarization)?			
	g. Does the curriculum outline indicate that it is part of the revision control system by page format?			
	h. Do the curriculum outlines provide a hierarchical link (proficiency objectives) between the qualification standards and a curriculum?			
	i. Does each part of the curriculum outline clearly indicate the subject matter to be taught and correspond directly to the hierarchical numbering system of the task analysis?			
2	Curriculum Footprint	Y	N	Comments
	a. Does the curriculum footprint describe the training and evaluation activities conducted each day of the curriculum?			
	b. Does the curriculum footprint include the planned hours?			

Implementation and Operations Plan (I&O Plan). This document is a milestone schedule detailing the transition to an AQP for crewmembers, dispatchers, instructors, evaluators, and other operations personnel and a blueprint describing provisions for maintenance, administration, data management, and continuing quality control of curriculums. The I&O Plan can be sectioned into two parts. The first part spells out how the operator proposes to implement the AQP. Included in this proposal is the schedule for the phase III training evaluation to include instructor/evaluator training and small group tryouts. It should also include provisions for evaluating the effectiveness of performance measurement tools, and provisions for evaluating facilities, courseware, and equipment before starting the plans for the small group tryouts. The second part explains how the certificate holder intends to operate the AQP in phases IV and V. Included in this section are strategies for maintaining the program, crew pairing policy, First Look administration, and instructor/evaluator requirements. The operations plan should also describe in detail the data management plan. This plan includes a statement of understanding addressing the collection and analysis of performance/proficiency data and a description of the Performance Proficiency Database (PPDB), the data management collection process, and the FAA data submission, analysis, and reporting requirements.

1	Implementation – Phase III	Y	N	Comments
	a. Does this section include schedules for the implementation of the each of the AQP curriculums?			
	b. Do the schedules correlate to the MATS?			
	c. Do the schedules include dates for training the instructor/evaluators?			
	d. Does the instructor/evaluator training include difference training for those previously qualified (if applicable)?			
	e. Does this section include provisions for evaluating facilities, courseware, and equipment before starting the phase III training?			
	f. Does this section describe a plan for evaluating and observing the instructors and evaluators during the phase III small group tryout?			
	g. Does the instructor/evaluator training include provisions for evaluating the effectiveness performance measurements such as the application of the rating scale, use of gradesheets, and student feedback?			
	h. Does this section indicate that the applicant will request no-jeopardy credit for the small group tryout course graduates in a separate letter addressed to the Air Transportation Division (AFS-200) and the POI?			

2	Operations Phases IV & V—AQP Maintenance	Y	N	Comments
	a. Does this section describe the methodology for maintaining control of the AQP approval documents?			
	b. Does this methodology include a procedure for providing document copies to the POI and AFS-200 after the receiving the approval stamp from the POI?			
	c. Does this section describe the strategy to be employed for curriculum maintenance and update?			
	d. Does the strategy for curriculum maintenance and update include plans for acquiring and measuring data for tracking curricula?			
	e. Does the strategy for curriculum maintenance and update identify the person(s) responsible making changes in the AQP?			
	f. Does this section describe the strategy for monitoring and responding to demographic changes?			
	g. Does this section describe using training and evaluation feedback to maintain and improve the AQP?			
	h. Does this section describe how student and instructor feedback will be obtained?			
	i. Does this section describe any plans to upgrade training equipment?			
3	Operations Phases IV & V—First Look Maneuvers Administration	Y	N	Comments
	a. Does the applicant define First Look maneuvers, their purpose, and the strategy that will be used to administer them?			
	b. Does this strategy indicate who will administer the First Look maneuvers and at what point in the curriculum?			
	c. Does this strategy state that First Look will not be briefed prior to the first execution of these items?			
	d. Does this section describe how First Look maneuvers are selected?			

	e. Does this section describe how the First Look maneuvers would be updated?			
	f. Does the applicant describe how First Look maneuvers will be analyzed to determine trends of degraded proficiency?			
4	Operations Phases IV & V— LOFT/LOE Crew Scheduling and Pairing Policy	Y	N	Comments
	a. Does this section describe the circumstances that would require a seat substitute?			
	b. Does this section describe the decision rules that would apply in obtaining a seat substitute?			
	c. Does the decision rules that would apply in obtaining a seat substitute ensure that in all cases, the seat substitute must be task familiar with the duty position?			
	d. Does this section describe at what point in the curriculum that a seat substitute would be used?			
	e. Does the applicant acknowledge that all occurrences of seat position substitution including the qualification of the seat substitute must be reported?			
5	Operations Phases IV & V— Instructor/Evaluator Requirements	Y	N	Comments
	a. Does the applicant identify by title each instructor or evaluator position?			
	b. Does the applicant describe the job function(s) that each instructor or evaluator is authorized to perform?			
6	Data Plan	Y	N	Comments
	a. Does the data plan have a prologue that establishes the intended purpose and methods for the collection, management, analysis, and reporting of AQP training/evaluation data for each curriculum?			
	b. Does the prologue specify how the data plan will be maintained and updated?			

	c. Does the prologue acknowledge the certificate holder's responsibility to collect and analyze more data than is required to be submitted to the FAA in order to adequately identify performance trends and make changes to factors that impact the crewmember performance?			
	d. Does the data plan address the methods (e.g., gradesheets or computer-input screens) used to collect performance/proficiency data for all curriculums?			
	e. Does the data plan address data input quality control, security, and usability?			
	f. Does the data plan address data management as the means and strategy the certificate holder intends to employ to store, access, and assimilate the AQP/SVTP performance/proficiency data that is collected?			
	g. Does the data plan address the type of software the data management system employs (e.g., relational database or spreadsheet), the organization of the information in the electronic medium (e.g., database definition, database table relationships, or spreadsheet description) and a description of the user interface to this data management system?			
	h. Does the data plan address the type of analysis it will employ to facilitate the AQP performance information needs of the certificate holder and the FAA? This discussion of the data analysis must address how each type of AQP data will be analyzed.			
	i. Does the data plan address the FAA data submission requirements including format and frequency?			
	j. Does the data plan address the type of data format it will employ for the reports, (e.g., tabular reports, graphs)?			
	k. Does the data plan address the frequency of the reports, both internal and FAA?			
	l. Does the data plan identify the internal certificate holder personnel that will receive the reports?			
	m. Does the data plan include copies of all forms used for data acquisition and grading?			

	n. Does the data plan include a database description of data field types and a graphical depiction of the Database table relationships?			
	o. Does the data plan address a quality assurance strategy for ensuring data integrity? Does this strategy include instructor and evaluator grading calibration?			

Annual AQP Report – Phases IV & V. AQP requires that each certificate holder prepare an annual AQP report for the FAA. This report is based on the certificate holder’s analysis of the data that is collected during training and at strategic points (validation/evaluation gates) in each curriculum and maintained in the Proficiency Performance Database (PPDB). AQP requires data collection and analysis in order to establish and maintain quality control of curricula for crewmembers, instructors, and evaluators. The annual AQP report should summarize the lessons learned and adjustments made to the curriculum(s) during the reporting period. The report should also include projected or proposed changes to the curriculum(s) based on the certificate holder’s current analysis. The actual adjustments made to the AQP are reflected in revisions to the approved AQP documents. The report should be submitted to the FAA no later than 60 days past the end of the report period. The reporting period is usually based on the approval date for a particular curriculum in either phase IV or V. During AQP development, particularly for multiple fleet operators, with different approval dates for multiple curriculums, the reporting period may be modifiable as agreed upon by the FAA and the certificate holder. Copies of the report should be distributed the principal operations inspector (POI) and AFS-200 at least 2 weeks prior to the annual AQP review meeting.

	Annual AQP Report	Y	N	Comments
	a. Is there a prologue or introduction to the report that addresses how each type of AQP data was analyzed? This prologue should corroborate the information in the I&O Plan.			
	b. Does the report discuss data reliability and consistency?			
	c. Does the report summarize the internal quality assurance reports as addressed in the I&O Plan?			
	d. Does the report validate the effectiveness of the AQP with supporting evidence of successful training and evaluation?			
	e. Is the report supported by the FAA analysis of the submitted data?			
	f. Does the report identify any trends, problem areas, and potential deficiencies that could result in decreased proficiency?			
	g. Does the report include a description of corrective measures taken and any resulting changes to curriculums?			
	h. Does the report include any projected corrective measures to be taken and provide rationale for these changes?			
	i. Does the report indicate a need for changes to the AQP maintenance strategy as described in the I&O Plan?			

	j. Does the report indicate a need for changes to the certificate holder's data plan as described in the I&O Plan?			
	k. Does the report provide an analytical comparison of data between equivalent periods in preceding years?			
	l. Does the report identify any future operational changes that will affect the AQP (operational changes or trainee demographics)?			
	m. Does the report analyze training and evaluation feedback as part of the collected data to determine the effectiveness of the training program?			
	n. Does the report analyze on-time completion rates for training curriculums and OE?			
	o. Does the report analyze special tracking rates?			
	p. Does the report analyze instructor/evaluator (I/E) rater reliability training results?			
	q. Does the report analyze instructor comments as part of the collected data to determine the effectiveness of the training program?			
	r. Does the report analyze First Look data?			
	s. Does the report analyze maneuvers data?			
	t. Does the report analyze LOE data by technical topics and CRM elements?			
	u. Does the report analyze line check data (exclusive of OE)?			
	v. Does the report address progress towards phases III, IV, & V in other fleets (as applicable)?			
	w. Does the report address seat substitution rates?			
	x. Does the report address recordkeeping?			
	y. Does the report address adherence to the I&O Plan?			
	z. Does the report address the validity and usefulness of the qualification standards?			
	aa. Does the report address internal audit or FAA surveillance findings?			
	bb. Does the report address related safety programs (i.e., FOQA/ASAP)?			

RESERVED. Paragraphs 3-1501 through 3-1525.

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION**CHAPTER 27 GROUND DEICING/ANTI-ICING PROGRAMS****Section 4 Safety Assurance System: Maintenance Inspector Responsibilities—Evaluate an Operator’s Deicing/Anti-Icing Program****3-2236 REPORTING SYSTEM(S).**

A. Program Tracking and Reporting Subsystem (PTRS). For Title 14 of the Code of Federal Regulations (14 CFR) part 125 certificate holders, use PTRS activity codes 3625 and 5625.

B. Safety Assurance System (SAS). For 14 CFR parts 121 and 135 certificate holders, use SAS automation. This section is related to SAS Element 6.2.2 (AW), Deicing Program.

3-2237 OBJECTIVE. This section provides guidance for the principal maintenance inspector (PMI) in assisting the principal operations inspector (POI) in evaluating for approval proposed deicing/anti-icing programs.

3-2238 GENERAL. The current regulations in parts 121, 125, and 135 are based on the “clean aircraft” concept. These regulations prohibit a takeoff with frost, ice, or snow (contamination) adhering to the wings, control surfaces, or propellers of an airplane. Part 121, § 121.629, part 125, § 125.221, and part 135, § 135.227 require that each part 121/135 operator that conducts operations under conditions that may produce frost, snow, or ice accumulation must have one or both of the following:

- An approved aircraft deicing program.
- An inspection program that ensures that aircraft are free of any accumulation of frost/ice/snow before takeoff.

A. Approval Process. The approval of an operator’s deicing/anti-icing program involves the following steps:

1) Reviewing the Operator’s Program Submission. Both the PMI and the POI initially review the proposed program to ensure that all required elements have been submitted. After the PMI and the POI are satisfied that all of the required elements are suitably addressed, they will distribute copies of the program to all involved aviation safety inspectors (ASI).

2) Evaluating the Operator’s Program Submission. Conduct a detailed analysis of the proposed program, training, equipment, and facilities.

3) Validation Testing. Validate the operator’s performance during actual operations.

B. Issuance of Operations Specifications (OpSpecs). At the conclusion of the process, the POI with primary responsibility for this job task will issue the OpSpecs. The OpSpecs

authorize the operator to conduct operations under the program in ground icing conditions in which frost, ice, or snow may reasonably be expected to adhere to the operator's aircraft.

C. Provisions and Exceptions. Section 121.629(d) includes an exception to the requirements for a complete deicing/anti-icing program. This section provides that an air carrier is not required to have an approved deicing/anti-icing program if an Outside-the-Aircraft Check (OTAC) is completed within 5 minutes before beginning the takeoff. An OTAC must be performed from outside the aircraft to ensure that the "wings, control surfaces, and other critical surfaces are free of frost, ice, and snow" when the certificate holder is operating in ground icing conditions. If a certificate holder chooses to operate in accordance with § 121.629(d), the requirement for an OTAC must be contained in its OpSpecs.

D. Use of Infrared Deicing Facilities. An operator wishing to use an infrared deicing facility should ensure that the infrared deicing system used by that facility meets the criteria presented in this section or provides an alternative, acceptable means of assuring the operational safety of the deicing facility. Once an operator has determined that the infrared deicing system to be used by a deicing facility meets the criteria presented in this chapter, the operator should present their findings to their certificate-holding district office (CHDO) for review. Once the Federal Aviation Administration (FAA) determines, from the findings presented, that the infrared deicing system meets all criteria, then the system may become part of the operator's ground deicing/anti-icing program. Operators should use the following criteria for approving the use of infrared deicing systems:

1) The operator should create an appropriate description of the system: hardware, energy source, markings, etc. In addition, the operator should ensure that:

a) The infrared deicing system performs its intended purpose (i.e., it effectively deices an aircraft).

b) The operation of infrared deicing systems does not create a hazard to:

- Aircraft;
- Ground personnel, as determined by appropriate Occupational Safety and Health Administration (OSHA) standards;
- Crewmembers;
- Passengers;
- Cargo (sensitive materials, plants, animals, etc.); or
- Airport facilities (navigational aids, antennas, communication facilities, buildings, etc.).

c) The infrared system submitted for approval is in agreement with appropriate industry standards as created by groups such as: SAE International (SAE), the International Organization for Standardization (ISO), and FAA documents.

2) The method for approving the operational use of an infrared system should follow established guidelines set by industry groups, such as SAE, ISO, Airlines for America (A4A),

the International Civil Aviation Organization (ICAO), and the General Aviation Manufacturers Association (GAMA). These guidelines should address:

- The training of flightcrew, infrared equipment ground operator personnel, facility maintenance personnel, and deicing/anti-icing ground personnel;
- The temperature of the aircraft surface, including thermal cyclic loading, thermal stresses, and temperature extremes;
- Melted ice flowing into aerodynamically quiet areas and refreezing;
- Additional deicing and anti-icing requirements; and
- Environmental considerations.

E. Alternative Methods of Deicing. Given the cost of deicing with conventional fluids and the recent demand for alternative deicing methods, interest in infrared deicing systems has increased. The FAA encourages the development and use of alternative methods of deicing such as infrared systems; however, it is necessary to ensure that infrared deicing systems are used with the highest degree of safety. Consequently, the FAA has developed general safety criteria for operators and inspectors to use in evaluating and approving the use of infrared deicing systems in an operator's deice/anti-ice program.

F. Infrared Deicing Facility Criteria. An operator wishing to use an infrared deicing facility should ensure that the infrared deicing system used by that facility meets the criteria, or provides an alternative, acceptable means of ensuring the operational safety of the deicing facility.

3-2239 DEFINITIONS.

A. Pretakeoff Check. A pretakeoff check is a check of the aircraft's wings or representative aircraft surfaces for frost, ice, or snow during the aircraft's holdover time (HOT).

B. Pretakeoff Contamination Check. A pretakeoff contamination check is conducted by the flightcrew and ground personnel after exceeding the HOT. They conduct this check to make sure that the wings, control surfaces, and other critical surfaces, as defined in the operator's program, are free of frost, ice, and snow. The pretakeoff contamination check must be completed within 5 minutes before beginning the takeoff.

C. Outside-the-Aircraft Check (OTAC). Section 121.629(d) requires an OTAC of a certificate holder who operates in ground icing conditions without an approved part 121 ground deicing/anti-icing program. For those operators without an approved program, if frost, ice, or snow may reasonably be expected to adhere to the aircraft, an OTAC must be performed to ensure that the wings, control surfaces, and other critical surfaces are free of contamination. An OTAC must occur within 5 minutes before beginning the takeoff.

D. Holdover Time (HOT). HOT is the estimated time for which deicing/anti-icing fluid will prevent the formation of frost or ice and the accumulation of snow on the treated surfaces of an aircraft. HOT begins when the final application of deicing/anti-icing fluid starts and ends when the applied deicing/anti-icing fluid loses its effectiveness.

3-2240 PREREQUISITES AND COORDINATION REQUIREMENTS.**A. Prerequisites:**

- Knowledge of the regulatory requirements of part 121, 125, or 135, as applicable; and
- Successful completion of appropriate Airworthiness Indoctrination course(s).

B. Coordination. This task requires coordination with POIs and the operator.

3-2241 REFERENCES, FORMS, DATA COLLECTION TOOLS (DCT), AND JOB AIDS.**A. References (current editions):**

- Advisory Circular (AC) 20-73, Aircraft Ice Protection.
- AC 20-117, Hazards Following Ground Deicing and Ground Operations in Conditions Conducive to Aircraft Icing.
- AC 23.1419-2, Certification of Part 23 Airplanes for Flight in Icing Conditions.
- AC 65-15, Airframe and Powerplant Mechanics Airframe Handbook (refer to chapter 7, Ice and Rain Protection).
- AC 91-13, Cold Weather Operation of Aircraft.
- AC 91-79, Mitigating the Risks of a Runway Overrun Upon Landing.
- AC 120-58, Pilot Guide for Large Aircraft Ground Deicing.
- AC 120-60, Ground Deicing and Anti-Icing Program.
- AC 120-89, Ground Deicing Using Infrared Energy.
- AC 135-9, FAR Part 135 Icing Limitations.
- AC 135-16, Ground Deicing and Anti-Icing Training and Checking.
- AC 135-17, Pilot Guide—Small Aircraft Ground Deicing.
- Volume 3, Chapter 27, Ground Deicing/Anti-Icing Programs.
- Volume 4, Chapter 3, Section 5, Safety Assurance System: Selected Practices.
- FAA-P-8740-24, General Aviation Accident Prevention Program, Tips on Winter Flying.
- Publications of the Association of European Airlines (AEA) found on the website: <http://www.aea.be/news-media-room-media-centre/publications.html>.

NOTE: Numerous videos have been produced by manufacturers of deicing/anti-icing products and by aircraft operators. Access to these videos may be available through the regional deicing/anti-icing coordinator.

B. Forms. None.

C. DCTs. SAS DCTs from SAS Element 6.2.2 (AW), Deicing Program.

D. Job Aids. Job Task Analyses (JTA): 2.3.34 and 3.3.57.

3-2242 PROCEDURES.**A. Brief the Operator.**

- 1) Assist the operator in acquiring all of the pertinent published information.
- 2) Ensure that the operator is familiar with the technical difficulties that may be involved and the regulatory requirements that must be met.
- 3) Outline for the operator those elements that must be contained in the operator's proposed program and the required actions at each stage of the approval process.
- 4) POIs and PMIs should inform the operators for which they have oversight responsibility of the process and criteria for approving infrared deicing systems. The operators should be informed that it is their responsibility to evaluate any infrared deicing system that they wish to use for their aircraft ground deicing/anti-icing program.

B. Review the Operator's Submittal.

- 1) If the submission is incomplete, immediately inform the operator and determine if the operator intends to complete the package.
- 2) If the submission is complete, inform the operator and distribute the documents to the appropriate inspectors for initial examination.
- 3) If the package is unacceptable, discuss with the operator those elements that were unacceptable and/or return the package with a letter outlining the deficiencies.
- 4) Once an operator has determined that an infrared deicing system meets the criteria, that operator should present its findings of the evaluation to its principal inspector (PI).

C. Evaluate the Operator's Deicing/Anti-Icing Program.

- 1) Ensure that the manual provides all categories of employees with instructions and information that helps them to perform their duties with a high degree of safety.
- 2) Ensure that the operator's manual material includes the following:
 - Clear identification of each category of employee with responsibility for deicing/anti-icing program elements;
 - Duty definition of each category of employee involved;
 - Background information and step-by-step procedures; and
 - Checklists, where appropriate, that will allow each category of employee to perform their responsibilities to the required standard.
- 3) To ensure that the program complies with § 121.629(c), each operator's ground deicing/anti-icing program must cover a management plan detailing operational responsibilities and procedures as described in AC 120-60.

D. Review Management Plan. The operator should develop, implement, and use a management plan to ensure proper execution of its approved deicing/anti-icing program. The management plan should include operations and maintenance responsibilities and identify the management positions that are responsible for ensuring that all necessary elements of the deicing/anti-icing program are properly executed.

E. Examine Holdover Timetables and the Procedures for Their Use. Ensure that each operator has developed, and has available, holdover timetables for use by its personnel. In addition, each operator must make its holdover timetables available for use in the cockpit. These timetables are required to be supported by data acceptable to the Administrator.

F. Evaluate the Operator's Training. Ensure that the operator has developed a training program that qualifies each category of employee with responsibilities for deicing/anti-icing. Flightcrew training must be incorporated into the operator's approved training program. The training program must include the following:

- 1) General procedures and any specific requirements for each make, model, and variant of aircraft used by the operator.
- 2) Means of testing, qualification, and requalification for each category of employee involved in the program.
- 3) Demonstration of proficiency, by performance, of flightcrew members, equipment operators, and inspectors.
- 4) Procedures for recurrent training.

G. Determine if Exceptions Apply to the Operator.

1) Certificate Holders That Do Not Operate in Ground Icing Conditions. The part 135 ground deicing rule does not apply to a certificate holder that does not operate in ground icing conditions. This certificate holder is not required to train its pilots or develop pretakeoff contamination check procedures. Certificate holders that do not operate in ground icing conditions will have that limitation in their OpSpec A042.

2) Operators Using Only One Pilot in Operations. Single-pilot operators are not required to comply with the manual and approved training requirements of § 135.21 or § 135.341. Therefore, single-pilot operators are not required to have an approved pilot training program or the additional training required by the part 135 ground deicing rule. However, single-pilot operators must comply with all of the operational requirements of the part 135 ground deicing rule. Those operational requirements include a pretakeoff contamination check or an approved alternative procedure to the pretakeoff contamination check described in its OpSpec. The pilots of these types of operators will need to demonstrate sufficient knowledge to operate in ground icing conditions during the initial and recurrent flight checks. A single-pilot operator will have an aircraft-specific description of the pretakeoff contamination check in its OpSpecs A041.

3) Helicopter Operations. Helicopter operations conducted under part 135 are excluded from the additional training and pretakeoff contamination check requirements of the part 135 ground deicing rule. However, the regulation requires the “clean aircraft” concept for helicopters.

H. Determine if Operator’s Program Meets Training Requirements of Part 135 Ground Deicing Rule. For operators required to have an approved training program, the training program must include pilot ground training in those subject areas relating to deicing and anti-icing operations required by § 135.345 for initial, transition, and upgrade training and by § 135.351 for recurrent training and testing. These training requirements must include procedures for operating airplanes during ground icing conditions. The operator must provide that training to its pilots and all other participating personnel. The training must include at least the following elements:

1) Use of HOTs. In part 135 operations, HOTs are only advisory and serve as guidance to the pilot in making takeoff decisions. If the operator uses the deicing/anti-icing fluids, it must train its pilots in the use of HOTs.

2) Deicing/Anti-Icing Procedures. Airplane deicing/anti-icing procedures include inspections and check procedures, and responsibilities and requirements for the pretakeoff contamination check or alternative procedures, as applicable.

