VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 6 ISSUE A CERTIFICATE OF WAIVER OR AUTHORIZATION FOR AN AVIATION EVENT

Section 1 Issue a Certificate of Waiver or Authorization for an Aviation Event

3-141 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Issue Certificate of Authorization (COA). Enter "1220" in the "Activity Code" box of the PTRS transmittal form and enter "PA" in the "National Use" box if the COA was issued for parachuting.

B. Issue Certificate of Waiver. Enter "1230" in the "Activity Code" box and in the "National Use" box enter "AS" for an airshow, "AR" for an airplane air race, and "BE" for any type of balloon event.

C. Complete DD Form 2535, Request for Military Aerial Support. Enter "1231" in the "Activity Code" box and enter "WI" in the "National Use" box if a waiver will be issued and "NW" if no waiver will be issued for the operation requested.

3-142 OBJECTIVE. This section's task is to determine whether to issue a Federal Aviation Administration (FAA) Form 7711-1, Certificate of Waiver or Authorization, to an applicant for an aviation event. Completion of this task results in the issuance of a certificate of waiver or authorization or the disapproval of FAA Form 7711-2, Application for Certificate of Waiver or Authorization.

NOTE: Appropriate paragraphs in the automated Operations Safety System (OPSS) or Web-based automated Operations Safety System (WebOPSS) may be used in lieu of FAA Form 7711-1, Certificate of Waiver or Authorization.

3-143 GENERAL.

A. Definitions. Many terms used in this chapter are unique to aviation events; therefore, the following definitions should enhance the understanding of their application:

1) Aerobatic Box. The airspace at an airshow where participating aircraft are authorized to perform aerobatic maneuvers appropriate to their Category (CAT). This box begins at the appropriate CAT I/II/III show line (Figure 3-24).

2) Aerobatic Flight. Aerobatic flight is where the pitch attitude exceeds 60 degrees above or below the horizon and/or the angle of bank exceeds 75 degrees in reference to the horizon for all aircraft when conducting the event in accordance with a certificate of waiver or authorization. The definition in Title 14 of the Code of Federal Regulations (14 CFR) part 91, § 91.303 does not apply. Therefore, always waive the portion of § 91.303 that defines aerobatic flight.

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3) Air Boss. The individual who has the primary responsibility for airshow operations on the active taxiways, runways, and the surrounding airshow demonstration area.

4) Airshow. An aviation event defined as an aerial demonstration by one or more aircraft before an invited assembly of persons.

5) Airworthiness Certificate. For the purpose of this chapter, the terms "airworthy" or "Airworthiness Certificate" refer to more than just the United States (U.S.) and International Civil Aviation Organization (ICAO) countries' standard airworthy aircraft. For a U.S.-registered experimental aircraft this would be a special flight permit, which must be accompanied by operating limitations. Foreign registered experimental aircraft must have the special flight permit with operating limitations and a special flight authorization allowing airshow operations in U.S. airspace.

6) Airshow Demonstration Area. The total airspace (lateral and vertical limits) identified by the FAA waiver, temporary flight restriction (TFR), or the Notice to Airmen (NOTAM) issued for an airshow (sometimes referred to as the waivered airspace).

7) Altimeter Setting. Many performers and jump aircraft may wish to set their altimeters to zero while on the ground to measure height above ground during their performance. This may require a waiver of § 91.121. The inspector-in-charge (IIC) should waive § 91.121 for any event where aircraft involved in that event are departing from a runway at that location. This does not require the affected aircraft to set their altimeter(s) to zero but gives the pilot the option to do so.

8) Approved Maneuver. An AFS-800 approved maneuver or a series of maneuvers. These may include flight over the designated spectator area(s) below 1,000 feet above ground level (AGL), higher speeds for military airplanes, or a maneuver that may involve energy directed at the spectator area that meets safety