3) Communications. The operator must provide training for all company personnel in communicating with all agencies involved in the deicing/anti-icing process and the decisionmaking process.

4) Contamination. Aircraft surface contamination training includes how to identify frost, ice, or snow, and how to locate critical areas. Training should include an explanation of how small amounts of surface contamination adversely affect aircraft performance and flight characteristics.

5) Deicing/Anti-Icing Fluids. If the operator uses deicing/anti-icing fluids, it must train its pilots, as well as any other participating personnel, in the types and characteristics of deicing/anti-icing fluids.

NOTE: It is important that flightcrews do not use deicing/anti-icing fluids unless they have been trained in the characteristics and effects of these fluids on their operation.

6) Cold Weather Preflight Inspection Procedures. Training should include procedures for cold weather preflight inspections.

7) Contamination Recognition. This aspect of training should cover techniques for recognizing contamination on the aircraft. These techniques should be used during both the preflight inspection and the pretakeoff contamination check.

NOTE: Both part 121 and 135 operators must have documentation in their general manuals (GM) or flight manuals (fm) for the procedures they intend to use to comply with their respective deicing/anti-icing rule.

3-2243 TASK OUTCOMES.

A. Complete the PTRS Record. For part 125.

B. Follow SAS Guidance Module 5. For parts 121 and 135.

C. Complete the Task. Completion of this task will result in one of the following:

- For program approval, the result is issuance of OpSpecs.
- For program disapproval, the result is listing of the restriction in OpSpec A004.

D. Document the Task. For part 125, file all of the supporting paperwork in the operator's office file. For parts 121 and 135, follow the SAS process.

3-2244 FUTURE ACTIVITIES. Normal surveillance.

RESERVED. Paragraphs 3-2245 through 3-2248.

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION**CHAPTER 34 CHANGES TO AIR CARRIER, AIR OPERATOR, OR AIR AGENCY
CERTIFICATE OR OPERATING AUTHORITY****Section 1 Safety Assurance System: Mergers and/or Acquisition of Operational Assets****3-3591 GENERAL.**

A. Purpose. This section provides guidance and a process to follow when certificate holders merge operations, acquire operational assets of another certificate holder, or change ownership.

NOTE: This section is designed primarily to cover mergers and/or acquisitions between certificate holders conducting Title 14 of the Code of Federal Regulations (14 CFR) part 121 operations. However, this guidance applies to other 14 CFR parts that are issued an Air Carrier, Operating, or Air Agency Certificate (e.g., 14 CFR parts 125 and 135). Principal operations inspectors (POI) should be aware that the current method used by the Federal Aviation Administration (FAA) to approve a certificate holder's merger and/or acquisition process is through the issuance of operations specification (OpSpec) A502. This OpSpec is currently only available for parts 121 and 135 operations.

1) When mergers and/or acquisitions occur, certificate holders will typically have substantial changes in management; turnover in personnel and reduction of workforce; labor disputes; rapid expansion; changes in fleet types; and changes in outsourcing. These changes resulting from a merger or acquisition require various levels of FAA coordination, approval, and/or acceptance before they are implemented. The following are examples of changes that could occur during mergers and/or acquisitions:

- Changes in operational control systems and philosophy.
- Changes in OpSpecs.
- Changes to approved programs that are part of the operational control system.
- Revisions to manuals containing procedures for conducting various operations, maintenance, and inspection programs.
- Revisions to training curricula and/or changes in employee qualification criteria for persons who will be conducting merged or new operations and/or programs.

2) The successful merger and/or acquisition of certificate holders will depend on the effective coordination, communication, and commitment between the certificate holders and the FAA. Complete each phase of the merger/acquisition process in the respective order to ensure the smooth alignment of activities and processes. Every merger/acquisition submission must have a defined transition plan that contains timelines.

3) The certificate holder is responsible to consider the following factors and ensure that these factors have a direct influence on the FAA's ability to effectively and timely fulfill its requirements concerning mergers and acquisitions:

- Complexity of the affected operations.
- Timely notification to the FAA.
- The FAA's early understanding of the changes which will result from the merger or acquisition.
- The certificate holder's comprehension of the actions to take to obtain FAA approval or acceptance of the consequent changes.
- The length of time and sequence to implement changes.

B. Scope. Mergers and acquisitions have a significant effect on FAA resources and have visibility at the highest levels of the FAA. It is imperative to handle them efficiently and effectively, ensuring continued compliance with 14 CFR and safe operating practices.

- 1) Mergers occur when two or more certificate holders merge operations.
- 2) Acquisitions occur when there is a transfer of significant amounts of operational assets, including equipment and/or personnel. This is similar to a merger. Develop a transition plan the same way as a transition plan for a merger.

NOTE: Acquisition by holding companies (non-certificate holders), when the certificate holder continues to exist as an independent entity (subsidiary), is a type of acquisition that requires little, if any, FAA action. Usually, few operational changes are made and development of a transition plan is not necessary.

C. Indepth Inspections. In complex mergers or acquisitions, or when extensive changes or integrations occur, principal inspectors (PI) should consider requesting an indepth inspection of the surviving certificate holder's operation (see paragraph 3-3594, Task Outcomes). PIs should normally plan an indepth inspection toward the end, or after completion, of the transition period.

3-3592 TASK PREREQUISITES AND SIGNIFICANT INTERFACES.

A. Department of Transportation (DOT) Economic Authority Considerations. The air carrier is responsible for determining whether or not it will need to modify its existing DOT economic authority by virtue of receiving the single operating certificate (SOC) with different operating authority (e.g., domestic versus flag). In some cases, the answer will be "no" if the air carrier previously obtained DOT approval for transfer of international and other route authorities to the surviving certificate. The PI must ensure all required authority has been given by the DOT before issuing any OpSpecs. Any questions involving this step should be addressed to the Office of the Chief Counsel (AGC).

B. Department of Justice (DOJ) Approval. DOJ approval may be required for some mergers if antitrust laws are involved. It will be the responsibility of the surviving certificate holder to coordinate all of these issues with the DOJ.

C. Significant Interfaces.

1) A merger or acquisition requires effective coordination and communication between the FAA and each certificate holder involved. Each certificate holder is responsible to designate its personnel who will be involved with the merger/acquisition process. The FAA will designate its appropriate personnel (e.g., managers, supervisors, and PIs) of the affected certificate-holding district offices (CHDO) and Certificate Management Teams (CMT). The CHDOs and CMTs will interface with the regional Flight Standards division (RFSD). The RFSD will interface with FAA Headquarters (HQ). A Joint Transition Team (JTT), if established (see subparagraph 3-3593A2) below, should be set up early. If a JTT is established, the JTT Team Lead will interface directly with FAA HQ and keep the appropriate RFSDs informed. Active communication between all stakeholders is paramount. During the merger period, significant changes will take place. The JTT or the lead CHDO (further discussed in subparagraph 3-3593A1)) will keep all affected personnel informed of the transition plans along with the progress of the merger and/or acquisition process and any issues associated with that process.

2) Certificate holders are responsible for the merger or acquisition process. The FAA understands that certificate holders may elect to utilize third-party consultants to play a role in the merger or acquisition process; however, the FAA will conduct communications directly with the certificate holder. The FAA will not communicate directly with the consultants.

D. Additional Interface Considerations. Certificate holders who interface with international authorities shall consider early coordination with those entities for meeting all International Civil Aviation Organization (ICAO) requirements (e.g., OpSpecs and call sign changes). Contact the appropriate International Field Office (IFO), International Field Unit (IFU), or the International Programs and Policy Office (AFS-50) if necessary.

E. References. None.

F. Forms. Figure 3-130, Sample Joint Transition Team Charter.

G. Job Aids. Figure 3-121A, Transition Plan Job Aid.

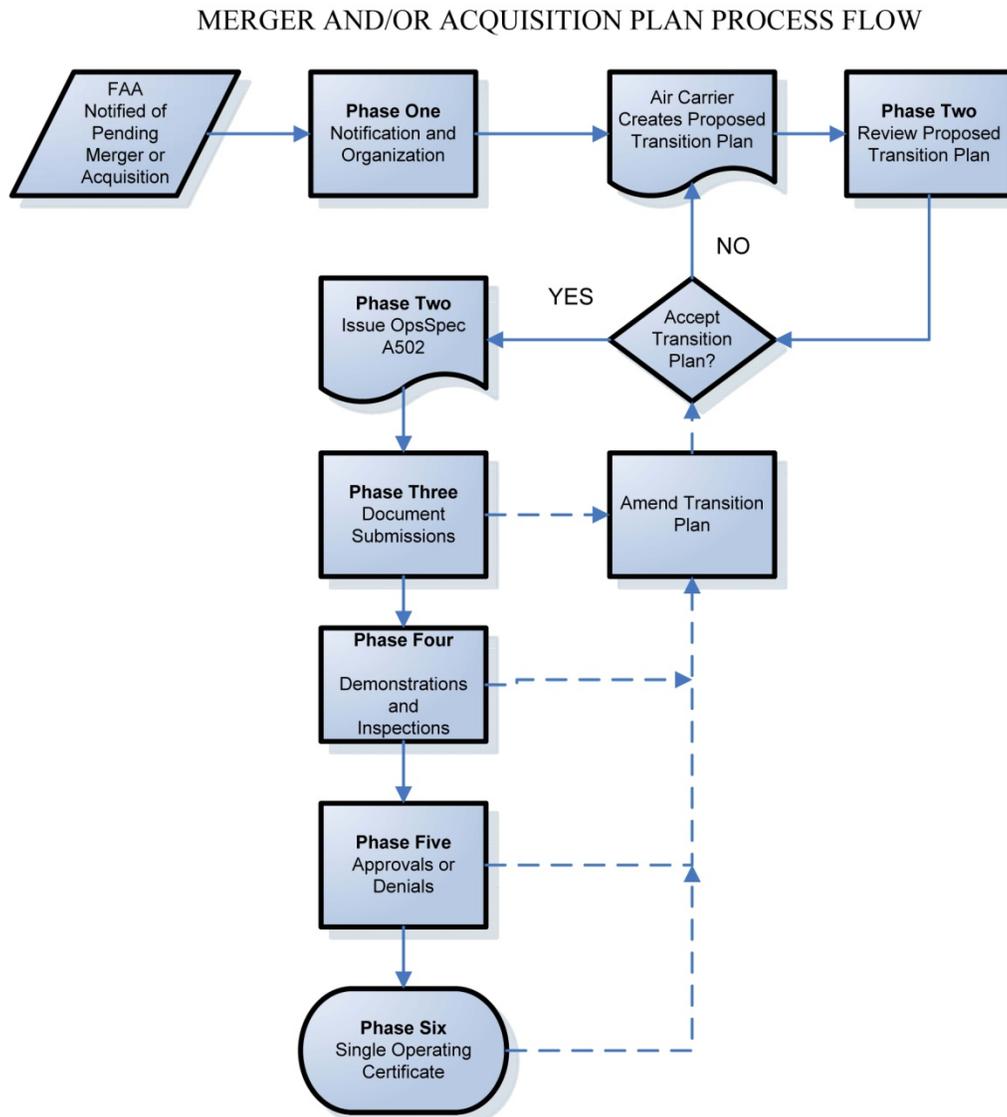
H. Additional Guidance. For part 121 air carriers, the Safety Assurance System (SAS) assesses the safety of air carrier operating systems. The SAS Data Collection Tools (DCT) will be used to evaluate the design and performance of proposed merged systems during the merger process. The SAS process and the Certificate Holder Evaluation Process (CHEP) provide means to identify hazards, analyze risk, and determine action in the course of air carrier mergers or acquisitions.

NOTE: When the direction and guidance provided in this order does not adequately address a particular situation, the JTT Team Lead or the CHDO manager will forward a request for additional guidance through the RFSD to the appropriate HQ policy division.

I. Documentation Tracking. Each aviation safety inspector (ASI) who reviews submitted programs will document each activity via Program Tracking and Reporting Subsystem (PTRS) codes 1236, 3236, 5236, or 8236 as appropriate after review and acceptance or approval of each submitted program. The CMT management will be responsible to ensure all tracking is timely and accurate. Air Carrier Certificates under SAS may elect to use the Action Item Tracking Tool (AITT) to document and track specific programs; however, the AITT does not replace the requirement to use PTRS.

NOTE: The JTT or CMT will be responsible for tracking all open/pending Enforcement Investigation Reports (EIR) that have not left the office. Consult the Regional Counsel for guidance on how to combine all open/pending EIR cases and, if necessary, the Enforcement Division in the AGC in HQ.

Figure 3-121. Merger and/or Acquisition Plan Process Flow



NOTE: The transition plan can be amended at any time during each phase up to and including after SOC. For discussion on whether amending the transition plan requires an OpSpecs change and corresponding approval, see subparagraph 3-3593B1).

3-3593 PROCEDURES.

A. Phase 1—Notification and Planning.

1) Step 1—Notification from Certificate Holder and FAA Planning.

Certificate holders involved in a merger or acquisition should notify the appropriate CHDO, who will then notify the RFSD. Upon notification and as early as possible, the affected CHDOs and their RFSD should accomplish the following as appropriate:

a) When two or more CHDOs are involved, the RFSD or HQ will make a determination as to which one will be the lead office and where the principal base of operations will be located. If the lead office determination crosses regional boundaries, coordination between the involved RFSDs would be required. At some point, the Flight Standards Service (AFS) must decide which district office will be the CHDO after the merger or completion of the acquisition. In making this determination, apply the considerations described in Volume 2, Chapter 1, Section 2, for assigning CHDO responsibilities. If the CHDO transfers responsibilities to another office, the CHDOs should accomplish the same types of inter-district-office and inter-regional coordination, briefings, inspections, and transfer of operator files, as described in Volume 2, Chapter 1, Section 2, at the appropriate time.

b) Affected CHDOs and assigned PIs must establish lines of communication. Once established, the CHDOs and PIs should maintain this communication throughout the transition period to provide an ongoing dialogue between assigned PIs, district offices, and the regions. If the RFSD establishes a JTT, the JTT shall also be part of this ongoing communication. The RFSD or JTT (if established) shall periodically keep the Air Transportation Division (AFS-200) and Aircraft Maintenance Division (AFS-300) informed of the status of mergers or acquisitions. The RFSD will provide AFS-200 with a point of contact (POC) for the merger or acquisition.

c) The CHDO and RFSD managers will select/assign who will serve during the merger process. If the merger warrants a JTT, the RFSD will initiate its establishment. See Step 2 for additional JTT information.

2) Step 2—JTT Formations and Expectations.

a) The RFSD will be responsible for determining if a JTT is necessary. Contact AFS-200 and/or AFS-300 for help in determining if a JTT is necessary. The JTT should include representatives from all affected CHDOs and RFSDs and should include all applicable specialties (Operations, Airworthiness, Dispatch, and Cabin Safety). The CHDO managers and RFSD managers will designate three transitional PIs (POI, principal maintenance inspector (PMI), and principal avionics inspector (PAI)) to serve during the merger process. The transitional PIs should be members of the JTT and, whenever possible, the PIs of the surviving certificate holder. These transitional PIs will be responsible for determining outcomes of

program approvals, acceptance of certificate holder systems, manuals, and OpSpecs generation during the merger process. If resources are lacking at the field level, expand the search for JTT members to include regional or national personnel. Consider having JTT members dedicated solely to the merger and/or acquisition process depending on its complexity. Separate PIs (perhaps acting) should be assigned to the day-to-day certificate management of each certificate.

b) Conduct regularly scheduled JTT meetings throughout the entire merger/acquisition. The level of complexity of the merger and/or acquisition may necessitate the JTT meeting several times a week, with the certificate holders, the JTT members, or both. The JTT should regularly brief all the stakeholders, keeping inspectors and support staff informed on the progress.

3) Requirements for the JTT After Establishment:

a) The CHDO managers will nominate a JTT Team Lead, who regional division management will designate. The team lead will be identified to HQ and will serve as the main POC for all information regarding the merger/acquisition process.

b) Develop a JTT guide and charter if applicable (see Figure 3-130).

c) Open lines of communication between respective field offices, Regional Offices (RO), and HQ. Include the National Simulator Program (NSP) (AFS-205) if applicable.

d) Plan and conduct initial meeting with the certificate holder.

e) The JTT will coordinate and communicate with the CMT PIs on any changes in processes or procedures, which will directly affect the continuing oversight of each certificate holder prior to SOC.

f) The JTT will use the respective CMT staff to assist in the various program review processes.

g) The JTT will be responsible for the tracking and documentation of the day-to-day activities surrounding integration of the certificates.

h) Along with a robust document tracking method for approval and acceptance of documents submitted, clerical assistance and automation support for the JTT is a requirement. The JTT may produce many certificate holder documents, as well as FAA documents, depending on the complexity of the merger/acquisition. The JTT should include all transition documents as well as all meeting minutes in the documentation process, and make them available to affected FAA stakeholders.

i) In coordination with the CMT PIs, the JTT will consider the associated risk factors of the merger/acquisition changes that the certificate holder identifies as they are fully implemented. For part 121 mergers, the use of SAS tools will help to ensure that each certificate holder continues to operate at the highest level of safety.

j) Should questions arise, JTT members will remain available until after the merger/acquisition is fully completed and all OpSpecs are combined without any references to parallel operations.

4) Step 3—Establish FAA Resource Availability. The size and scope of the merger/acquisition of the certificate holder will be a consideration during formation of the JTT and the FAA resources that need to be available during the transition. Expertise outside of the field office may be necessary. For the merger/acquisition of part 121/135 certificate holders, consider placing JTT and CMT members as a shared resource on each other's SAS rosters. See Volume 10, Chapter 4. This will allow the team members the ability to conduct a Design Assessment (DA) and then enter that data into the respective database.

5) Step 4—Initial Meeting.

a) The FAA recommends the certificate holders have a dedicated transition team similar to the FAA's JTT. The recommendation is to have a team be comprised of personnel who have authority and responsibility to make decisions on operating practices for the respective certificate holders. Routine changes made in the normal course of certificate management can have a significant effect on the merger or acquisition of certificates.

b) The lead CHDO or the JTT must schedule an initial meeting for the certificate holder to brief the FAA of their proposed plans and for the FAA to brief the certificate holder's key management personnel of the FAA requirements contained in this section. All PIs affected, their managers, and the entire JTT should attend. The intent of the initial meeting is to establish a good working relationship that will help the certificate holder to understand that aviation safety must not be compromised during the merger process and that an efficient and timely transition is predicated on their response to required changes or revisions. The CHDO manager should ensure that the timing of this meeting is appropriate for the situation.

c) The lead CHDO Manager should direct either the JTT or the assigned PIs to prepare for and conduct this initial meeting. Figure 3-121A should be useful in preparing for this briefing. During the briefing, ensure that the responsible parties will:

1. Verify the information provided by the certificate holders.

The information should include which certificate will survive, identification of the required management personnel in accordance with 14 CFR part 119, § 119.65 or § 119.69 as appropriate, and the location of certificate holder headquarters. If the certificate holders have changed their initial planning information to the extent that determination concerning CHDO assignment is questionable, immediately notify the RFSD.

2. Verify that all stakeholders understand that until the merger is complete, all approvals and/or acceptance within the individual CMTs must filter through the JTT to ensure any changes will not have ramifications on the merger process. Each certificate holder must follow their current processes until each new process(es) has been approved or accepted.

3. Ensure the certificate holders understand that if they apply for exemptions that information must be communicated to the JTT.

4. Inform the certificate holders of the requirement to submit a transition plan that will outline the transition that will occur throughout the merger or acquisition process. The size and scope of the operation will determine the complexity of the plan.

5. Inform the certificate holders that the FAA recognizes modifications to the transition plan and estimated schedules will often be necessary. Therefore, appropriate notification of these changes will be essential, and the FAA will attempt to respond in a timely manner. The certificate holder should submit the transition plan to the JTT or CHDO (if no JTT exists) as soon as possible so that the FAA may begin planning its activities.

6. Encourage the certificate holders to consult with either the JTT or the PIs during development of the transition plan. Any amendment to the transition plan will require acceptance of the amended plan and reissuance of OpSpec A502 may be required if significant events or changes occur.

7. Inform the certificate holders of the FAA's merger guidance contained in this section and provide them with the information that a transition plan should include.

8. Inform the certificate holders to prepare a new compliance statement for the merged entity. This will identify how the merged certificate will maintain compliance with the CFR, as well as ensuring the certificate holder's manuals contain the appropriate regulatory references.

B. Phase 2—Transition Plan Review and Issuance of OpSpec A502 for Air Carriers.

1) Transition Plan.

a) One of the most important early steps in a merger/acquisition process will be the certificate holder's submission of a transition plan. A transition plan must be submitted for air carriers. The regulatory authority for this requirement is part 119 subpart C, which specifies the findings that need to be made in order to issue an SOC. The size and complexity of the transition will depend on the size and scope of the certificate holders that are undergoing the merger and/or acquisition. The plan should identify those programs that require FAA approval or acceptance. FAA approval of a merger and/or acquisition transition plan ultimately occurs at the RFSD of the CHDO, who will have oversight responsibility of the surviving certificate holder in the merger/acquisition. Upon completion of the review of the certificate holder's transition plan, the RFSD shall forward a copy of the transition plan to AFS-200 and/or AFS-300 (and the other RFSD(s) if applicable), as appropriate along with a copy of the certificate holder's proposed OpSpec A502. AFS-200 must approve OpSpec A502 in coordination with AFS-300 before being issued. Once AFS-200 and AFS-300 have approved issuance of OpSpec A502, the PIs will issue OpSpec A502 to each certificate holder involved in the merger and/or acquisitions. The issuance of OpSpec A502 to each certificate holder involved is a means of authorizing the plans for the transition during the merger or acquisition process.

b) The transition plan is very dynamic and the CHDO level accepts any normally occurring changes to the transition plan, unless the RFSD determines otherwise, with no reissuance of OpSpec A502. However, any significant revisions to the transition plan will require reissuance of OpSpec A502, which AFS-200 must approve in coordination with AFS-300.

c) The kind of information outlined in OpSpec A502 is dependent on the type and complexity of the situation. For additional information regarding OpSpec A502, see Volume 3, Chapter 18, Section 3, OpSpec A502. The JTT or PIs must review the transition plan in detail during this phase and consider the availability and capability of resources, making sure plans and schedules develop accordingly. To be responsive to the certificate holder's needs, inspectors will need to conduct timely evaluations of the changes outlined in the transition plan. The FAA should carefully consider the feasibility of the plan.

d) The transition plan must:

1. Ensure the certificate holder continually identifies hazards and manages the risk associated with the merger/acquisition changes as these changes occur. Encourage the certificate holders to use a Safety Risk Management (SRM) process, as it will be beneficial. For the certificate holders that are required to use the SRM process, make sure they identify when and how they plan to use SRM.

2. Contain a Schedule of Events (SOE) or timeline. Many events and activities outlined in the transition plan must occur before other events or activities. The transition plan should not contain open-ended events or activities. It should include a timeline for the completion of the transition period when all changes resulting from the merger or acquisition are due to be complete.

3. Outline the methods or procedures to be used to ensure continued compliance with 14 CFR and safe operating practices. For example, previously approved minimum equipment lists (MEL) based on specified maintenance and operations procedures should continue to be used until the new or revised MEL is approved.

4. Be designed to ensure that changes to major programs are not submitted at the end of the transition. Submitting multiple programs to the FAA toward the end of the plan may delay acceptance and approval.

5. Below are some items to consider within a transition plan. Some of these items are part-121-air-carrier-specific.

a. A general discussion of:

- Operational control during and after SOC.
- Manual systems and how they will be identified and cataloged.
- The method of combining two Safety Management Systems' (SMS) programs and how the SMS will be utilized during the merger activities (if applicable).

- Proving/validation flights and/or ditching/emergency evacuations plans (submit early for resource planning).
- Any change in authority to conduct a kind of operation. For example, flag versus domestic, domestic versus supplemental, commuter versus on-demand.

NOTE: The DOT grants only economic authority; it does not grant operational authority to conduct a kind of operation. In order to obtain authority to conduct a particular kind of operation (i.e., domestic, flag, supplemental, commuter, or on-demand), § 119.33 requires certificate holders to conduct proving tests. In addition, certificate holders may be required to conduct validation tests to obtain approval to conduct a type of operation such as Extended Operations (ETOPS) or extended overwater.

b. Approved or accepted items and programs, and identify how those will change. These programs include, but are not limited to:

- Training programs, including those for flight and in-flight crewmembers, dispatchers and operational control, maintenance, ground, and customer service personnel;
- Continuous Airworthiness Maintenance Program (CAMP);
- MELs;
- Airworthiness Directive (AD) program;
- Alternative method of compliance (AMOC) for ADs. Submit as early as possible. They may require Aircraft Certification Office (ACO) coordination;
- Supplemental Type Certificates (STC) (may require coordination with ACO);
- Special airports;
- Environment assessments considerations if new aircraft are added to OpSpec C070;
- ETOPS;
- Fatigue Risk Management Plan (FRMP);
- Recordkeeping;
- Pilot Records Improvement Act of 1996 (PRIA). Refer to the current editions of Advisory Circular (AC) 120-68, Pilot Records Improvement Act of 1996, and FAA Order 8000.88, PRIA Guidance for FAA Inspectors;
- Carry-on baggage program;
- Exit seating program;
- Drug and alcohol testing;
- Security programs to include access to cockpit;
- Hazardous materials (hazmat) programs;
- OpSpecs—side-by-side comparison of A004;
- Emergency Airworthiness Directive (EAD) notification;

- Driftdown procedures;
- Category II (CAT II) Approach and CAT III Approach;
- Reduced Vertical Separation Minimum (RVSM);
- Weight and Balance (W&B) program;
- Ground deicing/anti-icing program;
- Fueling;
- Aircraft parts consolidation;
- Test equipment consolidation; and
- Exemptions and deviations.

NOTE: Figure 3-121A provides a transition plan job aid for inspector use.

2) General Information on Transition Plans.

a) Transition plans must outline the strategy and include benchmarks or target dates for bringing the various processes together prior to SOC. If operational areas of the certificate holder after SOC will remain separate and operate parallel, it will be essential that the transition plan establish which processes will remain separate. The transition plan will include identified parallel processes and provide a schedule for merging these parallel processes after SOC. Parallel operations will create higher risk, so if the certificate holder elects to have separate processes at SOC then it will be important for the FAA to give careful scrutiny of those areas with increased surveillance. The FAA and the air carrier will give careful consideration to the OpSpecs and how to identify separate processes within the affected OpSpecs. More information on OpSpecs relating to this topic is in subparagraph 3-3593E, Phase 5—Approvals or Denials of Various Demonstrations or Submitted Documents.

b) If the certificate holder elects to run parallel operations after SOC, they must address the following items for each of these parallel operations. This will be necessary in order to ensure the certificate holder is properly and adequately equipped as well as able to conduct a safe operation.

- Descriptions of the parallel processes.
- Reasons for the parallel processes.
- Who is affected by the parallel processes.

NOTE: The JTT will review these items. Should a JTT not exist, the CMT will conduct the review in conjunction with the RFSD, as they hold the ultimate responsibility for the approval of the transition plan.

c) The parallel process shall also include descriptions of the controls ensuring the parallel processes are followed. A Custom Data Collection Tool (C DCT) (a SAS tool) could be helpful for the merger team to assess these required processes used by the certificate holder.

d) At the point of SOC, the airline will operate as a single entity from both organizational and management perspectives even though some departments may be running parallel operations under a single entity. Equally important for SOC is operational control; this must be done under one entity. Fenced operations must be clearly described in the appropriate

OpSpec with HQ approval before issuance. For more information on issuing those OpSpecs, see subparagraph 3-3593E.

3) Return of Transition Plan.

a) If significant deficiencies, omissions, or impractical proposals exist, the PIs should meet with the controlling certificate holder's management and attempt to resolve these problem areas. Return the transition plan if the PIs and managers cannot resolve these problems to the satisfaction of the FAA with a letter briefly describing the unsatisfactory areas. The CHDO will retain a copy of this letter along with a copy of the returned transition plan.

b) The PI will not issue OpSpec A502 for air carriers if a CHDO returns a transition plan because it does not ensure continued regulatory compliance, or if the certificate holder refuses to develop and submit a plan. Should the certificate holders continue with the merger and or acquisition process despite the rejection of the transition plan, the CHDO should increase surveillance if necessary with the option of requesting an indepth inspection, such as a CHEP, and deny any certificate amendments under § 119.41(c).

4) Issue OpSpec A502. When the RFSD in coordination with the CHDO finds the transition plan to be acceptable, the PIs will prepare a draft OpSpec A502 and send it to AFS-200/AFS-300 for approval. OpSpec A502 is a nonstandard OpSpec authorization. PIs must review Volume 3, Chapter 18, Section 2, paragraphs 3-712 and 3-713 for information on how to obtain HQ approval to issue nonstandard OpSpec authorizations. In addition, PIs must see Volume 3, Chapter 18, Section 3, OpSpec A502, which contains specific guidance on how to issue OpSpec A502. OpSpec A502 will remain in place until the merger/acquisition is 100 percent complete. Revisions to transition plans will likely necessitate updates, unless they are minor, to OpSpec A502. A revision to a transition plan could occur before or after SOC. (See the dotted line on the process flow map in Figure 3-121, Merger and/or Acquisition Plan Process Flow.) PIs will update OpSpec A502 as necessary. Each update to OpSpec A502 requires HQ approval prior to issuance. Once the final compliance statement is complete and the merger is 100 percent complete, OpSpec A502 will no longer be required and PIs must archive it in the Web-based Operations Safety System (WebOPSS).

C. Phase 3—Review of Programs Submitted.

1) Program Changes. As the certificate holder implements program changes, that certificate holder must evaluate the changes in the same manner as a certification process. The JTT will be the clearinghouse for all documents and will communicate on regular bases with all parties involved. If the CHDO receives documents containing program changes, the CHDO will forward the documents to the JTT. The certificate holders that are SMS compliant shall also make available documentation showing that an SRM was completed for each process, procedure, or system (required by 14 CFR part 5). Some of the day-to-day operations of a certificate holder are governed by "accepted manuals." This accepted material will have to be reviewed prior to implementation. Upon completion of the review process for all submissions, the JTT will make recommendations for approval, acceptance, or review of program changes that affect the current certificate status to the current respective PIs. If designated transitional PIs exist, they will be charged with determining outcomes of program approvals, acknowledgements, or acceptance of

carrier systems, manuals, and OpSpecs during the merger process. The protocol for the resolution of any merger/acquisition activities or changes that are in question between/within the JTT, the PIs, or the certificate holders will be brought to the attention of the JTT Team Lead, to the respective office managers, through the RFSD, and to HQ if necessary. The CMTs are responsible for the continued day-to-day oversight of the certificates throughout the merger process.

NOTE: Any request or correspondence sent up to HQ relating to file-naming system so that it is easy to determine the content of the memo/document. Make sure the merger entity is on the name of the file, and make it clear if there is a required action or due date.

2) OpSpecs Preparation for SOC. The Technical Programs Branch (AFS-260) offers assistance to the PIs and the JTT in preparing OpSpecs for SOC. The process involves creating a replica of the data from the merging certificates to facilitate preparation of OpSpecs for the combined operation at SOC without affecting the existing OpSpecs. To request the creation of a replica or “ghost” certificate for drafting merged OpSpecs, contact AFS-260 directly or through WebOPSS support at AFS-WebOPSS@faa.gov at the beginning of the merger process. Provide the following information:

- Target dates for SOC and the issuance of new OpSpecs.
- The designator codes of the certificates involved and the surviving certificate.
- The office that will manage the merged certificate.
- The operator data (e.g., aircraft, addresses, personnel, authorized areas, airports) to be transferred from the merging certificates.
- The list of FAA and industry users requiring access to the ghost certificate, including names, user identifications, and email addresses.

NOTE: The ghost certificate process is designed to facilitate drafting OpSpecs for SOC, but planning and communication with AFS-260 is crucial to a successful transition.

3) Two Names on One Certificate.

a) Certificate holders desiring to list the names of more than one certificate holder involved in a merger or acquisition on the Air Carrier Certificate may only do so for a limited period of time prior to completion of the merger/acquisition, and then only with the permission from the AGC. The JTT (or RFSD if there is no JTT) will review requests of this nature. If the JTT/RFSD concurs with the request, they will forward it to the AGC through the manager of AFS-200.

NOTE: In accordance with § 119.9, all aircraft must be marked with a name listed on the Air Carrier Certificate. If more than one certificate holder’s name is listed on the Air Carrier Certificate, certificate holders must still meet the requirements of § 119.9. Getting approval to have more than one name on the certificate is one way to meet that requirement; placing a placard on the airplane

and using a doing business as (DBA) found in OpSpec A001 is another method to satisfy this requirement.

b) The surviving certificate number (certificate designator followed by four additional characters, e.g., TWRA118A) identifies the surviving certificate holder regardless of the surviving name chosen.

4) Exemptions and Deviations.

a) The certificate holders submit petitions for exemptions in accordance with 14 CFR part 11. This process may take a considerable length of time and may be further delayed if the exemption is published in the Federal Register (FR) for public comment. The FAA recommends the certificate holder submits the petition for exemption immediately after submitting the transition plan to help expedite the process. See Volume 3, Chapter 2, Section 1, for guidance on the exemption process. Exemption approvals or denials could affect the resources needed.

b) Examine the deviations and exemptions that each certificate holder has and encourage the certificate holder to combine them if possible prior to SOC. If the deviations and exemptions are not combined prior to SOC make sure OpSpec A005 clearly reflects this.

5) Training Program Considerations. For approved training programs/curricula, confirm there are clear parameters of what information may be disseminated by bulletins, Distance Learning (DL), and conventional training. Establish parameters for appropriate methods for delivering training. The training delivery mechanism should support the learning objectives; examples may include bulletins, DL, and conventional training. The current edition of AC 120-53, Guidance for Conducting and Use of Flight Standardization Board Evaluations, provides guidance on training difference levels. In an Advanced Qualification Program (AQP), the Implementation and Operations Plan (I&O Plan), curriculum development methodology, and qualification standards prologue should support the curriculum development and media selection.

a) Initial New-Hire Training. Initial new-hire training is required when transferring crewmembers and dispatchers onto a certificate. Initial new-hire training may be reduced if it can be determined that training requirements have already been met. The certificate holder may accomplish a gap analysis or Entry Level Analysis (applicable to AQP) to support the reduction of this training.

b) AQP Programs. There are no changes in the review and approval processes for AQP revisions. It may be appropriate for the JTT to participate on the Extended Review Team (ERT) for merger-related revisions. JTT involvement in all AQP revision reviews including those that are non-merger-related may become overly burdensome on the JTT, may produce unacceptable time delays, and therefore is not recommended. The JTT should coordinate desired ERT participation needs early in the merger process. If the JTT is functioning as a document tracking gateway during the merger, it is recommended that AQP revisions be submitted simultaneously to the ERT so as to not slow down the review process.

c) Flight Simulator Training Devices (FSTD). If FSTDs are used in the operator's FAA-approved flight training program, the operator must notify the NSP of intent to move any FSTDs and submit changes to the operator's FSTD Simulation Quality Management System (SQMS) program, in accordance with 14 CFR part 60.

6) Aviation Safety Action Program (ASAP) Considerations. The controlling factor behind ASAP is the Memorandum of Understanding (MOU), which will be the consolidation of employee group representation and most likely will not have any connection with SOC. Separate MOUs and event review committees (ERC) could very likely be maintained after SOC until employee representation consolidation and signature on a new MOU has occurred. The CHDOs should notify the Air Carrier Training Systems and Voluntary Safety Programs Branch (AFS-280) of key ASAP personnel changes as soon as they occur.

a) ASAP Before SOC. During the merger period, each CMT will continue to support the respective ERCs in normal fashion. When a revised MOU is signed prior to SOC, and the employee group has one representation entity, then one CMT will fulfill the necessary requirements to support a single ERC. The quarterly report submission requirements will be satisfied using the final certificate designator.

b) ASAP After SOC. In the case where there are two separate ERCs after SOC, the CHDO will need to support two ERCs. Contact the ASAP program office regarding the quarterly report submission requirements and the naming convention for one certificate with two ASAP MOUs in place.

7) Voluntary Disclosure Reporting Program (VDRP) Considerations.

a) The certificate management office (CMO) or JTT will notify AFS-200 of the pending merger and provide at least the following information:

- Names and four-letter identifiers for the merger participants.
- Name and identifier after SOC.
- CMO assigned.
- Target date for SOC.
- Contact information for key members of the JTT.

b) Actions taken by CHDO with the terminating certificate:

1. Assess any open voluntary disclosures to determine which, if any, are potentially applicable to the surviving air carrier.

2. Take action as necessary to close all open voluntary disclosures which are not applicable to the surviving air carrier (complete or rescind each case).

3. Coordinate with JTT to assure that known deficiencies (as identified in voluntary disclosures which have not yet been completed) are not carried forward into the surviving certificate holder's programs, policies, procedures, or equipment.

NOTE: Close all open VDRP cases (rescind or complete) prior to termination of the associated operating certificate. If a certificate is terminated with open voluntary disclosures, those disclosures will remain open indefinitely and will not be available for edit or closure. All VDRP files will be locked when the certificate is terminated in WebOPSS.

c) Actions by the CHDO assigned the certificate:

1. Update WebOPSS data for the certificate to reflect the PIs assigned to the certificate following the merger.

2. Assure all inspectors assigned to the surviving CMO/CMT are entered into the VDRP user database as needed to meet the responsibilities of their positions.

NOTE: A PI or other inspector who has the authority to add new users to the VDRP system for that specific certificate holder must accomplish the addition of new users to the VDRP system. The VDRP system recognizes PIs by reference to the appropriate fields in WebOPSS. In order for a PI to add other inspectors to the VDRP system, the PI must be assigned to that certificate as documented in WebOPSS. Procedures for adding a new user to the VDRP system are available in the VDRP User Guide under "Add New User". The VDRP User Guide may be downloaded from: <https://av-info.faa.gov/vdrp/userguide.pdf>.

8) Integration of Other Voluntary Safety Programs. There could be other voluntary programs that will need to be combined such as flight operations quality assurance (FOQA), Line Operations Safety Audit (LOSA), or Internal Evaluation Programs (IEP). Contact AFS-280 for guidance if needed.

9) AMOC/STC Considerations. The certificate holder should address these items early within their merger process as it could take time to fully research information with the respective ACO.

10) Constraints. Delays may impact the approval of any merger/acquisition changes and final issuance of the SOC in any phase of this process. Each documented merger/acquisition process or procedure must be complete and in accordance with applicable parts of the CFR at the time of its presentation to the FAA. Once the FAA reviews and recommends the document, process, or procedure for approval/acceptance by the FAA, the certificate holders cannot change or revise that particular document, process, or procedure unless agreed upon by the lead office. Changes to documents, processes, and procedures may be required after the FAA's initial review and recommendation. To ensure amendments do not compromise the approval or acceptability of the original document, processes, or procedures already reviewed, the FAA must review all subsequent changes.

11) Notification of Acceptance or Approval. For notification of acceptance or approval, see Volume 3, Chapter 1, Section 1.

D. Phase 4—Demonstrations and Inspections.

1) Planning and Preparation. Plan for and conduct demonstrations and inspections, if required, in the same manner as Phase 4 performance assessment of a certification process (see Volume 2, Chapter 3, for part 121 air carriers, and Volume 2 for other 14 CFR parts). The certificate holder must build time into the plan to allow for completion of a demonstration phase. Many of these demonstrations and inspections will require appropriate FAA resources. Make sure the certificate holder plans accordingly.

2) Types of Demonstrations and Inspections. Consider the following if applicable to the operations:

a) **Ditching and/or Emergency Evacuations.** If the certificate holder adds different/new types of aircraft to the surviving certificate, a demonstration of emergency evacuation or ditching may be required. If the air carrier plans to petition for exemption for § 121.291, the air carrier should submit the petition early. See Volume 3, Chapter 2, Section 1, for exemption guidance.

b) **Proving and/or Validation Flights.** Proving and/or validation flights may be necessary if the merger is authorizing the surviving certificate to operate new types of aircraft and/or new kinds of operations, such as domestic, flag, or commuter. The authorization to conduct operations over proposed routes or areas in compliance with regulatory requirements (e.g., operations outside U.S. airspace, Class II navigation authorizations, CAT II/III, and ETOPS) that were not previously granted in the surviving certificate holders' OpSpecs may require proving or validation flights. If the certificate holder plans to petition for deviation/exemption from any rule requiring proving or validation flights, that petition should be submitted early. See Volume 3, Chapter 29, for additional information on proving and validation flights.

c) **Aircraft Conformity Evaluation.** For part 121 air carriers, the PMI, or JTT if one exists, shall consider the need and scope of the conformity evaluation. See Volume 2, Chapter 3, Section 4, for additional information.

d) **Tabletop Exercises.** Tabletop exercises are not required. However, they are beneficial in making sure the operations, procedures, and controls are in place and ready before resources are utilized from either the certificate holder or the FAA.

NOTE: Consider using the Flight Standards National Field Office (AFS-900) as a resource if needed for any of the above tasks. The first priority will be to use currently assigned inspectors who are intimately familiar with the operations.

E. Phase 5—Approvals or Denials of Various Demonstrations or Submitted Documents.

1) Procedures for Approvals or Denials. Use the same procedures used for approvals or denials for initial certification. Follow the guidance in Volume 3, Chapter 1, Section 1, for approval or denials of submitted documents.

- a) Accept programs that are not OpSpec-related or require specific approval.
- b) Approve those programs requiring approval.
- c) Generate appropriate OpSpecs as applicable.

2) OpSpec Considerations. All 300-series and nonstandard 500-series OpSpecs/management specifications (MSpecs)/training specifications (TSpecs) (parts A, B, C, D, E, and H) require approval by the appropriate HQ policy division.

a) The Flight Technologies and Procedures Division (AFS-400) and AFS-200 or the General Aviation Commercial Division (AFS-800) must approve All Weather Operations (AWO) relating to instrument procedures, as appropriate.

b) The appropriate HQ policy division must approve all nonstandard text (sometimes referred to as Text 99) added to an OpSpec/MSpec/TSpec. For detailed guidance on the process for nonstandard text and obtaining HQ approval, see guidance contained in Volume 3, Chapter 18, Section 2, paragraphs 3-712 and 3-713.

c) Additionally, forward OpSpecs that annotate parallel or fenced operations after SOC to HQ for approval. See subparagraph 3-3593E3a) for more guidance relating to OpSpecs for these types of operations. When each OpSpec is completed and ready to be issued, forward them for review to HQ. Please note that the OpSpecs do not have to be bundled and sent together; send the individual OpSpecs for review as they are completed.

3) OpSpecs for Parallel Operations.

a) OpSpecs are the legal documents by which the FAA authorizes air carriers to operate and delineates their operational requirements; therefore, the specifics of the parallel operations must be entered into the OpSpecs. Preferably, complete the main content of the OpSpecs describing the end state (e.g., the Carrier A method, the Carrier B method, or a new method). Then, in the nonstandard text block (formerly known as Text 99), specify whether that end state applies to both carriers immediately upon the completion of the merger. If there will be separate procedures used by the merged carriers, describe the procedures to be used in nonstandard text. OpSpec C052 is an example of an OpSpec where each side of the parallel operation may have different approaches authorized. If Carrier A had more types of approaches authorized in OpSpec C052, complete OpSpec C052 using Carrier A's procedures and indicate which procedures Carrier B is not authorized to conduct in nonstandard text (e.g., "Carrier B not authorized Localizer back course (LOC BC)"). Another example is OpSpec C384; which could say in Text 99, "ABC B737 only."

b) In some cases, primarily those where the OpSpec data is loaded from the Maintain Operator Data section of WebOPSS, the main content of the OpSpec does not accommodate a way to distinguish which carrier is authorized which portions of the authorization. One such OpSpec is C070, Airports Authorized for Scheduled Operations. It is not possible in the table listing Airports Authorized for Scheduled Operations in OpSpec C070 to identify the airports where each certificate holder can dispatch. To get around this limitation, export the content of the OpSpec C070 table from WebOPSS to a spreadsheet and add columns

to the exported airport data to distinguish the differences in the fenced operations. The OpSpec C070 table data can be exported from Maintain Operator Data, Airports by using the Export Assigned Airports Data function in WebOPSS, or by copying the table from OpSpec C070 and pasting it into a spreadsheet. The spreadsheet file must be controlled with a revision number and updated each time any of the information changes. In the nonstandard text for OpSpec C070, record and maintain the file name, revision number, and change date each time the external file and or OpSpec C070 is amended.

c) The authorized areas information in OpSpec B050 is also loaded from Maintain Operator Data in WebOPSS. For OpSpec B050, record differences in authorized areas for fenced operations using the Authorized Areas Notes feature in WebOPSS found under Maintain Operator Data, Authorized Areas, Add/Remove Territories. Enter as many notes as necessary to describe the differences in the fenced operations and then assign those notes to the appropriate authorized areas (e.g., Note Number 5 may be entered as “Carrier A Only” and then assigned to all of the areas to which Carrier A is authorized but not Carrier B).

d) For OpSpec D085, use the Nose Number field in Maintain Operator Data, Aircraft, to indicate which side of the fence will handle maintenance and dispatch for the aircraft (e.g., add: “Carrier A” or “Carrier B” to the Nose Number column for each applicable N-numbered aircraft). Do not use the Registration Number or Serial Number columns for this purpose. Modifying the registration and/or serial numbers corrupts those numbers and prevents the ability to track or associate the aircraft by its true identifier.

F. Phase 6—SOC Phase.

1) Definition of SOC—SOC for Air Carriers. An SOC may be issued when one set of part 119 management personnel is in place and these managers have operational control of the entire organization. It is most desirable to have negotiated the merging of all operations and procedures throughout the merger period and prior to issuing an SOC. However, this is not required provided every OpSpec involved clearly shows differences between the different procedures conducted by the merging certificate holders. For example, if the certificate holder obtains an SOC before the merging certificate holders have negotiated a single deicing program, differences between the formerly separate programs must be spelled out. Merged certificate holders operating under an SOC without a complete merging of operating procedures will experience an increased risk due to the need to ensure employees are able to apply procedural differences. It is therefore advisable to minimize the number of OpSpec differences when approaching an SOC. Having parallel operations under one certificate also increases the workload for the FAA oversight offices. Because the certificate holder will be operating with two operational procedures in some cases, the resulting operation is more complex and therefore increased surveillance is warranted. As significant changes occur and those parallel operations merge, the transition plan must be amended and the appropriate OpSpecs, including OpSpec A502, must be amended.

2) Final OpSpecs for an SOC. If using the ghost certificate for OpSpecs preparation, then at least 2 weeks out from the final SOC date, contact WebOPSS support at AFS-WebOPSS@faa.gov to coordinate the final data transfer in WebOPSS to the surviving certificate. WebOPSS requires a 48-hour period to transfer the data and draft OpSpecs from the

ghost certificate to the surviving certificate, during which time there can be no activity in either certificate in WebOPSS. The draft OpSpecs must remain in “Draft: In process” status in the ghost certificate. Signed OpSpecs cannot be moved.

3) Certificate Transfer. If the merger or acquisition process results in a certificate moving to a new location, see Volume 10, Chapter 10, Section 1. The referenced guidance is primarily designed for part 121 air carriers, but may provide some useful information to other 14 CFR part certificate holders.

4) FAA Databases and Naming Conventions.

a) Because of a merger or acquisition, one or both CHDO office designator(s) could change. Coordinate with the Aviation Safety (AVS) National Service Desk for new FAA employee user IDs. It is important that the surviving local field office or newly developed field office start this process before the final phase.

b) Regional ramps coordinators may need to know of the completed merger as well as any other internal data coordinators. Consider other 14 CFR parts that could be affected.

5) FAA Database Updates.

a) Update enhanced Vital Information Database (eVID), check pilot and check flight engineer authorizations, and aircrew program designee (APD) authorizations. For part 121/135/145 certificate holders, see Volume 10 and update Module 1 Configuration.

b) Update OpSpec A502, if needed, to reflect changes after SOC. This will now become post-SOC A502 and will require amendments as parallel operations merge into one. Once all parallel operations are merged, OpSpec A502 will no longer be required and should be archived.

3-3594 TASK OUTCOMES.

A. Final Considerations.

1) Prepare a new certificate if applicable. The certificate holder will surrender the old certificate and old OpSpecs. Notify the Regulatory Support Division (AFS-600) about the surrendered certificate or any administrative change such as a change in the certificate number, if needed.

2) Certificate holder will consider reregistration of aircraft and make necessary changes, if applicable.

3) A post-merger or post-acquisition surveillance plan must be used complying with the national work guidelines as a basis for inspection and surveillance.

B. Indepth Inspection. The CHEP, as described in Volume 10, Chapter 8, provides policies and procedures to evaluate part 121/135 /145 air carriers at the national, regional, and CHDO levels. The gaining RFSD, CHDO, and PIs should consider requesting a CHEP. Plan the

CHEP towards the end, or after SOC. The results of the CHEP should indicate how effectively the transition plan was accomplished. It should also reveal any problem areas needing further attention.

NOTE: Regardless of the complexity of the situation, at any time during the transition period, when continued compliance with 14 CFR or safe operating practices becomes questionable, the CHDO should conduct an indepth inspection without delay.

3-3595 FUTURE ACTIVITIES. None.

Figure 3-121A. Transition Plan Job Aid

TRANSITION PLAN	ITEM APPLY (Y/N)	DATE RECEIVED	DATE COMPLETED	BY WHOM
A. Training Programs (Categories of Training) for Crewmembers and Dispatchers				
1. Initial New-Hire Training for Newly Hired Personnel				
2. Initial Equipment Training				
3. Transition Training				
4. Upgrade Training				
5. Differences Training				
6. Recurrent Training				
7. Requalification Training				
8. Instructor Training				
9. Check Pilot and Check Flight Engineer Training				
10. Security Training				
11. Hazardous Materials (Hazmat) Training				
B. Training Programs for Maintenance Personnel				
1. Mechanic/Repairman				
2. Inspection Personnel/Required Inspection Items (RII)				
3. Ground Handling/Serviceing				
4. Station Personnel				
C. Evaluate Applicable Manuals/Documents				
1. Completed General Operations Manual (GOM)				
2. Completed General Maintenance Manual (GMM)				
3. Federal Aviation Administration (FAA)-Approved Airplane Flight Manual (AFM)				
4. Company Aircraft Operations Manual				

TRANSITION PLAN	ITEM APPLY (Y/N)	DATE RECEIVED	DATE COMPLETED	BY WHOM
5. Aircraft Checklists:				
a. Normal				
b. Abnormal				
c. Emergency				
6. Flight Attendant (F/A) Manual				
7. Dispatcher/Flight Following/Locating Manual				
8. Station Operations Manual				
9. Company Emergency Manual				
10. Airport Data and En Route Manual (Charts and Plates)				
11. Airport/Runway Analysis (Performance)				
12. Ground Deicing/Anti-icing				
13. Minimum Equipment List (MEL)				
14. Configuration Deviation List (CDL)				
15. Maintenance Technical Manuals:				
a. Airframe/Powerplant				
b. Structural Repair Manual				
c. Parts Catalogue				
d. Inspection Procedures Manual (IPM)				
e. Manufacturer's or Vendor's Manual				
f. Wiring Manual				
g. Overhaul Manual				
16. Fueling/Refueling/Defueling/Deicing				
17. Weight and Balance (W&B) Control Procedures				
18. Hazmat Program				
19. Security Program				
20. Reliability Program				
21. Continuous Airworthiness Maintenance Program (CAMP)				
22. Emergency Plan/Notification				
23. Passenger Briefing Cards				

TRANSITION PLAN	ITEM APPLY (Y/N)	DATE RECEIVED	DATE COMPLETED	BY WHOM
24. Customer Service Training				
25. Exit Seating Program				
26. Carry-On Baggage Program				
D. Contracts/Leases/Agreements				
1. Training Contracts				
2. Maintenance Contracts/Agreements				
3. Aircraft Leases				
4. Weather/Communication Contracts				
5. Airport Analysis Contracts				
6. Exclusive-Use Agreements				
E. Other Documents/Programs				
1. Aircraft Conformity Inspection				
2. Main Operations Base				
3. Main Maintenance Base				
4. Line/Station Facilities				
5. Dispatch/Flight Following/Locating				
6. Recordkeeping Systems:				
a. Crewmember and Dispatcher:				
(1) Training				
(2) Flight Time, Duty Periods, and Rest				
(3) Qualification				
b. Maintenance:				
(1) Aircraft Records				
(2) Personnel Training				
c. Flight/Trip Records				
7. Emergency Evacuation Systems (EES)/Ditching Demonstration Plan				
8. Proving/Validation Test Plan				
9. Operations Specification (OpSpec)				
10. Management Personnel				
11. Exemptions, Deviations, Waivers, Authorizations				

Figure 3-130. Sample Joint Transition Team Charter**Joint Transition Team (JTT) Objective:**

The primary stakeholder for the final product of a merger/acquisition is the flying public. Hence, a JTT in collaboration with the respective certificate management office (CMO) is committed to the complete oversight of the processes and procedures which will ensure the continuing safe operations of both airlines during and including the final merger/acquisition of two or more carriers into a single operating certificate (SOC).

Project Objectives:

On (insert date), XYZ Airline announced, in a joint statement, their intention to merge with ABC Airline. Subsequently, on (insert date), XYZ and ABC presented an introductory outline of both carrier's consolidation plans with the objective of securing a SOC by early 20XX. Plans presented to the Associate Administrator for Aviation Safety (AVS-1) and the Director of the Flight Standards Service (AFS-1) on (insert date) outlined preliminary concepts describing how the carriers intended to incrementally integrate both air carriers and wholly incorporate their assets. Official submission of the carrier's transition plan is expected by (insert date).

To address and resolve the challenges presented by this merger/acquisition, the Federal Aviation Administration (FAA) will establish a JTT. The JTT will consist of selected inspectors to include all specialties as required and nominated by XYZ CMO and ABC CMO managers. A JTT Team Lead will be nominated by the CMO managers for designation by regional division management. The team lead will:

- Be responsible for overall management of JTT team members and their functions.
- Assure that interested parties remain represented and their expertise effectively integrated at all task levels.
- Establish a reporting structure for all members of the JTT and coordinate all assignment of work.
- Serve as the point of contact (POC) for coordination with FAA regional and headquarters (HQ) offices.

The JTT will follow the guidance in the current edition of FAA Order 8900.1, Volume 3, Chapter 34, Section 1, Safety Assurance System: Mergers and/or Acquisition of Operational Assets. This order is the principle guidance in the review, coordination, and final recommendation for acceptance/approval of any transitional programs or processes presented by XYZ and ABC.

Once the FAA accepts a transition plan for the merger/acquisition, the CMO managers and regional division managers will designate three transition principal inspectors (PI) who will be charged with determining outcomes of program approvals, acknowledgements or acceptance of carrier systems, manuals, and operations specifications (OpSpecs) during the merger process. These designated transitional PIs will be members of the JTT. These PIs could serve as the PIs once SOC is achieved. Associated agency guidance will help in gaining effective integration of the merger/acquisition air carriers' management and operations.

The JTT Team Lead will interface with the appropriate headquarters (HQ) policy division for coordination of the multiple approvals, policy determinations, and review of OpSpecs requiring:

- HQ-level approval of various programs,
- HQ approval of nonstandard text within OpSpecs, and
- Appropriate reference to any arrangements for post-SOC “partitioned” or “fenced” operations.

The JTT Team Lead will enlist the Flight Standards National Field Office (AFS-900) expertise for assistance on interfacing existing Comprehensive Assessment Plans (CAP) and migrating these plans into an SOC Certificate Holder Operating Profile (CHOP). Concurrently, Safety Assurance System (SAS) system design and performance assessments at each CMO must remain in place without compromise.

Strategic Alignment:

The JTT recognizes that the primary responsibility for the daily and continuing oversight of the XYZ and ABC operating certificates remains with the XYZ CMO and ABC CMO, respectively. The JTT will be responsible for the day-to-day activities surrounding integration of the certificates. The two Certificate Management Teams (CMT) are responsible for the day-to-day oversight of the certificates, not the JTT.

The JTT will accomplish all merger/acquisition activities in accordance with Title 14 of the Code of Federal Regulations (14 CFR) and any published orders or guidance, as appropriate. The JTT will coordinate and communicate with the CMT PIs on any changes in processes or procedures, which will directly affect the continuing oversight of each certificate holder. This communication will promote an effective understanding of the changes and ensure consistency in the application of regulatory compliance and system safety at both certificate holders during the transition period.

The JTT will partner with XYZ CMT and ABC CMT staff to assist in the various program review processes. Upon completion of the review process, the JTT will make recommendations for approval, acceptance, or review of program changes that affect the current certificate status to the current respective CMT PIs. The JTT will provide the conduit through which all merger/acquisition changes/proposals are communicated from the individual certificate holders to the XYZ CMT and ABC CMT. Furthermore, the protocol for the resolution of any merger/acquisition activities or changes that are in question between/within the JTT, CMT PIs, or the certificate holders will be brought to the attention of the JTT Team Lead, then the respective office managers, and then through the normal chain.

Constraints:

The approval/acceptance of any merger/acquisition changes and final issuance of the SOC may be impacted by delays in any phase of this process. Each documented merger/acquisition process or procedure must be complete and in accordance with applicable parts of the Code of Federal Regulations (CFR) at the time of its presentation to the JTT. Once a document, process, or procedure is reviewed and recommended for approval/acceptance by the JTT, the

certificate holders are not permitted to change or revise that particular document, process, or procedure unless agreed upon by the JTT. It is understood that changes to documents, processes, and procedures may be required after the JTT’s initial review and recommendation. However, subsequent proposed changes must be reviewed by the JTT to ensure the amendments do not compromise the approval or acceptability of the original document, process, or procedure.

Project Stakeholders:

XYZ Airline

ABC Airline

Charter Approval:

This charter authorizes the team lead named below to organize teams and direct resources consistent with the objectives stated above. I have reviewed and agree to the initiatives contained in this charter.

JTT Team Lead

Date

Division Manager, AXX-200

Date

Division Manager, AXX-200

Date

Manager, XYZ CMO

Date

Manager, ABC CMO

Date

RESERVED. Paragraphs 3-3596 through 3-3610.

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION**CHAPTER 46 EVALUATE 14 CFR PART 121/135 10 OR MORE LEASED MAINTENANCE PROGRAM AUTHORIZATION: U.S.-REGISTERED AIRCRAFT****Section 1 Safety Assurance System: Authorize an Operator (Lessee) to Maintain a Leased Aircraft**

3-3941 REPORTING SYSTEM(S). Use Safety Assurance System (SAS) automation and the associated Data Collection Tools (DCT).

3-3942 OBJECTIVE. This chapter provides guidance for authorizing an operator (lessee) to maintain a leased aircraft in accordance with the previous operator's (lessor's) current and approved maintenance program for that type of aircraft.

3-3943 GENERAL.

A. Leased Aircraft. Title 14 of the Code of Federal Regulations (14 CFR) parts 121/135, § 135.411(a)(2) operators have leased aircraft from other air carriers, with the understanding that the aircraft will be returned to the previous operator upon termination of the lease. It may be to the lessor's advantage to have the aircraft maintained under the lessor's maintenance program rather than the lessee's program so that it can be readily integrated back into the fleet when the lease expires.

B. Lessee's Responsibilities. The key factors in this type of arrangement are the lessee's capability of accomplishing the program to the lessor's standards and the lessee's responsibility for the effectiveness of the adopted maintenance program.

3-3944 ACCOMPLISHING THE TASK. An operator intending to maintain a leased aircraft in accordance with the lessor's program must substantiate that:

- The lessor's program, as carried out by the lessee, will result in a level of airworthiness equivalent to that of the aircraft maintained by the lessee.
- The lessee is capable of accomplishing the lessor's program with regard to facilities, equipment, personnel, training, etc.
- The lessee arranges for the maintenance of equipment or installations not covered by lessor's program, such as life vests, life rafts, emergency locators, pressure cylinders, etc.
- The lessee takes adequate steps to ensure that maintenance programs for the leased aircraft and any owned aircraft are kept separate and are applied to their respective aircraft.
- The lessee receives and maintains the records required by part 121, § 121.380 or § 135.439 or has arranged with the lessor to gain access to these records. The lessee must have and maintain adequate records to determine the status of applicable Airworthiness Directives (AD), life-limited parts, time-controlled items, and inspections.

- The lessee has the necessary records to schedule maintenance tasks at the intervals specified by the lessor's program or has arranged with the lessor for this service.
- The lessee has adequate manuals and technical material to accomplish the lessor's maintenance program.
- The lessee amends its Weight and Balance (W&B) program, as necessary, to accommodate the leased aircraft. This may require coordination with the principal operations inspector (POI).
- The lessee has procedures for reporting maintenance activities and data to the lessor (e.g., component replacements, scheduled inspections, AD notes, engine trend monitoring data, and major repairs).

3-3945 APPROVAL. Adopted maintenance programs for aircraft on lease shall be approved by operations specifications (OpSpecs) (paragraph D080). Provisions for additional maintenance requirements and maintenance of equipment that is not included in the lessor's program shall be listed in a nonstandard paragraph in those OpSpecs.

3-3946 COORDINATION REQUIREMENTS. This task requires coordination with the principal maintenance inspector (PMI), principal avionics inspector (PAI), and the POI. This task may also require contact with the lessor's certificate-holding district office (CHDO) and/or the Aircraft Evaluation Group (AEG).

3-3947 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 23, 25, and 43;
- ADs;
- Manufacturers' Manuals;
- Volume 3, Chapter 31, Section 5, Safety Assurance System: Evaluate a Part 121/135 (10 or More) Certificate Holder/Applicant Maintenance Recordkeeping System;
- Volume 3, Chapter 31, Section 6, Safety Assurance System: Evaluate a Part 91K Non-CAMP Program Manager's, § 125.247 Operator's, and § 135.411(a)(1) Certificate Holder's Maintenance Records;
- Volume 3, Chapter 43, Section 1, Safety Assurance System: Evaluate a Part 121 and Part 135 Continuous Airworthiness Maintenance Program;
- Volume 10, Safety Assurance System Policy and Procedures.

B. Forms. None.

C. Job Aids. Automated OpSpecs checklists and worksheets.

3-3948 PROCEDURES.

A. Schedule and Conduct an Informal Meeting. The operator/applicant must indicate its intention to utilize aircraft under a short-term lease arrangement with the use of the lessor's maintenance program. Advise the operator/applicant of the following requirements:

- 1) The aircraft must conform with all applicable requirements of parts 121/135.
- 2) The lessee must have the capability to support and maintain aircraft in accordance with the lessor's program to include:
 - Personnel,
 - Training,
 - Facilities,
 - Equipment, and
 - Manuals.
- 3) The lessee must have current records to determine the status of the following:
 - Scheduled inspections,
 - ADs,
 - Life-limited items, and
 - Time controlled components.
- 4) The lessee must have the current W&B data for the leased aircraft.
- 5) The lessee must provide a copy of the contract between the lessor and lessee to the CHDO.
- 6) Lessee must initiate procedures for transfer of aircraft maintenance and performance data to lessor.
- 7) Lessee must have procedures that ensure that maintenance programs for the leased aircraft and the lessee's own are kept separate and are applied to the respective aircraft.

B. Conduct Formal Meeting. The operator should state that aircraft, records, and facilities are ready for inspection and must present required data and proposed OpSpecs.

C. Review the Contract. Examine the following:

- Length of contract,
- Maintenance responsibilities, and
- Data reporting requirements.

D. Review Lessor. Review lessor's maintenance program and OpSpecs.

E. Review Lessee. Review lessee's technical data. Ensure that lessee has all appropriate technical data to support the aircraft (see Volume 3, Chapter 43). This includes such items as maintenance manuals, wiring manuals, etc.

F. Ensure Lessee. Ensure that lessee has adequate personnel to support the aircraft (see Volume 3, Chapter 31).

G. Differences in Equipment. Determine if differences in equipment and installations have been addressed and personnel have been trained accordingly.

H. Facilities are Sufficient. Ensure that facilities are sufficient to support additional aircraft. This includes special tooling, test equipment, spare parts, and equipment.

I. Determine Adequate Procedures. Determine if adequate procedures are in place to ensure the separation of maintenance programs for leased aircraft. Ensure that these procedures are applied to the respective aircraft.

J. Review W&B Data for Leased Aircraft. Ensure that data is compatible with lessee's program. If data is not compatible, ensure that procedures have been developed and are in place.

K. Review Aircraft Records. See Volume 3, Chapter 31.

L. Inspect Aircraft, if Necessary. See Volume 6, Chapter 2.

M. Review OpSpecs Parts D and E. See Volume 3, Chapter 18.

N. Analyze Results. Determine whether the operator/applicant meets all necessary requirements.

O. Meet with Operator/Applicant to Discuss Deficiencies. Advise the operator/applicant on which areas require corrective action.

3-3949 TASK OUTCOMES.

A. Follow SAS Guidance. Follow SAS guidance for task completion.

B. Complete the Task. Completion of this task will result in issuance of an approved D080 OpSpecs and updating the Vitals Information in SAS automation.

C. Document the Task. File all supporting documentation as required.

3-3950 FUTURE ACTIVITIES. Follow SAS guidance.

RESERVED. Paragraphs 3-3951 through 3-3965.

VOLUME 6 SURVEILLANCE**CHAPTER 2 PART 121, 135, AND 91 SUBPART K INSPECTIONS****Section 9 Safety Assurance System: Cockpit En Route Inspections**

6-372 RECORDING OF ACTIVITIES. Use Safety Assurance System (SAS) automation. This section is related to SAS Elements:

- Element 3.3.1 (OP), Operational Control.
- Element 3.3.2 (OP), Dispatch/Flight Release.
- Element 3.3.3 (OP), Flight/Load Manifest/Weight & Balance Control.
- Element 3.3.4 (OP), MEL/CDL/NEF Procedures.
- Element 3.3.5 (OP), Extended Operations (ETOPS).
- Element 5.2.1 (OP), Crewmember Duties/Cabin Procedures.
- Element 5.2.2 (OP), Carry-on Baggage Program.
- Element 5.2.3 (OP), Exit Seating Program.
- Element 5.2.4 (OP), Passenger Handling.

6-373 OBJECTIVE OF EN ROUTE INSPECTIONS. The primary objective of cockpit en route inspections is for an inspector to observe and evaluate the in-flight operations of a certificate holder within the total operational environment of the air transportation system. En route inspections are one of the Federal Aviation Administration's (FAA) most effective methods of accomplishing its air transportation surveillance objectives and responsibilities. These inspections provide the FAA with an opportunity to assess elements of the aviation system that are both internal and external to an operator.

A. Elements of the Aviation System Internal to the Operator. Elements of the aviation system that are internal to the operator and can be observed during en route inspections are items such as the following:

- Crewmembers;
- Operator manuals and checklists;
- Use of minimum equipment lists (MEL) and Configuration Deviation Lists (CDL);
- Operational control functions (e.g., dispatch, flight following, flight locating);
- Use of checklists, approved procedures, and safe operating practices;
- Crew coordination/cockpit resource management;
- Cabin safety;
- Aircraft condition and servicing; and
- Training program effectiveness.

B. Elements of the Aviation System External to the Operator. Elements of the aviation system that are external to the operator and can be observed during en route inspections are items such as the following:

- Airport/heliport surface areas,
- Ramp/gate activities,
- Airport construction and condition,
- Aircraft movements,
- Air traffic control (ATC) and airway facilities,
- ATC and airspace procedures,
- Instrument approach procedures (IAP),
- Standard Instrument Departures (SID),
- Standard Terminal Arrival Routes (STAR),
- Navigational aids, and
- Communications.

6-374 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 of the Code of Federal Regulations (14 CFR) Parts 1, 61, 91, 121, 125, and 135.
- The Operator's Manual.
- FAA Order 8000.38, Aviation Safety Inspector Credentials Program.
- FAA Order 8000.75, Aviation Safety Inspector En Route Inspection Procedures.
- Volume 3, Chapter 2, Section 1, Paragraph 3-42, Admission to the Flight Deck—Physical, Cognitive, and Language Capabilities.

B. Forms. FAA Form 8430-13, Request for Access to Aircraft.

C. Job Aids. None.

6-375 GENERAL INSPECTOR GUIDANCE. General inspector guidance regarding the following is contained in Order 8000.75:

- Inspector qualifications,
- Authorization to conduct an en route inspection,
- Scheduling of an en route inspection,
- Cockpit en route inspections by aviation safety inspectors (ASI),
- Conduct on an en route inspection,
- Duty time,
- Reporting/recording procedures, and
- Issuance/control of FAA Form 8430-13.

6-376 COCKPIT EN ROUTE INSPECTION AREAS. Inspectors should consider all inspection areas, both internal and external to the operator, to be of equal importance. Four general inspection areas have been identified for observation and evaluation by inspectors during en route inspections. All inspection areas may not be assessed during each en route inspection. These inspection areas are as follows:

- Crewmember,
- Flight conduct,
- Airport/heliport, and
- ATC/airspace.

A. The Crewmember Inspection Area. The crewmember inspection area applies to both flightcrew members and cabin crewmembers. Inspectors should evaluate such items as crewmember knowledge, ability, and proficiency by directly observing crewmembers performing their respective duties and functions.

B. The Flight Conduct Inspection Area. The flight conduct inspection area relates to 10 specific phases of flight that can be observed during an en route inspection. Subparagraph 6-378F contains those 10 flight phases with more detailed information on the items that inspectors should observe.

NOTE: Inspectors that are unfamiliar with the operator's specific procedures for operating the aircraft should comment in their inspection reports on any item they believe should be brought to the principal operations inspector's (POI) attention. Inspectors must use good judgment concerning whether to comment on these items when debriefing crewmembers.

C. The Airport/Heliport Inspection Area. The airport/heliport inspection area pertains to the various elements of airports or heliports that are passed through during the flight such as runways, taxiways, ramps, and aircraft ground movements. Inspectors should observe and evaluate as many of these elements as possible during an en route inspection.

D. The ATC/Airspace Inspection Area. The ATC/airspace inspection area pertains to the various elements of ATC and national or international airspace systems. These elements should be observed and evaluated by inspectors during en route inspections. From an operational standpoint, these evaluations are a valuable information source that can be used, not only to enhance safety with respect to ATC and the airspace system, but also to enhance the effectiveness of en route and terminal facilities and procedures.

E. Other Inspection Areas. Although these four general inspection areas cover a wide range of items, they are not the only areas that can be observed and evaluated during cockpit en route inspections. Inspectors may have the opportunity to evaluate many other areas, such as line station operations, flight control procedures, and flight attendants (F/A) in the performance of their duties. These types of inspection areas can often be observed before a flight begins, at en route stops, or at the termination of a flight.

6-377 SPECIFIC COCKPIT EN ROUTE INSPECTION PRACTICES AND PROCEDURES.

A. Familiarization with the Operator's Procedures and Facilities. Before conducting en route inspections, it is important that inspectors become familiar with the operating procedures and facilities used by the operator. Inspectors can obtain such familiarization by reviewing pertinent sections of the operator's manuals and by asking questions of, and obtaining briefings from, the POI or other inspectors who are acquainted with the operator's procedures and facilities. The inspector is encouraged to comment on any procedure believed to be deficient or unsafe in the inspection report. The inspector must use good judgment, however, when debriefing crewmembers about procedures that may be specifically approved for that operator.

B. Coordination with Assigned Operators. POIs are responsible for coordinating with their assigned operators to ensure that each operator has established procedures to be used by inspectors for scheduling the observer's seat (jump seat). POIs must ensure that an operator's procedures allow inspectors to have free, uninterrupted access to the jump seat. Inspectors should, however, make jump seat arrangements as far in advance as possible. Since inspectors may have sudden changes in schedule, and may not always be able to provide the appropriate advance notice, POIs must ensure that the operator's procedures are flexible and permit use of an available jump seat on short notice.

C. Avoiding Disruption of Operations. Whenever possible, inspectors should plan cockpit en route inspections in a manner that will avoid disruption of operator-scheduled line checks and initial operating experience (IOE) flights. Should an inspector arrive for a flight and find a line check or IOE in progress, the inspector must determine whether or not it is essential that the cockpit en route inspection be conducted on that flight. If it is essential, the operator must be so advised by the inspector and must make the jump seat available to the inspector. If the cockpit en route inspection can be rescheduled and the objectives of the inspection can still be met, the inspector should make arrangements to conduct the inspection on another flight. When a required checkride is being conducted by a check airman from the forward jump seat and the en route inspection is essential, the inspector should occupy the second jump seat, if one exists. On IOE flights, the check airman should normally occupy one of the pilot seats and the inspector should occupy the forward jump seat. When it is essential that the en route inspection be conducted on an aircraft that does not have two jump seats, the check airman must occupy a pilot seat and the inspector should occupy the jump seat. In such a case, the flightcrew member not being checked must either be seated in the cabin or not accompany the flight.

D. Arriving at the Operations Inspection Facility. An inspector should begin a cockpit en route inspection a reasonable amount of time before the flight (approximately 1 hour) by reporting at the operations area or at the gate, as specified by the POI. There the inspector must first complete the necessary jump seat paperwork for inclusion in the operator's passenger manifest and Weight and Balance (W&B) documents. The inspector should then locate the flightcrew. After the inspector gives a personal introduction to the flightcrew, which includes presentation of the current edition of FAA Form 110A, Aviation Safety Inspector's Credential, the inspector must inform the pilot in command (PIC) of the intention to conduct an en route inspection. The inspector should then request that, at a time convenient for the flightcrew, the

flightcrew present both their Airman and medical certificates to the inspector for examination. Also, the inspector should request that, at a convenient time, the flightcrew present flight information such as weather documents, Notices to Airmen (NOTAM), planned route of flight, dispatch or flight release documents, and other documents with information about the airworthiness of the aircraft to the inspector for examination.

E. Informing the Flightcrew of the Inspection.

1) Sometimes an inspector cannot meet and inform the PIC of the intention to conduct an en route inspection before boarding the aircraft. In such a case, when boarding the aircraft the inspector should make appropriate introductions, present FAA Form 110A for the PIC's inspection at the earliest convenient opportunity, and inform the flightcrew of an intention to conduct a cockpit inspection. In this situation, an F/A will usually be at the main cabin entrance door. One of the F/A's primary duties is to ensure that only authorized persons enter the aircraft, such as ticketed passengers, caterers, and authorized company personnel. Therefore, an inspector should be prepared to present FAA Form 110A and any applicable jump seat paperwork to the F/A as identification before entering the cockpit. When boarding the aircraft, an inspector should also avoid unnecessarily impeding passenger flow or interrupting F/As during the performance of their duties.

2) Also, during this time an inspector usually has ample opportunity to observe and evaluate the operator's carry-on baggage procedures and the gate agent's or F/A's actions concerning oversized items. Once inside the cockpit, the inspector should request an inspection of each flightcrew member's Airman and medical certificates, if not previously accomplished. When the flightcrew has completed reviewing the aircraft logbooks (or equivalent documents), the inspector should inspect the logbooks to determine the airworthiness status of the aircraft.

F. The Inspector's In-Flight Responsibilities. The inspector should wear a headset during the flight. During cockpit en route inspections, inspectors must try to avoid diverting the attention of flightcrew members performing their duties during "critical phases of flight." Inspectors must be alert and point out to the flightcrew any apparent hazards, such as conflicting traffic. If during an en route inspection, an inspector becomes aware of an apparent deviation or that the flightcrew is deviating from a regulation or an ATC clearance, the inspector must immediately inform the PIC of the situation.

G. Recording En Route Observations. A principal inspector (PI) may combine questions from two or more different Data Collection Tools (DCT) to make a Custom DCT (C DCT). This will focus the inspector's attention on specific inspection areas to be observed and evaluated. Unplanned items may also be evaluated during an en route inspection that are not a part of the DCT. For such items, a Dynamic Observation Report (DOR) should be used to capture the observations. Inspectors can print the DCT to make notes during the inspection, which can later be transferred to the SAS automation.

6-378 CONDUCT OF SPECIFIC COCKPIT EN ROUTE INSPECTION.

A. Safety Briefing and Radio Monitoring. Once situated in the cockpit, the inspector should check the jump seat oxygen and emergency equipment (if applicable) and connect the headset to the appropriate interphone system. The PIC or a designated crewmember should offer to give the inspector a safety briefing. If the PIC does not make such an offer, the inspector should request a briefing. It is important that the inspector monitor all radio frequencies being used by the flightcrew to properly evaluate ATC procedures, flightcrew compliance, transmission clarity, and radio phraseology. The monitoring of these frequencies also ensures that the inspector does not inadvertently interfere with any flightcrew communications. Inspectors should continuously monitor these frequencies to remain aware of the progress of the flight.

B. Crewmember Certificates and Identification. There have been several occasions in which pilots have operated certificate holder aircraft without having in their personal possession Airman Certificates and current medical certificates. In some cases, pilots have operated for long periods of time with suspended certificates. The inspector should ensure the following:

- 1) For part 121 operations:
 - a) The PIC must have in possession the following:
 - Photo identification as required by part 61, § 61.3(a)(2);
 - An Airline Transport Pilot (ATP) Certificate;
 - A first-class medical certificate, which is valid for 12 months for pilots under 40 years old and for 6 months for pilots who are 40 years of age or older; and
 - Appropriate type rating for the aircraft being operated.
 - b) The second in command (SIC) must have in possession the following:
 1. For part 121 domestic operations, flag, or supplemental operations requiring only two pilots:
 - Photo identification as required by § 61.3(a)(2);
 - An ATP Certificate with appropriate aircraft type rating or an ATP Certificate with restricted privileges and an appropriate aircraft type rating; and
 - At least a second-class medical certificate, which is valid for 12 months.

NOTE: For those pilots who are employed as an SIC in part 121 operations on July 31, 2013, compliance with the type rating requirement in part 121, § 121.436(b) is not required until January 1, 2016.

2. For part 121 flag or supplemental operations requiring three or more pilots:

- Photo identification as required by § 61.3(a)(2);
- An ATP Certificate with appropriate aircraft type rating. In this scenario, a pilot must hold an ATP Certificate issued per the requirements of § 61.159. An ATP Certificate issued per the reduced flight hours in § 61.160 is not sufficient; and
- A first-class medical certificate, which is valid for 12 months for pilots under 40 years old and for 6 months for pilots who are 40 years of age or older.

c) Flight Engineers (FE) must have in their possession the following:

- An appropriate FE's certificate, and
- A second-class medical certificate, which is valid for 12 months.

2) For part 135 operations:

a) The PIC must have in possession the following:

1. For operations in turbojets, aircraft with 10 or more passenger seats, or scheduled multiengine commuter operations:

- Photo identification as required by § 61.3(a)(2);
- An ATP Certificate;
- A first-class medical certificate, which is valid for 12 months for pilots under 40 years old and 6 months for pilots who are 40 years of age or older; and
- An appropriate type rating for the aircraft being operated.

2. For operations not described in subparagraph 6-378B2)a)1:

- Photo identification as required by § 61.3(a)(2);
- A Commercial Pilot Certificate with an instrument rating for the aircraft being operated; and
- At least a second-class medical certificate, which is valid for 12 months.

NOTE: An instrument rating may not be required, as provided in part 135, § 135.243(d).

b) The SIC must have in possession the following:

- Photo identification as required by § 61.3(a)(2);
- A Commercial Pilot Certificate with an instrument rating for the aircraft being operated; and
- At least a second-class medical certificate, which is valid for 12 months.

NOTE: An instrument rating may not be required, as provided in § 135.245(b).

c) FEs must have in their possession the following:

- An appropriate FE's certificate, and
- A second-class medical certificate, which is valid for 12 months.

C. Exemptions. If any required crewmember does not have a pilot certificate and/or medical certificate in his or her possession, the operator may have an approved process in place for lost/missing Pilot and/or Medical Certificates generated from an exemption.

D. Deviations. If the flightcrew members do not have the proper, current certificates in their possession and the operator does not have an approved method via exemption:

1) Advise the offending crewmembers that there is an apparent deviation from § 61.3 and/or 14 CFR part 63, § 63.3.

2) If the flightcrew members still elect to operate the aircraft without having the appropriate certificates in their possession:

- a) Deplane,
- b) Terminate this inspection, and
- c) Immediately notify the operator's operations center.

E. Load Manifests.

1) Ensure the load manifest contains the following information:

- The number of passengers;
- The total weight of the loaded aircraft;
- The maximum allowable takeoff weight for that flight;
- The center of gravity (CG) limits;
- The actual CG of the loaded aircraft, unless the aircraft is loaded according to an approved loading schedule;
- The registration number of the aircraft or the flight number;
- The origin and destination of the flight; and
- The identification of the flightcrew members and their respective position assignments.

2) Ensure the proper fuel load is on board by comparing fuel gauges to the minimum fuel required for dispatch. This fuel requirement is normally found on the dispatch release.

F. Crewmember Observations. Inspectors should observe and evaluate the crew during each phase of flight. This should include an evaluation of crewmember adherence to approved procedures and a proper use of all checklists. The inspector should also observe the PIC's crew management techniques, delegation of duties, and overall conduct. All crewmembers must

follow sterile cockpit procedures. Some of the areas that should be observed and evaluated during each flight phase are as follows:

1) Preflight. Inspectors should determine that the flightcrew has all the necessary flight information, including the appropriate weather, dispatch, or flight release information, flight plan, NOTAMs, and W&B information. MEL items should be resolved in accordance with the operator's MEL and appropriate maintenance procedures. Inspectors should observe the flightcrew performing appropriate exterior and interior preflight duties in accordance with the operator's procedures.

2) Predeparture. Inspectors should observe the flightcrew accomplishing all predeparture checklists, takeoff performance calculations, and required ATC communications. The flightcrew should use coordinated communications (via hand signals or the aircraft interphone) with ground personnel. Often, pushback or powerback clearance must be obtained from the appropriate ATC or ramp control facility. When W&B information is transmitted to the aircraft by company radio during the outbound taxi, the flightcrew should follow the operator's procedures as to which crewmember receives the information and completes the final takeoff performance calculations and which crewmember monitors the ATC frequency. The inspector should observe the following:

- Accomplishment of checklists during taxi;
- Adherence to taxi clearances;
- Control of taxi speed;
- Compliance with hold lines; and
- Flightcrew conduct of a pretakeoff briefing in accordance with the operator's procedures.

3) Takeoff. The takeoff procedure should be accomplished as outlined in the operator's approved maneuvers and procedures document. Inspectors should observe and evaluate the following items or activities during the takeoff phase:

- Aircraft centerline alignment;
- Use of crosswind control techniques;
- Application of power to all engines;
- Takeoff power settings;
- Flightcrew callouts and coordination;
- Adherence to appropriate takeoff or V-speeds;
- Rate and degree of initial rotation;
- Use of flight director (FD), autopilot, and autothrottles;
- Gear and flap retraction schedules and limiting airspeeds; and
- Compliance with the ATC departure clearance or with the appropriate published departure.

4) Climb. The climb procedure should be conducted according to the outline in the operator's approved maneuvers and procedures document. Inspectors should observe and evaluate the following items and activities during the climb phase of flight:

- Climb profile/area departure;
- Airspeed control;
- Navigational tracking/heading control;
- Powerplant control;
- Use of radar, if applicable;
- Use of autoflight systems;
- Pressurization procedures, if applicable;
- Sterile cockpit procedures;
- Vigilance;
- Compliance with ATC clearances and instructions; and
- After-takeoff checklist.

5) Cruise. Procedures used during cruise flight should conform to the operator's procedures. Inspectors should observe and evaluate the following areas during the cruise phase of flight:

- Cruise mach/airspeed control;
- Navigational tracking/heading control;
- Use of radar, if applicable;
- Use of turbulence procedures, if applicable;
- Monitoring fuel used compared to fuel planning;
- Awareness of mach buffet and maximum performance ceilings;
- Coordination with cabin crew;
- Compliance with oxygen requirements, if applicable;
- Vigilance; and
- Compliance with ATC clearances and instructions.

6) Descent. Procedures used during descents should conform to the operator's procedures. Inspectors should observe and evaluate the following areas during the descent phase of flight:

- Descent planning;
- Crossing restriction requirements;
- Navigational tracking/heading control;
- Use of radar, if applicable,
- Awareness of maximum operating limit speed (V_{MO}/M_{MO}) and other speed restrictions;
- Compliance with ATC clearance and instructions;
- Use of autoflight systems;
- Pressurization control, if applicable;
- Area/situational awareness;
- Altimeter settings;
- Briefings, as appropriate;
- Coordination with cabin crew;
- Sterile cockpit procedures;

- Completion of appropriate checklist; and
- Vigilance.

7) Approach. Procedures used during the selected approach (instrument or visual) should be accomplished as outlined in the operator's maneuvers and procedures document. Inspectors should observe and evaluate the following areas during the approach phase of flight:

- Approach checklists;
- Approach briefings, as appropriate;
- Compliance with ATC clearances and instructions;
- Navigational tracking/heading and pitch control;
- Airspeed control, reference speed for final approach (V_{REF});
- Flap and gear configuration schedule;
- Use of FD, autopilot, and autothrottles;
- Compliance with approach procedure;
- Sinkrates;
- Stabilized approach in the full landing configuration;
- Flightcrew callouts and coordination; and
- Transition to visual segment, if applicable.

8) Landing. Procedures used during the landing maneuver should conform to those outlined in the operator's maneuvers and procedures document. Inspectors should observe and evaluate the following areas during the landing phase of flight:

- Before-landing checklist;
- Threshold crossing height;
- Aircraft centerline alignment;
- Use of crosswind control techniques;
- Sinkrates to touchdown;
- Engine spool up considerations;
- Touchdown and rollout;
- Thrust reversing and speedbrake procedures;
- Use of autobrakes, if applicable;
- Braking techniques;
- Diverting attention inside the cockpit while still on the runway; and
- After-landing checklist.

9) Pre-Arrival. Pre-arrival and parking procedures should conform to the operator's procedures as outlined in the appropriate manual. Inspectors should evaluate crew accomplishment of after-landing checklists, ground crew parking, and passenger deplaning procedures.

10) Arrival. Inspectors should observe and evaluate the flightcrew as they complete postflight duties such as postflight checks, aircraft logbook entries, and flight trip paperwork completion and disposition.

G. Other Inspection Areas. During the en route inspection, inspectors should observe and evaluate other inspection areas, such as ATC and airspace procedures and airports or heliports that the flight transits during the cockpit en route inspection.

1) When evaluating airports or heliports, inspectors should observe the condition of surface areas, such as ramp and gate areas, runways, and taxiways. The following list contains other areas that may be observed and evaluated by inspectors during cockpit en route inspections:

- Taxiway signs, markers, sterile areas, and hold lines;
- Ramp vehicles, equipment, and movement control;
- Aircraft servicing, parking, and taxi operations;
- Obstructions, construction, and surface contaminants (e.g., ice, slush, snow, fuel spills, and rubber deposits);
- Snow control, if applicable; and
- Security and public safety.

2) During cockpit en route inspections, inspectors have the opportunity to observe and evaluate ATC operations and airspace procedures from the vantage point of the aircraft cockpit. Inspectors may observe and evaluate the following areas from the cockpit:

- Radio frequency congestion, overlap, or blackout areas;
- Controller phraseology, clarity, and transmission rate;
- Automated terminal information service;
- Use of full call signs;
- Simultaneous runway use operations;
- Clearance deliveries;
- Acceptable and safe clearances;
- Aircraft separation standards; and
- Acceptability of IAPs, departure procedures, and feeder routings.

H. Debrief Crew. After the flight has been terminated, the inspector must debrief the crew on any discrepancies observed and on any corrective actions that should be taken. If the inspector observed an apparent deviation during the flight and intends to recommend compliance or enforcement action, or intends to make critical comments concerning the crew's performance, the inspector must inform the flightcrew during the debriefing.

6-379 AIRCRAFT AIRWORTHINESS PORTION OF THE COCKPIT EN ROUTE INSPECTION.

A. General Guidance. Open discrepancies or improperly deferred MEL items have been discovered in maintenance records just prior to departure. The resulting corrective actions have resulted in lengthy delays.

1) Regulations require that maintenance be recorded when performed. Procedures for ensuring that these recording requirements are met are described in the operator's maintenance procedures manual.

2) The manual contains specific instructions on when an airworthiness release or record entry is required. All discrepancies entered in the record must either be corrected or deferred using the methods identified in the operator's maintenance procedures manual. The ASI must become familiar with the operator's maintenance record handling procedures.

B. Aircraft Maintenance Record Inspection. The inspector should:

NOTE: Notify the appropriate operator personnel immediately of any discrepancies noted during this inspection.

1) Ensure the following:

- Maintenance/airworthiness releases are current,
- No open items exist,
- All discrepancies are corrected or properly deferred, and
- MEL items were deferred per the procedural and placarding requirements of the operator's approved program.

2) Ensure the length of deferrals is not exceeded by reviewing the following:

- Maintenance record pages,
- Deferred maintenance list, and
- Deferred maintenance placards/stickers.

3) Ensure that the maintenance records contain the following for each discrepancy:

- A description of work performed or reference to acceptable data,
- The name of the person performing the work, if outside the organization, and
- The name or other positive identification of the person approving the work.

4) Determine if repetitive problems indicate a trend.

NOTE: If actions taken by the operator deviate from regulatory requirements or the operator's manual, terminate the inspection. Advise the operator of the deviation and the possibility of compliance or enforcement action.

C. Interior Inspection. This inspection should be performed without disturbing the loading and/or unloading of the passengers. Any discrepancies noted should be brought immediately to the attention of the flightcrew. Perform the interior inspection per the guidance in Figure 6-18, Interior Inspection Guidelines, in Volume 6, Chapter 2, Section 4.

D. Exterior Inspection. The inspector should accompany a crewmember on the exterior walk-around to determine the thoroughness of the crewmember's inspection. It is important to be aware of the type of maintenance and servicing activities being accomplished. Perform the exterior inspection per the guidance in Figure 6-19, Exterior Inspection Guidelines, in Volume 6, Chapter 2, Section 4.

E. In-Flight Monitoring.

1) This phase of the inspection provides the opportunity to monitor aircraft systems and evaluate the effectiveness of maintenance performed to correct maintenance record discrepancies.

2) ASIs have different degrees of pilot skills, and the Airworthiness ASI performing an en route inspection is not there to evaluate the competency of the flightcrew. However, if obvious discrepancies are noted, such as a deviation from assigned altitude or other operational procedure, they must be brought to the attention of the PIC and the assigned POI.

3) While conducting an en route inspection, do not manipulate, operate, select, or deselect any switches, circuit breakers, or controls.

6-380 CARGO/COMBINATION-CONFIGURED AIRCRAFT.

A. Cargo-Related Damage. Inspection results have disclosed instances of significant aircraft structural damage resulting from the careless loading of cargo, such as:

- Torn or punctured liners indicating hidden damage to circumferential stringers, fuselage skin, and bulkheads.
- Damaged rollers, ball mats, etc., causing significant structural damage to the floors.
- Severe corrosion, fire, and structural damage resulting from the improper handling of some hazardous materials (hazmat).

B. Hazmat. The surveillance of hazmat handling is not the primary function of the cockpit en route inspection. If discrepancies are noted in the handling of hazmat, contact the appropriate FAA security division.

6-381 DEFERRED MAINTENANCE.

A. MEL Deferred Maintenance. The operator's approved MEL allows the operator to continue a flight or series of flights with certain inoperative equipment. The continued operation must meet the requirements of the MEL deferral classification and the requirements for the equipment loss.

B. Other Deferred Maintenance.

1) Operators frequently use a system to monitor items that have previously been inspected and found to be within serviceable limits. These items are still Airworthy, yet warrant repair at a later time or when items no longer meet serviceable limits. This method of deferral may require repetitive inspections to ensure the continuing airworthiness of the items. Examples of items that are commonly deferred in this manner are fuel leak classifications, dent limitations, and temporary (Airworthy) repairs.

2) Passenger convenience item (not safety/airworthiness-related) deferrals should be handled according to the operator's program guidelines.

C. Approved Maintenance Program. The operator's approved maintenance program must provide for the prompt and orderly repairs of inoperative items.

6-382 ASI BAGGAGE. The ASI must conform to the operator's approved carry-on baggage program. If there is any concern that the baggage will exceed operator limitations, it should be checked. The ASI's identification (FAA Forms 110A and 8430-13) is adequate documentation for the operator to check the baggage.

6-383 TASK OUTCOMES. For parts 121 and 135, follow SAS guidance for Modules 4 and 5.

A. Recording the Use of FAA Form 8430-13. ASIs that have been trained in SAS will record the FAA Form 8430-13 number in the appropriate SAS DCT. ASIs that have not been trained in SAS will record the FAA Form 8430-13 number in the Enhanced Flight Standards Automation System (eFSAS) via the Program Tracking and Reporting Subsystem (PTRS).

NOTE: You may record the same FAA Form 8430-13 number in both SAS and the PTRS if required by the activity.

B. Complete the Task. Completion of this task can result in the following:

- Satisfactory inspection, or
- Requirement for a followup inspection for a specific discrepancy.

C. Document the Task. File all supporting paperwork in the operator's office file.

6-384 FUTURE ACTIVITIES. Follow SAS guidance.

RESERVED. Paragraphs 6-385 through 6-400.

VOLUME 6 SURVEILLANCE**CHAPTER 2 PART 121, 135, AND 91 SUBPART K INSPECTIONS****Section 24 Safety Assurance System: Station Facilities Operations Inspections for Parts 121 and 135 Certificate Holders**

6-685 GENERAL. This section contains direction and guidance to be used by operations inspectors for performing station facilities inspections. Station facilities operations are defined as those support activities required to originate, turn around, or terminate a flight. Station facilities inspections are conducted on Title 14 of the Code of Federal Regulations (14 CFR) part 121 domestic flag and supplemental certificate holders, 14 CFR part 135 commuter, and those part 135 on-demand certificate holders that optionally configure to “Locations = OP Line Stations” in Safety Assurance System (SAS) Vital Configuration Data. This section is related to SAS Element 6.1.1 (OP) Training of Station Personnel and 6.2.4 (OP) Line Station Operations/Ground Personnel Duties.

A. Location. A station facilities inspection is conducted at locations where a part 121 or a part 135 commuter, and certain part 135 on-demand certificate holders, initiate and recover flights. A station facilities inspection encompasses both operations and facilities.

B. Inspection Areas. Nine inspection areas have been identified as areas for inspectors to observe and evaluate during a station facilities inspection. These inspection areas are defined as follows:

1) Personnel. This area refers to the personnel utilized at the facility. Inspectors must evaluate the adequacy of staffing levels and the competency of assigned personnel in the performance of their duties.

2) Manuals. This area refers to the availability, currency, and content of the written guidance required by individuals in the performance of their assigned duties.

3) Records. This area refers to those records that the certificate holder is required to maintain relative to station activities. For example, certificate holders are required to record hazardous material (hazmat) training for operations personnel. This area does not include those records inspected during a “records inspection.”

4) Training. This area refers to the adequacy of the training given to assigned personnel as demonstrated by their knowledge of their duties. This area does not include crew and dispatcher training.

5) Facility/Equipment/Surface. This area refers to the various physical elements required to support flight operations, such as ramp areas, blast fences, signs, signaling devices, lighting, passenger and cargo loading equipment, aircraft servicing, and towing equipment.

6) Conformance. This area refers to the compliance with the certificate holder’s procedures and applicable 14 CFR parts utilized by the certificate holder.

7) **Flight Control.** This area refers to the control and support of aircraft flight operations.

8) **Servicing.** This area refers to the certificate holder's procedures and standards required for the safe servicing and handling of its aircraft.

9) **Management.** This area refers to the effectiveness of the certificate holder's management and supervisory personnel.

6-686 MANAGEMENT OF STATION FACILITIES INSPECTIONS. Principal operations inspectors (POI) are responsible for planning and coordinating inspections of stations for their assigned certificates. POIs shall ensure that station facilities inspections are populated via the SAS Comprehensive Assessment Plan (CAP). When a certificate holder establishes a new station, the POI should add Element Design Assessments (EDA) 6.1.1 and 6.2.4 as necessary to assess the certificate holder's ability to safely conduct operations at the new line station. After operations have commenced at a new line station, an Element Performance Assessment (EPA) for 6.1.1 and 6.2.4 should be performed to assess the certificate holder's performance at that new station. The POI may decide to include one or more inspectors on an inspection team to ensure that appropriate guidance is available and for standardization purposes.

6-687 GENERAL INSPECTION PRACTICES AND PROCEDURES. Inspectors who conduct station facilities inspections encounter a wide range of situations and operational conditions. Station facilities range from large physical plants (that have a permanently assigned station manager, numerous employees, and various departments) to a single counter manned by a single employee or contractor. A station facilities inspection may be conducted to provide an overall view of operations, or it may be focused on a specific area of interest. Inspectors should use the direction, guidance, and procedures that follow when conducting a station facilities inspection.

NOTE: The direction and guidance of paragraph 6-687 and the following paragraphs is general in nature. Not all of it may be appropriate in any given situation.

A. Planning for the Inspection. The inspector should carefully plan a station facilities inspection before conducting it. The inspector should review previous inspection reports, identify any areas of weakness previously reported, and review the corrective actions that were taken. The inspector should coordinate with the station manager ahead of time to establish a date and time for conducting the inspection.

B. Briefing for the Inspection. Before beginning the inspection, the inspector should request that the certificate holder provide a briefing on the facility operation, including its assigned personnel and operational procedures. In turn, the inspector should brief the station manager and the staff on the purpose and scope of the inspection. This discussion should include the following points:

- Purpose of the facility inspection;
- Introduction of inspectors;

- The specific areas to be inspected;
- Inspection authority (14 CFR part 119, § 119.59); and
- The proposed time and place of the exit briefing.

C. Preliminary Tour. The actual inspection should begin with a tour of the facility. The tour should provide the inspector with an overview of the operation and the location of individual sections. Inspectors should introduce themselves to section supervisors and other employees during the facility tour to become familiar with each section. The tour should include those areas of the facility that are utilized by the flight and cabin crews for dispatch, briefing, and flight planning, and those areas that are utilized for passenger loading, cargo loading, Weight and Balance (W&B) preparation, and ramp areas.

6-688 SPECIFIC INSPECTION PRACTICES AND PROCEDURES. Inspectors should conduct station facilities inspections by using the following procedures:

A. Personnel. The inspector should review the staffing of the facility. During this review, the inspector should attempt to determine whether or not the station is adequately staffed and whether or not assigned personnel are competent in their duties. The inspector may accomplish this by observing individuals as they perform their assigned job tasks. For example, the inspector may review recently completed forms for accuracy and may interview personnel, while being careful to avoid interfering with their duties.

B. Manuals. The inspector should review the operator's manual or system of manuals for the operation of the facility to determine whether or not the manuals are on hand, current, readily available to personnel, and adequate in content. Direction and guidance for conducting a manuals inspection is contained in Volume 6, Chapter 2.

1) On Hand Requirements. Inspectors should determine what manuals the operator requires its station personnel to maintain and then determine whether or not these manuals are on hand. As a result of the inspection, the inspector should be able to conclude that either these manuals are sufficient for the purposes of the station or that station personnel require additional information, which was not available.

2) Currency Requirements. The inspector should also ensure that the operator's manuals are current and that any required revisions are accurately posted. The inspector should obtain information on the revision status of manuals from the POI before beginning the inspection.

3) Content Requirements. Each manual or publication should be checked by the inspector to ensure that it includes the information and guidance necessary to allow personnel to perform their duties and responsibilities effectively and safely. Depending on the scope of operations conducted at the station, direction and guidance may be required in the following operational areas:

- Refueling procedures;
- Aircraft towing or movement requirements/procedures;
- Weight and Balance Manual (WBM)/procedures;

- Operation of ground service equipment/procedures;
- Aircraft Flight Manual (AFM) for types of regularly scheduled aircraft;
- Personnel training manual;
- Current emergency telephone listing;
- Accident/incident telephone listing;
- Security training and procedures;
- Severe weather notification procedures;
- Carry-on baggage procedures;
- Identification or handling of hazmat/procedures;
- Instructions and procedures for notification of the pilot in command (PIC) when there are hazmat aboard;
- Procedures for passenger operation of electronic devices;
- Contract service (if applicable); and
- Trip records disposition.

C. Records. Available records relative to station operations should be inspected, such as communications records and station personnel training records. (Inspection of crew and dispatcher training records and flight and rest records are separate inspection activities.) Specific guidance for conducting trip records inspections is contained in Volume 6, Chapter 2. In a small facility, a records inspection and a facility inspection could be conducted on the same day. In most facilities, however, records inspections and facilities inspections should be planned and conducted separately.

D. Training. The inspector should review the training conducted for the various classifications of station personnel. The regulations do not specify training requirements either by subject or frequency for station personnel, yet these personnel should receive both initial and recurrent training in assigned job functions. This training may be either formal classroom training or on-the-job training (OJT). Specific areas of training include the following:

- Duties and responsibilities,
- Hazmat,
- Passenger handling and protection,
- Load planning and W&B procedures,
- Communications procedures,
- Manual backup procedures in case of computer or communications equipment failures,
- Aircraft servicing and ramp operations, and
- First aid and emergency actions.

E. Facility/Equipment/Surface. The operator's facilities must be adequate to provide safe operating conditions for both aircraft and personnel. The inspector should conduct an evaluation to ensure that the following conditions are met:

1) Ramp Maintenance. Ramp areas should be clean and clear of foreign objects. The operator should have a regular program for inspecting, cleaning, and repainting ramp surfaces. Adequate equipment must be available for snow removal.

2) Passenger Safety. Employees and passengers must be protected from jet or prop blast. If a jetway is unavailable or not used, inspectors should evaluate passenger handling procedures and facilities and give particular attention to the movement of passengers across ramps. The operator must have established procedures for assisting handicapped passengers, especially when boarding ramps are not used.

3) Night Operations. To ensure that adequate lighting is available and is being used for safe ground operations, inspectors should conduct observations during night operations, if feasible.

4) Station Manager Responsibilities. The certificate holder's management usually assigns station managers with the responsibility for maintaining surveillance of the airport and for reporting airport hazards and any new information that may affect station operations. Inspectors should determine what responsibilities have been assigned to the station manager and how those responsibilities are being discharged.

5) Airport Deficiencies. Inspectors are not tasked with conducting a physical inspection of the airport during a station facilities inspection; however, any airport deficiencies observed during a station facilities inspection must be noted by inspectors and must be recorded for transmittal to the regional airports division.

F. Conformance. In each area to be inspected, inspectors should evaluate the certificate holder's procedures for compliance with provisions of the applicable 14 CFR parts. In addition, the certificate holder's personnel must comply with the certificate holder's directives as provided for in the certificate holder's manuals.

G. Flight Control. The inspection of a station's flight control function should be conducted while actual arrival or departure operations are in progress. This allows the inspector to get an overall view of the effectiveness of the operation and its assigned personnel. Background information on operational control is contained in Volume 3, Chapter 25; direction and guidance for conducting operational control inspections is contained in Volume 6, Chapter 2. Inspectors should familiarize themselves with these sections before conducting a station facilities inspection.

1) Operational Control Inspection. When a dispatch or flight following center is located within the station, an operational control inspection should be conducted in conjunction with the station facilities inspection. Unless the station is small, these two inspections should be planned and conducted as separate events.

2) Line Station Functions. Certificate holders often exercise operational control from a central location and assign the line stations with related support functions, such as delivering dispatch releases and flight plans to the flightcrew. In this situation, inspectors should determine which functions are the responsibilities of the station. Inspectors should evaluate station personnel in the performance of these functions. Inspectors should also evaluate the effectiveness of the division of responsibility between the central Operations Control Center (OCC) and the line station.

3) Load Planning. Inspectors should determine who is assigned responsibility for load planning and W&B control. Passenger and cargo weights must be accurate and reliably obtained, collected, and transmitted. Personnel must be adequately trained. Procedures should be simple and effective. When computerized systems are used, there must be adequate backup provisions for computer failure. When station personnel are required to perform manual calculations in case of computer failure, the certificate holder must ensure continued proficiency of personnel in making these calculations. Inspectors should ask these individuals to perform a manual calculation and compare the individual's solution to the computer solution.

H. Servicing. The servicing area of a station facilities inspection covers routine loading and servicing as opposed to aircraft maintenance activities. While operations inspectors should record and report observations they believe to be maintenance discrepancies, they are not assigned to inspect the maintenance activities. The preferred procedure is for station facilities inspections to be conducted by a joint operations/airworthiness team. Inspectors should evaluate areas of concern to operations personnel, such as the manner in which logbooks are handled and how minimum equipment list (MEL)/Configuration Deviation List (CDL) provisions are complied with. The inspector should observe and verify safe practices in the operator's service operations and that adequate personnel are available for the required aircraft servicing. Operations to be observed should include, but are not limited to, the following:

- Fueling (ensuring that proper procedures are being followed);
- Deicing (ensuring that the correct ratio and temperature of the glycol/water mix is being used and that all snow and ice is removed);
- Marshalling (ensuring safe operation and correct procedures). Refer to Advisory Circular (AC) 00-34, Aircraft Ground Handling and Servicing; and
- Chocks/Mooring (ensuring chocks are in place, the parking ramp is relatively level, and brakes are set or released).

I. Management. Throughout the inspection, inspectors should observe managers and supervisors and evaluate the organizational structure, particularly the effectiveness of vertical and horizontal communications. Managers and supervisors should be thoroughly aware of their duties and responsibilities and those of the personnel they supervise. Areas that inspectors must observe and evaluate include the following:

1) Outside Contractors. If the certificate holder contracts with other companies for station services, the certificate holder should have established adequate controls over their performance. The certificate holder must assure that adequate training is provided to contractor personnel.

2) Contingency Plans. The station management should be prepared for contingencies. Action plans should be available for use in case of such events as accidents, injury, illness, fuel spills, bomb threats, hijacking, severe weather, and hazmat spills. Station personnel should know the location of these plans. Plans should contain emergency notification checklists and procedures for suspending or cancelling operations. Emergency telephone listings should be posted in obvious locations and be clearly legible.

6-689 RECORDING STATION FACILITIES INSPECTIONS. Inspectors should use the appropriate SAS Data Collection Tools (DCT) when recording the inspection. The information found during the inspection can be used for updating the enhanced Vital Information System (eVIS) environmental file. Station facilities inspections for part 121 operators and part 135 commuter operators or part 135 on-demand certificate holders that utilize line stations are recorded under SAS Elements 6.1.1 (OP) Training of Station Personnel, and 6.2.4 (OP) Line Station Operations/Ground Personnel Duties, and Custom DCTs created by the POI. Discrepancies observed during the inspection should be documented in SAS in accordance with Volume 10, Chapter 5.

RESERVED. Paragraphs 6-690 through 6-704.

VOLUME 10 SAFETY ASSURANCE SYSTEM POLICY AND PROCEDURES**CHAPTER 1 GENERAL****Section 3 Safety Assurance System: Roles and Responsibilities****10-1-3-1 GENERAL.**

A. Purpose. The purpose of this section is to provide an overview of a Safety Assurance System (SAS) user's roles, responsibilities, and qualifications. This overview is not an all-inclusive list, but provides a summary of tasks or functions related to SAS.

B. Scope. This section applies to all SAS users.

10-1-3-3 RESERVED.

10-1-3-5 BACKGROUND. All users of SAS must use and maintain the system in accordance with the policies and procedures defined in this section.

A. The Director of Flight Standards Service (AFS-1).

- 1) Provides the national policy and procedures for SAS.
- 2) Provides national policy and procedures for baseline training and staffing standards.
- 3) Provides adequate regional resources to support SAS processes.

B. Flight Standards National Field Office (FSNFO) (AFS-900).

- 1) Designs, develops, and deploys national systems for certification, surveillance, and resolution of safety issues for air operators and air agencies.
- 2) Provides the policy and guidance on Flight Standards Service (AFS) internal and external Safety Management System (SMS) requirements and interfaces.
- 3) Provides National Safety Analysis (NSA) and program support for the SAS process.
- 4) Collects feedback through the SAS Assistance, Feedback, or Enhancement (SAFE) process, completes changes and updates for all SAS processes, and assesses SAS process effectiveness.
- 5) Continually improves the SAS process using Quality Management System (QMS) work instructions.
- 6) Provides field support to end users.

7) Provides subject matter experts (SME) to support SAS.

8) Selects a National SAS Administrator (AFS-900).

C. Air Transportation Division (AFS-200), Aircraft Maintenance Division (AFS-300), and Flight Technologies and Procedures Division (AFS-400).

1) Participate as stakeholders in the development and continuous improvement of SAS.

2) Work with AFS-900 to ensure SAS Data Collection Tools (DCT) align with national policy.

D. Flight Standards Training Division (AFS-500). Budgets for and provides the training that meets the needs of SAS users.

E. Flight Standards Quality Assurance Division (AFS-40).

1) Reports directly to AFS-1.

2) Audits compliance with SAS policy and procedures and evaluates the effectiveness of SAS processes.

F. Regional Coordinators/Regional Flight Standards Division (RFSD) Offices.

1) Complete the baseline training requirements.

2) Use allocated resources (e.g., funding and trained personnel) in accordance with AFS priorities.

3) Resolve issues that the certificate-holding district office (CHDO) has identified.

4) Support geographic resource requests.

5) Concur with plan when required.

G. Assigned SAS Administrator and Security Auditor. The SAS Administrator is an appointed position throughout AFS at the national (AFS-900), regional, and office levels. The SAS Administrator provides SAS users authorized access and user roles based on their job function. The SAS Administrator is responsible for deactivating internal users and deleting accounts of external users who no longer require access to SAS.

1) To move a user from one office to another, you must accomplish the following steps in this order:

a) You will need to ensure the user's new office location is updated in the Enhanced Flight Standards Automation System (eFSAS) before you update the information in SAS automation. (Refer to the eFSAS User Manual for information on how to update inspector data.)

b) In SAS, select “User Administration” and locate the user’s previous office. Select the user’s name and add the new office code from the drop-down menu. You will also be required to add the Office Manager (OM) and the Frontline Manager (FLM). Once you update the information in SAS, the information will automatically update in eFSAS. (Refer to the SAS Automation User Guide (AUG) for information on “User Administration” functions.)

- 2) As the Office-Level SAS Administrator and Security Auditor, you will:
- a) Be delegated by the OM.
 - b) Receive SAS Administrator training.
 - c) Manage all user accounts at the office level.
 - d) Create user accounts in the external portal system.
 - e) Review quarterly reports.
 - f) Receive emails when Federal Aviation Administration (FAA) security detects any suspicious activity.
 - g) Contact the Information Technology (IT) Program Manager or National Service Desk of suspicious activity and then follow the steps in the AUG.

- 3) As the Regional-Level SAS Administrator and Security Auditor, you will:
- a) Receive SAS Administrator training.
 - b) Manage all user accounts at the regional level.
 - c) Review quarterly reports.
 - d) Receive emails when FAA security detects any suspicious activity.
 - e) Contact the IT Program Manager or National Service Desk of suspicious activity and then follow the steps in the AUG.

- 4) As the National SAS Administrator and Security Auditor, you will:
- a) Receive SAS Administrator training.
 - b) Manage all user accounts at the national level.
 - c) Review quarterly reports.
 - d) Receive emails when FAA security detects any suspicious activity.
 - e) Contact the IT Program Manager or National Service Desk of suspicious activity and then follow the steps in the AUG.

H. Office Point of Contact (POC). The SAS Office POC is an appointed position throughout AFS at the office level. External user requests are directed to the SAS POC. The Office POC can approve the request that will add the user to SAS. SAS POCs need to coordinate with certificate holders' or applicants' principal inspectors (PI) to verify external user requests for access to SAS automation prior to authorizing external users.

I. Office Provisioning Point of Contact (POC). The designated Provisioning POC will have access to the FAA provisioning portal. The Provisioning POC is unique to each office and approves access of authorized users to FAA applications. The OM will use the FAA Provisioning POC Access Form located on the External Portal tab of the SAS Resource Guide (SRG) to designate the authorized Office Provisioning POC.

CAUTION: Anyone with Internet access can request a SAS External Portal user ID. The automation does not validate the association to the certificate for each individual requesting a user ID. Each office is responsible for developing procedures for authorizing and managing these user IDs. This will ensure only valid representatives of the certificate holder are registered for the SAS External Portal. The certificate holder should develop a method to notify the local FAA office when a user should no longer have access to the SAS External Portal.

J. Office Manager (OM).

- 1) Ensures office personnel have proper training and full knowledge of their role in SAS.
- 2) Ensures office personnel effectively execute their assigned SAS responsibilities in accordance with established SAS processes and procedures.
- 3) Supports SAS transition goals.
- 4) Manages the certification projects and certificates for the office's assigned certificate holder(s).
- 5) Supports the geographic program requests.
- 6) Determines and requests staffing, and requests baseline training to support SAS processes. Receives input from the PI and identifies other training needs for office personnel.
- 7) Participates in the annual planning review, monitors and tracks the progress of the development of the Comprehensive Assessment Plan (CAP), and concurs with the plan.
- 8) Ensures that personnel under their supervision participate in the initial or annual planning process.
- 9) Ensures the CAP is planned and assigned in resource order unless a justification is provided to support not assigning in resource order.

- 10) Ensures that the certification project manager (CPM) or PI uses the tools and procedures found in this order.
- 11) Obtains and provides resources to support the work plan to include travel funding.
- 12) Concurs with the plan.
- 13) Concurs with outgoing geographic requests.
- 14) Assigns an OM, FLM, or other individuals as needed as proxies to perform duties when needed. Such assignments shall be effected in accordance with any applicable law, the FAA Personnel Management System, Human Resource Policy Manual (HRPM) EMP-1.15, temporary internal assignments, and labor agreements.
- 15) Selects an Office-Level SAS Administrator and Security Auditor.

K. Frontline Manager (FLM).

- 1) Assigns aviation safety inspector (ASI) resources based on resource order first.
- 2) Provides leadership, support, and resources to ensure that personnel are properly trained and have met the SAS baseline training requirements.
- 3) Ensures that personnel complete assigned tasks effectively in accordance with established SAS processes and procedures.
- 4) Concurs with the work plan for Title 14 of the Code of Federal Regulations (14 CFR) parts 135 and 145.
- 5) Assigns work plans.
- 6) Assigns incoming geographic program requests.
- 7) Concurs with outgoing geographic program requests.
- 8) Ensures personnel conduct assigned work plans according to the specific inspection instructions.
- 9) Provides necessary leadership to resolve differences of opinion between reporting ASIs and Data Quality Reviewers (DQR).
- 10) Ensures the office roster is maintained.
- 11) Ensures the SAS make, model, and series (M/M/S) tables are maintained.
- 12) Approves random inspections (RI) and En Routes.
- 13) Performs data review, as required.

14) Assigns an OM, FLM, PI, or other individuals as needed as proxies to perform duties when needed. Such assignments shall be effected in accordance with any applicable law, the FAA Personnel Management System, HRPMP EMP-1.15, temporary internal assignments, and labor agreements.

L. Certification Project Managers (CPM) or Principal Inspectors (PI). The CPM is responsible for the initial certification process, and the PI is responsible for the certificate management process.

- 1) Both the CPM and PI may perform the following functions:
 - a) Review a certificate holder's or applicant's request for new or changed scope of operation and, if accepted, adjust the Certificate Holder Operating Profile (CHOP), as required. The adjusted CHOP will produce the scoped DCTs needed to cover the change. The PI/CPM is required to enter data into Module 1 if the external portal is not used.
 - b) Collect and organize information to complete an applicant or certificate holder assessment, solicit input from team members, and make decisions about oversight requirements.
 - c) Update the configuration data in Module 1.
 - d) Prioritize SAS System or Subsystem Performance Assessments (SPA) by following SAS planning procedures.
 - e) Determine retargeting of oversight activities based on analysis of data or significant changes in the operating environment. Significant changes include, but are not limited to, financial distress, labor unrest, or changes in the scope and scale of operations/ratings (e.g., growth or downsizing) that may affect the certificate holder's or applicant's ability to balance resources, size, and organizational structure with operational requirements. Other examples are accidents, incidents, or occurrences that could affect a certificate holder and result in a change to oversight activities.
 - f) Participate in periodic meetings with the applicant or certificate holder to stay informed on financial health and growth plans, or other conditions that might cause an imbalance between resources and operations.
 - g) Provide specific instructions, as needed, for completing inspections using the planning procedures.
 - h) Bring aviation safety concerns to the Operations Research Analyst (ORA). Communicate analytical needs frequently to the ORA. Include the ORA in discussions or meetings of safety-related issues.
 - i) Determine if the applicant's or certificate holder's program and processes meet the standards for acceptance or approval.

j) Determine the appropriate action for the results of SPAs, Element Performance Assessments (EPA), Element Design Assessments (EDA), Essential Maintenance Providers (EMP), and Custom Data Collection Tools (C DCT) through Analysis, Assessment, and Action (AAA).

k) Plan geographic program requests.

l) Recommend resources.

m) Evaluate data in the AAA and determine if there is sufficient data to make an assessment.

n) After coordination with the FLM, the PI or CPM may select a PI, an assistant PI, or an ASI as a proxy in the automation. The proxy would then be able to perform the same functions as the PI or CPM does in various places of the automation. Such assignments shall be effected in accordance with any applicable law, the FAA Personnel Management System, HRPM EMP-1.15, temporary internal assignments, and labor agreements.

2) The CPM or PI may perform the following functions, as appropriate:

a) The CPM ensures all certification job functions are complete. The CPM communicates project status to the Certification Project Team (CPT) and the CHDO manager.

b) The PI is responsible for identifying new hazards.

c) PIs may meet at least annually with their FLM and ORA to determine analytical needs. Discussion topics for this meeting include type of reports, frequency, and timing of ORA products.

d) PIs use the analysis and assessment process to make informed decisions about the certificate holder's or applicant's operating systems (1) before approving or accepting them when required to do so by regulations, and (2) during recurring Performance Assessments (PA). They take appropriate actions based on their analysis and assessment, and monitor progress using the Action Item Tracking Tool (AITT).

e) The PI ensures certificate holder regulatory compliance and system adequacy through recurring assessments.

M. Operations Research Analyst (ORA).

1) Serves as the focal point for analytical support.

a) Analyzes and summarizes safety data collected to support the Planning and Assessment Modules.

- b) Integrates information from a variety of internal and external data sources for developing long-term safety trends relevant to the office personnel.
 - c) Applies various analytical techniques to assist in clarifying safety issues.
- 2) Understands system safety and risk management (RM) concepts.
- a) Possesses broad knowledge of system safety and the role of certification, surveillance, compliance, and enforcement functions.
 - b) Understands the key components of RM to assist in evaluating effectiveness.
- 3) Is familiar with automation tools and software applications.
- a) Is skilled at data retrieval techniques to gather safety data.
 - b) Is familiar with data reporting approaches for presenting analytical results.
 - c) Navigates the SAS automation and understands its various components.
- 4) Participates in meetings and discussions, and maintains an open dialogue with office members to meet analytical needs.

N. Data Quality Reviewer (DQR).

- 1) Continually monitors the status of reports and records in the automation, and reviews them in accordance with the data quality guidelines (DQG).
- 2) Promptly initiates actions necessary to resolve data quality issues or discrepancies.

O. Aviation Safety Inspector (ASI) Listed on the SAS Office Roster.

- 1) Participates in the planning activities to develop the CAP.
- 2) Schedules, coordinates, and accomplishes the work assignments using SAS tools. ASIs may work individually or as part of a team when conducting a DCT.
- 3) Accurately and promptly enters data collection results into the automation in accordance with DQGs.
- 4) Submits reports using the Dynamic Observation Report (DOR) when observations are relevant to safety, but are unplanned or outside of the planned surveillance. These observations are incidental to other work assignments.
- 5) Reevaluates returned inspection records and decides on the appropriate action (e.g., edit the record, additional data collection, or take no action).

6) Promptly identifies unsafe conditions or possible regulatory violations observed during data collection, notifies the appropriate personnel, and makes appropriate entries into data systems (e.g., Program Tracking and Reporting Subsystem (PTRS) or SAS automation).

7) Follows established procedures to assist PIs in determining that the applicant or certificate holder complies with its procedures and meets its established performance measures.

8) Performs reviews of data that fall within scope of expertise.

9) Supports PIs and performs tasks associated with the risk management process (RMP) and/or identifying new hazards, as assigned.

10) Conducts geographic inspections.

11) Conducts RIs and ad hoc En Routes, as approved.

P. Team Coordinator (TC). The TC organizes and coordinates the team activities and determines how to distribute the questions among the team members. The TC ensures team members accurately answer the questions and completes the DCT on time.

Q. Geographic Resource.

1) Submits reports using the DOR when observations are relevant to safety, but are unplanned or outside of the planned surveillance. These observations are incidental to other work assignments.

2) Completes geographic assigned tasks and enters data collection results accurately and promptly into the automation in accordance with DQGs.

3) Reevaluates returned inspection records and decides on the appropriate action (e.g., editing the record, conducting additional observations, or taking no action).

4) Promptly identifies unsafe conditions or possible regulatory violations observed during data collection. Notifies appropriate personnel and makes appropriate entries into FAA data systems.

5) Conducts data collection, as assigned.

R. Aviation Safety Technicians (AST) and Aviation Safety Assistants (ASA).

1) ASTs and ASAs who enter assessment data on behalf of the ASI need to ensure they enter the data completely and accurately into the SAS automation.

2) ASTs can provide technical support to an ASI when there is research and documentation involved with the data collection process (e.g., DCTs, input into the Certificate Holder Assessment Tool (CHAT), RMPs, AITT) when assigned by their FLM. However, like ASIs, the ASTs must have the appropriate training.

Figure 10-1-3A. SAS Training Requirements

The following table displays the training requirements for SAS users.

Course Name and Course Number	Course Length/Delivery Method	Audience	Course Description/Applicability
Introduction to SAS (27100190)	2 hours; Web-based training (WBT)	All AFS employees. This course is a prerequisite for all other SAS courses.	Topics include SAS background, definitions, SAS oversight model, automation, SAS External Portal, and a discussion about next steps.
SAS User Admin Functions (27100223)	2-3 hours; WBT	Office and other personnel assigned the responsibility for SAS user administration.	Topics include assigning user roles and functionality and proxy assignments.
Data Collection Tool (DCT) Fundamentals for SAS (27100214)	2-3 hours; WBT	Aviation safety inspectors (ASI) and aviation safety technicians (AST).	Provides a detailed knowledge of DCT concepts, policy, foundational topics, and key automation screens. Prerequisite to the ASI SAS Interactive Training course.
ASI SAS Interactive Training (21000125)	4 days; Instructor-Led Training (ILT)	New-hire string Phase II for all ASIs.	Topics include SAS concepts, business processes, policy, and automation, including instructor-led demonstrations and hands-on exercises in a SAS training automation site.
SAS for Managers (21000101)	2 days; ILT	- AFS headquarters (HQ) Managers (Division, Deputies, and Branch) - AFS Regional Managers (Deputies and Branch) - Certificate management office (CMO)/Flight Standards District Office (FSDO) Managers	Course designed for managers; includes some automation content.
14 CFR Part 135/145 Principal Inspector (PI) & Manager SAS Interactive Training (21000126)	5 days; ILT	Part 135 and 145 PIs and managers promoted to new supervisory roles.	Topics include SAS key concepts and policy, business processes, automation, DCTs, planning tools, resource management, Action Item Tracking Tool (AITT), Analysis, Assessment, and Action (AAA), and more.

Figure 10-1-3A. SAS Training Requirements (Continued)

Course Name and Course Number	Course Length/Delivery Method	Audience	Course Description/Applicability
14 CFR Part 121 PI & Manager SAS Interactive Training (21000127)	5 days; ILT	Part 121 PIs and managers promoted to new supervisory roles.	Topics include SAS key concepts and policy, business processes, automation, DCTs, planning tools, resource management, AITT, AAA, and more.
SAS for Operations Research Analysts (ORA) (21000100)	3 days; ILT	ORAs and AFS-900 Analysis and Information Program Office (AIPO) staff.	Course designed for ORAs and other select analyst positions that require back-end access to the SAS database in order to perform their primary job function. This course will focus on SAS foundational concepts, business processes, automation (front-end), and database structure (back-end).
SAS for Staff (27100191)	2-3 hours; WBT	HQ, Regional, Field Office (FO), Aircraft Evaluation Group (AEG), aviation safety assistants (ASA), and other employees without a primary SAS function.	Topics include learning about the SAS homepage, regional coordination, the geographic process, SAS automation, and data collection and reporting methods.
SAS for Repair Stations Located Outside the United States (27100206)	1-2 hours; WBT	ASIs that have oversight responsibility for repair stations located outside of the United States.	Follow-on course (Decision Tree) to ASI SAS Interactive Training.
SAS External Portal for Certificate Holders/Applicants (27100205)	2 hours; hosted on Blackboard for external users	Certificate holders/applicants who are using the External Portal.	Topics include the benefits of the External Portal and using the External Portal to submit documents and changes.
Introduction to the SAS External Portal for AFS (27100215)	3 hours; WBT	ASIs responsible for initial certification.	Topics include how to properly handle initial certification applications through the SAS External Portal, and how to field questions from the certificate holder/applicant using the SAS External Portal.

Figure 10-1-3A. SAS Training Requirements (Continued)

Course Name and Course Number	Course Length/Delivery Method	Audience	Course Description/Applicability
Initial Certification for SAS (27100247)	2 hours; WBT	ASIs responsible for initial certification.	Topics include how to properly handle initial certification applications.
SAS Analysis, Assessment, Action (AAA) (27100216)	2 hours; WBT	PIs.	This course will refresh PIs on how to complete their quarterly responsibilities in Module 5 (AAA) on the SAS automation.
Risk Management Process (RMP) in SAS (27100224)	2-3 hours; WBT	ASIs and PIs who create RMPs or identify new hazards.	Topics include SAS RMP; identifies new hazards that include business processes, policy, and automation.

10-1-3-7 through 10-1-3-29 RESERVED.

VOLUME 10 SAFETY ASSURANCE SYSTEM POLICY AND PROCEDURES

CHAPTER 1 GENERAL

Section 4 Safety Assurance System: Acronyms, Abbreviations, Terms, and Definitions

10-1-4-1 GENERAL.

A. Purpose. This section provides a list of Safety Assurance System (SAS) acronyms, abbreviations, terms, and definitions.

B. Scope. This section provides an overview of the SAS acronyms and abbreviations in Table 10-1-4A, Acronyms and Abbreviations, and terms and definitions in Table 10-1-4B, Terms and Definitions.

Table 10-1-4A. Acronyms and Abbreviations

Acronym/Abbreviation	Description
AAA	Analysis, Assessment, and Action
AC	Advisory Circular
ACCD	Aircraft Configuration Control Document
ADG	Office of Hazardous Materials Safety
AFS	Flight Standards Service
AIPO	Analysis and Information Program Office
AITT	Action Item Tracking Tool
AQP	Advanced Qualification Program
ASA	Aviation Safety Assistant
ASAP	Aviation Safety Action Program
ASI	Aviation Safety Inspector
ASI-AD	Aviation Safety Inspector–Aircraft Dispatcher
ASI-CS	Aviation Safety Inspector–Cabin Safety
AST	Aviation Safety Technician
ATS	Air Transportation Supervisor
AUG	Automation User Guide
AW	Airworthiness (Avionics/Maintenance)
CAP	Comprehensive Assessment Plan
CASS	Continuing Analysis and Surveillance System
CAST	Commercial Aviation Safety Team
C DCT	Custom Data Collection Tool

Acronym/Abbreviation	Description
CFR	Code of Federal Regulations
CHAT	Certificate Holder Assessment Tool
CHDO	Certificate-Holding District Office
CHEP	Certificate Holder Evaluation Process
CHOP	Certificate Holder Operating Profile
CIPO	Continual Improvement Program Office
COS	Continued Operational Safety
CPD	Certification Process Document
CPM	Certification Project Manager
CPT	Certification Project Team
CSOP	Certification Service Oversight Process
CTL	Certification Team Leader
DA	Design Assessment
DCT	Data Collection Tool
DEPM	Data Evaluation Program Manager
DOR	Dynamic Observation Report
DQG	Data Quality Guidelines
DQR	Data Quality Reviewer
EASA	European Aviation Safety Agency
EDA	Element Design Assessment
ED DCT	Element Design Data Collection Tool
EFIS	Electronic Flight Information System
EMP	Essential Maintenance Provider
EPA	Element Performance Assessment
EP DCT	Element Performance Data Collection Tool
ETOPS	Extended Operations
eVID	Enhanced Vital Information Database
FAA	Federal Aviation Administration
FLM	Frontline Manager
FO	Field Office
FOIA	Freedom of Information Act
FOQA	Flight Operations Quality Assurance

Acronym/Abbreviation	Description
FSDO	Flight Standards District Office
FSNFO	Flight Standards National Field Office
GEO ADD	Geographic Airport Data Display
HAA	Helicopter Air Ambulance
Hazmat	Hazardous Materials
HMDM	Hazardous Materials Division Manager
HM FLM	Hazardous Materials Frontline Manager
HMFO	Hazardous Materials Field Office
HMSP	Hazardous Materials Safety Program
HSI	Hazardous Materials Safety Inspector
ICAO	International Civil Aviation Organization
IEP	Internal Evaluation Program
ILT	Instructor-Led Training
IWP	Individual Work Plan
LOPA	List of Passenger Accommodations
MCPD	Major Change Process Document
MIP	Maintenance Implementation Procedures
MLF	Master List of Functions
NIIM	National Inspection and Investigations Manual
NSA	National Safety Analysis
OM	Office Manager
OpSpecs	Operations Specifications
ORA	Operations Research Analyst
PA	Performance Assessment
PHI	Principal Hazardous Materials Inspector
PI	Principal Inspector
POC	Point of Contact
PTRS	Program Tracking and Reporting Subsystem
RC	Regional Coordinator
RDL	Required Document List
RFSD	Regional Flight Standards Division
RI	Random Inspection

Acronym/Abbreviation	Description
RM	Risk Management
RMP	Risk Management Process
RNA	Resources Not Available
RTR	Returns the Request
RWL	Resource Work List
SA	Safety Assurance
SAFE	SAS Assistance, Feedback, or Enhancement
SAS	Safety Assurance System
SASO	System Approach for Safety Oversight
SAT	System Analysis Team
SDR	Service Difficulty Report
SME	Subject Matter Expert
SMS	Safety Management System
SPA	System or Subsystem Performance Assessment
SPAS	Safety Performance Analysis System
SP DCT	System/Subsystem Performance Data Collection Tool
SRG	SAS Resource Guide
SRM	Safety Risk Management
SRR	Specific Regulatory Requirement
TC	Team Coordinator
TL	Team Leader
U.S.C.	United States Code
VDRP	Voluntary Disclosure Reporting Program
WBT	Web-based Training

Table 10-1-4B. Terms and Definitions

Term	Definition
Acceptable Risk	Level of risk that is allowed to persist after controls are applied. Risk is acceptable when further efforts to reduce it would degrade the probability of success of the operation.
Action Item Tracking Tool (AITT)	The AITT is a repository that provides access/manages functionality on all the action items created for any given certificate holder. The AITT includes action items created from various modules in Safety Assurance System (SAS) automation, such as Analysis, Assessment, and Action (AAA), Certificate Holder Assessment Tool (CHAT), Data Collection, and the AITT itself. The AITT does not replace documentation requirements specified in other guidance.
Applicant	An individual, group, or organization seeking new operating authority.
Assessment (in relation to Performance Assessment (PA) or Design Assessment (DA))	An item that the principal inspector (PI)/certification project manager (CPM) schedules or plans on the Comprehensive Assessment Plan (CAP). An assessment is created to evaluate the certificate holder's or applicant's process and procedures. Assessments include System/Subsystem Performance Data Collection Tools (SP DCT), Element Performance Data Collection Tools (EP DCT), Element Design Data Collection Tools (ED DCT), Custom Data Collection Tools (C DCT), random inspections (RI) (Ramp), and En Route inspections.
Authoring Tool	The authoring tool is an application used by AFS-900 to sustain and continuously improve Data Collection Tools (DCT).
Authority Attribute	A clearly identifiable, qualified, and knowledgeable person who has the authority to set up and change a process.
Avionics Special Emphasis Programs	Accepted or approved programs to the certificate holder/applicant's maintenance program requiring specific emphasis and procedures to ensure compliance with the associated regulations and guidance. These programs include: Cockpit Voice Recorders, Flight Data Recorders, Air Traffic Control (ATC) Transponder, Lower Landing Minimums, Reduced Vertical Separations Minimums, Aircraft Network Security Program, and Electrical Wiring Interconnection Systems.
Baseline Interval	The baseline interval is the criticality value of the assessment (high, medium, or low).
Bundling (in reference to planning assessments)	Grouping specific assessments together regardless of criticality for better resource management.

Term	Definition
Certificate Holder Assessment Tool (CHAT)	The CHAT is an automated tool for each certificate holder and specialty that contains a series of risk indicators and PI options that help the PI assess risk. The output of the CHAT will assist the PIs to justify changes in resource order on the CAP.
Certificate Holder Evaluation Process (CHEP)	A standardized process to evaluate Title 14 of the Code of Federal Regulations (14 CFR) parts 121, 135, and 145 certificate holders. A CHEP can be conducted at the local, regional, or national level.
Certificate Holder Maintenance Provider	An individual whom the certificate holder has identified for the responsibility for the accomplishment of any of its maintenance, preventive maintenance, or alterations.
Certificate Holder Operating Profile (CHOP) (Also known as the operating profile)	The main purpose of the operating profile is to generate a specific set of DCTs used to conduct PAs and DAs. The operating profile is developed from configuration data taken from the enhanced Vital Information Database (eVID) and operations specifications (OpSpecs) as well as questions that must be answered by the PIs/CPMs. The operating profile represents a certificate holder/applicant's scope of operations. The output of the operating profile is scoped data collection questions.
Certificated Repair Station (CRS)	Part 145 repair station.
Certification Project Manager (CPM)	Primary Federal Aviation Administration (FAA) spokesperson throughout the SAS initial certification process. The CPM is responsible for ensuring that all certification job functions are complete.
Certification Project Team (CPT)	Responsible for the oversight functions of an initial certification.
Comprehensive Assessment Plan (CAP)	The CAP is a tool used for planning, documenting, and tracking assessments. The PIs/CPMs use the CAP to schedule and adjust resource order and due dates of assessments, and to record the reasons for making those adjustments. The CAP is a 2-year plan.
Configuration Data	A set of unique characteristics or attributes that define the certificate holder's or applicant's scope of operation. For example, route structure, fleet type, fleet size, domestic vs. international operations, and Extended Operations (ETOPS) are types of configuration data.
Continued Operational Safety (COS)	Routine recurring PAs (routine surveillance through safety inspections). Also includes certificate management, the management of major changes in operation (i.e., system configuration change).
Contract Maintenance	Any maintenance, preventive maintenance, or alterations accomplished by a certificate holder maintenance provider.

Term	Definition
Control Attribute	Checks and restraints designed into a process to ensure a desired result.
Custom Data Collection Tool (C DCT)	<p>There are two types of C DCTs: a PI C DCT and a National/Regional C DCT. Both C DCTs can be used for focused inspections, special emphasis oversight, and to collect data on specific areas of immediate concern outside of the normal planning schedule. If data needs to be collected on functions not covered by EP DCTs and ED DCTs, then a National/Regional C DCT template will need to be created.</p> <p>A PI can create a C DCT to include:</p> <ul style="list-style-type: none"> • Both scoped and unscoped questions. • Design questions. • Performance questions. <p>A PI cannot create a C DCT to:</p> <ul style="list-style-type: none"> • Combine design and performance questions, or • Combine Airworthiness and Operations questions. <p>C DCTs created by PIs have the option of going through the AAA.</p> <p>A template C DCT consists of questions for focused inspections. C DCTs created from a template will automatically go through the AAA.</p>
Data Collection Tools (DCT)	Tools designed to collect data to help the PI/CPM determine if a certificate holder or applicant follows procedures, controls, and process measures for each element. Includes: SP DCTs, EP DCTs, ED DCTs, C DCTs, and En Route and Ramp inspections.
Data Quality Guidelines (DQG)	Guidelines that help determine acceptable levels of data quality during the evaluation of inspection records.
Data Quality Reviewer (DQR)	An individual who is designated for reviewing DCT reports and records to ensure they meet DQGs. This automation role can be held by a Frontline Manager (FLM) or a data evaluation program manager (DEPM).
Due Date	The required or expected completion date for assessments or DCTs.
Dynamic Observation Report (DOR)	The DOR is used to record safety observations outside the planned oversight process. There are two types of DORs: "Question-Based" and "Other." The Question-Based DOR is used when there are existing SP DCT or EP DCT questions related to the observation. If there are no applicable questions, then it would be designated an "Other DOR." DORs may be submitted for any part 121, 135, or 145 certificate holders.
Element	An element refers to the groupings per subsystem that characterize the components of that system.

Term	Definition
Element Design Assessment (EDA)	The SAS function that measures a certificate holder/applicant's operating systems at the element level for compliance with the full intent of regulations and system safety, including the requirement to provide service at the highest level of safety in the public interest.
Element Performance Assessment (EPA)	The SAS function that measures a certificate holder/applicant's operating systems at the element level to confirm that the certificate holder is following its procedures and producing the intended result.
En Route Inspection	An inspection of the in-flight operations of a certificate holder within the operational environment of the air transportation system. Requires management approval.
Essential Maintenance Provider (EMP)	An EMP is any person with whom a part 121 certificate holder has made arrangements for the accomplishment of any of its on-wing maintenance or alterations designated as Required Inspection Items (RII). EMP inspections are scheduled every 3 years.
External Portal	The external portal is a secured, user-friendly, Web-based system that allows the PI/CPM and the certificate holder or applicant to exchange information and populate the SAS automation.
Frontline Manager (FLM)	FLMs provide first-level supervision to subordinate employees and manage the activities of one operating unit, project, or program area. FLMs report to middle or senior managers.
Geographic Resource	A geographic resource is an ASI that is not included on the office roster that can be requested by a PI or CPM to conduct planned or unplanned data collection. The process to request a geographic resource is described in Volume 10, Chapter 4.
Hazard	A hazard is defined as a condition that could foreseeably cause or contribute to an aircraft accident as defined in Title 49 of the Code of Federal Regulations (49 CFR) part 830, § 830.2.
Hazardous Materials (Hazmat)	A substance or material that the Secretary of Transportation has determined is capable of posing an unreasonable risk to health, safety, and property when transported in commerce, and has designated as hazardous under Title 49 of the United States Code (49 U.S.C.) § 5103. The term includes hazardous substances, hazardous wastes, marine pollutants, elevated temperature materials, materials designated as hazardous in the Hazardous Materials Table (see 49 CFR part 172, § 172.101), and materials that meet the defining criteria for hazard classes and divisions in 49 CFR part 173.
Identified Risk	A level of risk that is identified through various analysis techniques.

Term	Definition
Individual Work Plan (IWP)	A rolling plan documenting the risk-prioritized DA and PA activities for each ASI. The IWP includes estimates of resources necessary to complete each activity and includes other ASI activities, such as training and office duties.
Interfaces Attribute	Interactions between processes that must be managed in order to ensure desired outcomes.
Maintenance Implementation Procedures (MIP)	The procedural document authorized by the Bilateral Aviation Safety Agreement (BASA) related to the performance of maintenance, alterations, and modifications on civil aeronautical products. This document defines the process for reciprocal acceptance of each authority's recommendations for certification, renewal, and acceptance of eligible repair stations and maintenance organizations.
Maintenance Special Emphasis Programs	Accepted or approved programs applicable to the certificate holder/applicant's maintenance program requiring specific emphasis and procedures to ensure compliance with the associated regulations and guidance. These programs include: Aging Airplane Inspections, Repair Assessment for Pressurized Fuselages, Damage Tolerance Assessment of Repairs to Pressurized Fuselages, Fatigue Critical Structure (FCS) Inspections, Electrical Wiring Interconnection Systems (EWIS), Fuel Tank System Maintenance Program, Limit of Validity, and Flammability Reduction Means.
Master List of Functions (MLF)	A list of functions that a part 121, 135, or 145 certificate holder or applicant could perform.
Mitigate	An action needed to reduce the level of risk.
Monitor	An action plan to keep under systematic review. Observe and check the certificate holder/applicant's progress or quality over a period of time.
National/Regional C DCT	A template C DCT that consists of questions for focused inspections. The AFS-900 Continual Improvement Program Office (CIPO) Technical Support Team (TST) develops a National/Regional C DCT based on a request from a regional office, policy division or AFS-900 management. The National/Regional C DCT can include questions currently found in existing DCTs, and/or custom questions. A custom question is one that is created for the C DCT and not currently in a DCT. A National/Regional C DCT created from a template will automatically go through the AAA.
National Safety Analysis (NSA)	A national system-level function that provides analytical support to identify new hazards or safety issues within the aviation community, assesses adverse trends in safety performance, and evaluates the effectiveness of existing safety risk controls.

Term	Definition
New Hazard	A new hazard is defined as one that is not controlled by current regulations or did not previously exist, such as something that has arisen from new technologies or operational procedures, or other changes to the certificate holder's system.
Off-Hour	Activities that occur outside of normal FAA duty hours, including weekends.
Office Roster	The automation provides a roster that lists all the certificates and the office personnel. When FLMs assign work, they can select from any of the office personnel listed on the roster, regardless of the certificate.
Operating Profile (Also known as Certificate Holder Operating Profile (CHOP))	OpSpecs and eVIDs create an operating profile, which is a tailored list of systems/subsystems, elements, and questions that are applicable to a certificate holder/applicant's scope of operation. The PI/CPM can modify the profile if the certificate holder or applicant has a unique situation that results in differences from the standard configuration, such as a deviation or exemption.
Operational Risk	A risk indicator that has the potential to affect the operations of the certificate holder.
Operations Research Analyst (ORA)	Responsible for assisting the office personnel in collecting and analyzing certificate holder or applicant data.
Operations Specifications (OpSpecs)	Legal and binding contract between a certificate holder and the FAA that documents specifically how the certificate holder operation is conducted.
Organizational Risk	A risk indicator that has the potential to affect the organizational and environmental factors of the certificate holder.
Outsourcing	The practice of contracting internal certificate holder programs, processes, and traditional certificate holder functions to external independent vendors, suppliers, and contractors, such as maintenance, training, and ground handling. Oversight for the quality of the overall process remains with the certificate holder.
Peer Group A	All part 121 certificate holders.
Peer Group B	Part 135—10 or more seats.
Peer Group C	Part 135—9 or less seats.
Peer Group D	Part 135—9 or less single-pilot only.
Peer Group E	Part 135 Helicopter Air Ambulance (HAA).
Peer Group F	Part 145 located within the United States.
Peer Group G	Part 145 located outside of the United States without Aviation Safety Agreement.

Term	Definition
Peer Group H	Part 145 located outside of the United States with Aviation Safety Agreement.
Performance History	The results of the certificate holder's operations over time.
Performance Measure	A description of the desired outcome of a certificate holder element process. It is used to determine whether the desired results of that process were achieved.
Planning Cycle	The term cycle is used to distinguish the planning differences between part 121 and parts 135 and 145. The planning cycle for part 121 is quarterly; for parts 135 and 145, the planning cycle is annually.
Preapplication Statement of Intent (PASI)	The completed PASI is a document used in initial certification that denotes intent by the applicant to initiate the certification process and which allows the FAA to plan activities and prepare to commit resources.
Principal Inspector (PI)	The PI is the primary FAA spokesperson and decision maker for their specialty in all applications of SAS.
Procedures Attribute	Written or unwritten methods, regulatory or nonregulatory, a certificate holder/applicant uses to accomplish a particular process.
Process	Policies and procedures designed to produce a desired result or end product for a certificate holder.
Process Measures Attribute	Used to validate a process and identify problems or potential problems in order to correct them.
Random Inspections (RI) (Ramp)	Planned or unplanned ramp inspections, with authorization. Supports the Geographic Airport Data Display (GEO ADD) tool and Public Law (PL) 111-216, Airline Safety and Federal Aviation Administration Extension Act of 2010.
Resource Work List (RWL)	Located in Module 3, Resource Management. The RWL displays the rows for the DCTs to which the FLM/Office Manager (OM) can assign (or recommend in the case of the PI/CPM).
Responsibility Attribute	A clearly identifiable, qualified, and knowledgeable person who is accountable for the quality of a process.
Risk	The combination of predicted severity and the likelihood of the potential effect of a hazard.
Risk Analysis	The injury and damage potential of events related to hazards regarding the likelihood of occurrence and severity of resulting consequences.
Risk Assessment	The process by which the results of risk analysis are used to make decisions.
Risk Control	To reduce or eliminate the effects of hazards.

Term	Definition
Risk Factors	Risk factors identify what must be controlled in order to reduce the level of risk.
Risk Indicator	Conditions that may create hazards in the certificate holder's systems.
Risk Management (RM)	The process composed of describing the system, identifying the hazards, and analyzing, assessing, and controlling risk.
Risk Severity Values	High—Loss (or breakdown) of an entire system or subsystem; accident or serious incident. Medium—Potential moderate damage to an aircraft, partial breakdown of a certificate holder system, or a violation of regulations or company rules. Low—Potential poor certificate holder performance or disruption of the carrier's operations.
Safety	The state in which the risk of harm to persons or property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and RM. The quality of a system that allows the system to function under predetermined conditions with an acceptable level of risk.
Safety Assurance	Processes within a Safety Management System (SMS) that function systematically to ensure the performance and effectiveness of safety risk controls and that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety Assurance System (SAS)	SAS is the Flight Standards Service (AFS) oversight of parts 121, 135, and 145 certificate holders and applicants.
Safety Attributes	The qualities of a system (e.g., authority, responsibility, procedures, controls, process measures, and interfaces) that should be present in a well-designed certificate holder system and process.
Safety Management System (SMS)	The formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systemic procedures, practices, and policies for management of safety risk.
Safety Performance Objectives	Measurable goals or desirable outcomes related to safety that the organization wants to achieve through the design of their processes.
Scalability	Scalability allows us to tailor and scope the operating profile to each certificate holder's unique operation. This is accomplished through the use of peer groups and configuration data which results in scoped DCTs.
Scoped DCT	A DCT created using a process that filters available questions to include only those that apply to a specific certificate holder/applicant.

Term	Definition
Scope of Operation	Description of a certificate holder/applicant's authorized activities in air commerce.
Shared Resource	A shared resource is an ASI who is assigned to conduct work activities for more than one certificate holder.
Standard DCT	There are three types of standard DCTs: SP DCT, EP DCT, and ED DCT. Each standard DCT in SAS aligns with a specific MLF label.
Subsystem	The groupings per system that characterize the major operations within that system.
System	A group of interrelated processes which are a combination of people, procedures, materials, tools, equipment, facilities, and software operating in a specific environment to perform a specific task or achieve a specific purpose, support, or mission. For the purposes of SAS, the six systems are defined as the following: <ul style="list-style-type: none"> 1.0 Organizational Management, 2.0 Flight Operations, 3.0 Operational Control, 4.0 Technical Operations, 5.0 Onboard Operations, and 6.0 Ground and Station Operations.
System Analysis Team (SAT)	A team that includes participants from the FAA, the certificate holder, other FAA organizations, and other non-FAA entities (e.g., the manufacturer) to accomplish further analysis and determine root causes of system deficiencies.
System Approach	The structured, safety-driven means by which the FAA certifies and conducts oversight activities on elements that are designed to interact predictably within the certificate holder's systems and subsystems.
Systemic	Design/performance issues affecting one or more systems in a similar manner and magnitude. Also known as constant error.
System Safety	The application of special technical and managerial skills to identify, analyze, assess, and control hazards and risks associated with a complete system. System safety is applied throughout a system's entire life cycle to achieve an acceptable level of risk within the constraints of operational effectiveness, time, and cost.
System Stability	A state of constant balance of safety resulting from a certificate holder's ability to effectively manage aspects of their organization and environment (those they control directly and those over which they have no direct control).
Tailoring	Tailoring applies to the DAs and PAs to determine which DCTs are used for a particular assessment.

Term	Definition
Team Coordinator (TC)	The TC organizes and coordinates the team activities. The TC monitors the ED DCT for accuracy and completeness.
Technical Operations	Those functions associated with aircraft maintenance including: Training and Qualification, Maintenance Planning and Monitoring, Maintenance Operations, Technical Administration, Maintenance Facilities/Providers, Maintenance Special Requirements, and Maintenance Tools and Parts Control.
Transfer	To reassign the risk to another FAA entity that has the authority to address the risk.
Unacceptable Risk	Risk that cannot be tolerated by the managing activity. It is a subset of identified risk that must be eliminated or controlled.

10-1-4-3 through 10-1-4-29 RESERVED.

VOLUME 13 FLIGHT STANDARDS DESIGNEES**CHAPTER 1 AIR TRANSPORTATION DESIGNATED EXAMINERS****Section 1 Safety Assurance System: General****13-1 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.** None.

13-2 OBJECTIVE. This section provides inspector guidance regarding designated examiners who work in air transportation, including aircrew program designees (APD) designated flight engineer examiners (DFEE), Designated Aircraft Dispatcher Examiners (DADE), and Training Center Evaluators (TCE), unless specifically stated otherwise. Volume 13, Chapter 1 contains general guidance regarding designees. Volume 13, Chapter 2 specifically addresses designating APDs under the Aircrew Designated Examiner (ADE) program. Volume 13, Chapter 3 addresses DADEs.

13-3 GENERAL.

A. Authority. Under Title 49 of the United States Code (49 U.S.C.) Chapter 447, the Administrator may delegate the certification of airmen to any qualified person. In practice, the Administrator's certification tasks are delegated to the aviation safety inspectors (ASI) within the Federal Aviation Administration (FAA) and to examiners (also referred to as designees) outside of the FAA.

NOTE: The policy and guidance contained in these chapters is in addition to the requirements included in the current edition of FAA Order VS 1100.2, Managing AVS Delegation Programs.

B. Need for and Ability to Manage a Designee. Under the terms of Title 14 of the Code of Federal Regulations (14 CFR) part 183, § 183.11(b), "Any local Flight Standards Inspector may select a pilot examiner...whenever he determines there is a need for one." By policy, the designation of examiners is the responsibility of FAA managers. Managers must terminate a designee when a need no longer exists.

C. Designee Oversight. Oversight of designees requires a risk management approach based on differences in the potential impact on safety and the likelihood of error on the part of the designee. Sufficient resources must be allocated to ensure effective management and efficient oversight of designees. The designee management program must be periodically evaluated to ensure it is producing the desired result. This evaluation should be data-driven and based upon objective evidence. Any decisions must be documented in accordance with the guidance material in this chapter.

13-4 TYPES OF DESIGNEES.

A. Aircrew Program Designees (APD) and Designated Flight Engineer Examiners (DFEE). APDs and DFEEs are designated to conduct certification within specifically approved programs, known as ADE programs.

1) **Eligibility.** APD/DFEE candidates must be employed by the operator and qualified as a check pilot or check Flight Engineer (FE), as appropriate, for the operator before they may be designated as APDs/DFEEs.

2) **Appointment.** Principal operations inspectors (POI) are authorized to designate APDs/DFEEs to serve in any ADE program that the POI oversees. The specific functions of an APD/DFEE are named in the letter of authority (LOA) that supplements the Certificate of Designation and Certificate of Authority (COA), which are issued by the POI. APDs and DFEEs are restricted to examining only those applicants employed by their operator and trained in their approved training program.

B. Training Center Evaluators (TCE).

1) TCEs are persons employed by a 14 CFR part 142 certificated training center who are authorized by the center's Training Center Program Manager (TCPM) to conduct certification functions associated with the center's approved 14 CFR parts 61 and 63 curricula.

2) A TCE who has also been approved as a check pilot or check FE for an operator by its POI may conduct certification evaluations of an operator's airmen in accordance with the operator's approved training program and operations specification (OpSpec) A031.

NOTE: For complete details on the appointment and training requirements for TCEs to become check pilots or check FEs for an operator, see Volume 3, Chapter 54.

C. Designated Aircraft Dispatcher Examiner (DADE). Unlike other air transportation designees, DADEs are not necessarily employees of an air carrier or a training center. In many respects, DADE policy and guidance is similar to that of a Designated Pilot Examiner (DPE). Volume 13, Chapter 3 contains those areas where DADE policy and guidance differ from the policy and guidance in this chapter.

13-5 DESIGNEE AUTHORITY AND RESPONSIBILITIES. A designated examiner is authorized by the managing FAA office to conduct only those airman certification activities approved by the FAA.

A. Privileges and Limitations. The following privileges and limitations apply to designated examiners conducting evaluations of personnel in air transportation.

- 1) A designated examiner may:
 - a) Conduct only those tests indicated on FAA Form 8430-9, Certificate of Authority, and specifically named in the LOA.
 - b) Issue temporary certificates to applicants that the designated examiner has evaluated and found qualified for the certificate or rating sought.
 - c) Be authorized to conduct certification tests within 14 CFR part 121 or 135 training programs at any base or facility approved for the operator's use by the POI.

d) Amend or alter a certificate as follows:

1. Add a rating to the certificate of an applicant whom the designated examiner has tested and found to be competent.

2. Remove a limitation on a certificate which the examiner is authorized to issue. The TCE, APD, or DFEE must have been trained on evaluating an applicant to determine eligibility for removal of a limitation.

a. Airline transport pilot (ATP) limitation removal following completion of an approved curriculum: For a TCE or APD to remove an ATP limitation, it must be done following completion of an approved training curriculum under part 121, 135, or 142. The following conditions must be met:

- The applicant must successfully complete the entire approved curriculum which contains provisions for removal of the limitation;
- The procedure to remove the limitation must be part of an approved curriculum, which includes both ground and simulator/flight training;
- Other than removal of a circling approach limitation or a centerline thrust limitation, the approved procedure to remove the limitation cannot be a standalone training curriculum, but must be part of an existing training curriculum (initial, recurrent, upgrade, etc.); and
- The TCE or APD must follow the certificate holder's procedures, which must be described in the approved curriculum.

NOTE: For the removal of a limitation that is an administrative action only (e.g., part 61, § 61.64(f)(2), § 61.160(g) or (h)), the TCE or APD is not required to conduct an evaluation of the pilot. However, removal of the limitation must be part of an approved curriculum and the certificate holder must have approved procedures that allow the TCE or APD to verify the pilot has satisfactorily completed the approved curriculum and is eligible to have the limitation removed.

b. FE limitation removal: A DFEE may be authorized to remove the limitation imposed by Exemption 4901 for an FE applicant when the examiner has been properly trained to perform the removal.

2) A designated examiner may not:

- Conduct a test for a certificate or rating that the designated examiner does not hold.
- Normally conduct an evaluation of any applicant whom the designated examiner has instructed in preparation for the certificate or rating sought by the applicant. Exceptions may be granted by the supervising inspector only on a case-by-case basis.

- Normally conduct an evaluation of any applicant whose performance the designated examiner has found to be unsatisfactory on the previous evaluation (i.e., a different examiner is required on a “retake”). Exceptions may be granted by the supervising inspector only on a case-by-case basis.
- Conduct special medical evaluations, tests for waivers, or any test for competency under 49 U.S.C. § 44709. Specialists will instruct designated examiners to direct applicants for waivers, special medical evaluations, and competency tests under § 44709 to an FAA Flight Standards District Office (FSDO) or the certificate management office (CMO).
- For TCEs and APDs, remove an ATP limitation based solely on satisfactory presentation of evidence from the airman.

B. Professional Conduct. Each designated examiner must represent the Administrator in a manner which credits the FAA. Qualities such as promptness, courtesy, and professionalism are essential. Each designated examiner must continuously exhibit a positive personal attitude toward safety and present a positive image of the FAA in respect to aviation safety.

C. Designated Examiner Responsibilities. Designated examiners are responsible for the following:

- Conducting all practical tests in air transportation programs in accordance with the applicable sections of this order. Inspectors should ensure that designated examiners are aware that all operators must have a document covering procedures and maneuvers which contains specific training and testing standards. This document should be based on the applicable practical test standards (PTS).
- Submitting complete and accurate certification packages (which include the PTRS data sheets or locally prepared data input forms) to the supervising FSDO/CMO within 7 calendar-days of administering a test.

D. Multiple Certification Services by an Examiner. An airman may be designated by the FAA to perform multiple certification services as an examiner on behalf of the Administrator. In some cases, an airman:

- May be designated to hold more than one type of designation; or
- May be approved to conduct certification activities under more than one training program, which, in turn, may be approved for use by more than one operator.

1) Designations. An airman may be designated as more than one type of FAA designated examiner. For example, an airman might be designated as a Private Pilot Examiner (PE) in gliders and, separately, as an APD for an air carrier and as a TCE for a training center.

2) Training Programs. A designated examiner for an air carrier may be approved for a maximum of two different training programs.

13-6 FAA PERSONNEL. ASIs and FAA managers have oversight responsibilities for designated examiners.

A. Supervising Inspectors. For the purposes of these chapters, supervising inspectors are referred to as “specialists.” The term “supervising inspectors,” as it is used in connection with examiners, comprises:

- POIs;
- Aircrew program managers (APM);
- TCPMs;
- Partial Program Managers (PPM);
- Training center PPMs;
- Geographic PPMs;
- Assistant APMs; and
- ASIs (Aircraft Dispatch).

B. Managers. The term “managers,” used in connection with examiners, includes:

- FSDO managers;
- Unit supervisors;
- CMO managers; and
- Regional Flight Standards division (RFSD) managers.

13-7 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of the applicable parts 61, 63, 65, 121, 135, 142, and 183 regulations and FAA policies, and qualification as an ASI (Operations) with designee oversight responsibilities.

B. Coordination. This task may require coordination between the managing FAA office, the RFSD, and/or the Air Transportation Division (AFS-200).

13-8 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 1, 61, 63, 65, 91, 121, 135, 142, and 183.
- Title 49 U.S.C.
- PTRS Procedures Manual.

B. Forms:

- FAA Form 8000-5, Certificate of Designation.
- FAA Form 8430-9, Certificate of Authority.
- FAA Form 8710-6, Examiner Designation and Qualification Record.

C. Job Aids. None.

13-9 PROCEDURES.

A. Designating Examiners. Managers should consider designating examiners when the volume of certification activity makes such designations desirable to an operator and to the FAA. These conditions may occur when the volume of certification activity is relatively high, when an aircraft type is new to an operator's fleet, or when flight simulation training device (FSTD) training is available. Managers may consider designating examiners for FE and aircraft dispatcher certification as well as for pilot certification. Managers must also consider if they have the resources available to manage designees.

B. Programs for APDs, DFEEs, and TCEs Authorized as Check Pilots or Check FEs. APDs, DFEEs, and TCEs may be designated as follows:

1) ADE Program.

a) APDs and DFEEs are trained in an ADE program. An ADE program is associated with an operator which conducts its own program of airman qualification. It is the preferred program for conducting the certification of flightcrew members for complex parts 121 and 135 operators.

b) The ADE program was originally designed for operators with sophisticated training capabilities (including FSTDs), with highly trained personnel, and with a large volume of certification activity. The program has since been used by a broader range of operators.

c) POIs and managers should consider establishing an ADE program before the operator's airman certification workload for any aircraft type exceeds the FAA's ability to meet requirements using available inspector resources. They should also consider an ADE program as a means of making FSTD training accessible to an operator which might not otherwise find FSTD training practical. FSTD training is acknowledged as the safest and best training method.

2) TCE Program. TCEs are for use only by part 142 training centers. A TCE may also be authorized as a contract check pilots or check FEs for an operator through the issuance of OpSpec A031.

NOTE: For complete details on the appointment and training requirements for TCEs to become check pilots or check FEs for an operator, see Volume 3, Chapter 54.

C. FAA Specialist Training Requirements.

1) FAA specialists are required to complete the managing FAA office's specialist on-the-job training (OJT) program.

2) Mandatory job functions training is required to satisfy recurrent training requirements.

NOTE: Specific TCPM training requirements are found in Volume 3, Chapter 54. Specific APM training requirements are found in Volume 13, Chapter 2. Specific dispatch inspector training requirements are found in Volume 13, Chapter 3.

13-10 SPECIALIST RESPONSIBILITIES. Specialists are responsible for ensuring that examiners are trained in certification duties and procedures, that surveillance is scheduled and conducted, and that examiners maintain certification standards. Managing the designee program must be data-driven. Safety Performance Analysis System (SPAS) data should be used as a primary data source. For the examiners designated in accordance with this order, these responsibilities include the following:

A. Initial Training and Observation. Specialists are responsible for ensuring that, before designation, each examiner candidate is properly trained to conduct certification and is observed while conducting an evaluation.

B. Surveillance. Specialists must ensure that each examiner is observed a minimum of once a year by an appropriately rated ASI and that this observation has been accomplished before the examiner's designation is renewed. The responsibility for scheduling surveillance lies with the supervising inspector. Specialists are responsible for establishing procedures by which the designated examiner provides schedules of proposed activities as far in advance as is practical or required.

C. Airman Certification Standards. Specialists are responsible for ensuring that the designated examiners maintain airman certification standards as prescribed by 14 CFR, by PTS, by approved training programs, and by applicable handbooks. Specialists must conduct an active program of meetings and surveillance to achieve this objective.

13-11 OFFICE MANAGER RESPONSIBILITIES. Office managers must establish effective administrative systems for supporting designated examiner programs. This support must include the following:

A. Certification Paperwork. Office managers are responsible for establishing administrative procedures for the expedient and efficient processing of certification paperwork within the office. Managers are not required to maintain hard copies of certification paperwork, job aids, or PTRS data sheets. The PTRS serves as a record of certification activity.

B. Data Processing Support. Office managers are responsible for establishing administrative procedures for entering the data generated by designated examiners into the PTRS.

C. Resources. Office managers are responsible for the personnel, training, and budget resources necessary to accomplish the surveillance of designated examiners. Personnel, training, and budget forecasts must contain adequate provisions for the surveillance of designated examiners. Office managers should anticipate changes in personnel requirements due to either growth in operator programs or public demand.

D. Continuous Improvement. Office managers are responsible for continually evaluating the effectiveness of the delegation program for designees and for responding to feedback on a timely basis.

13-12 RFSD RESPONSIBILITIES. In general, the RFSD is responsible for ensuring that airman certification standards are upheld. RFSDs are not required to take any specific action in respect to approving individual airmen as examiners. Other responsibilities held by the RFSD are as follows:

A. Coordination. RFSDs are responsible for establishing procedures for FSDOs and CMOs for locating inspectors to conduct designated examiner surveillance when a qualified inspector is not locally available.

B. Field Office Evaluation. RFSDs are responsible, coordinating with the Flight Standards Quality Assurance Division (AFS-40), for evaluating each FSDO's and CMO's designation process to ensure the process is producing the desired result. This evaluation must be conducted at least every 36 months based on a risk management approach and, when practical, in conjunction with regularly scheduled office evaluations.

RESERVED. Paragraphs 13-13 through 13-23.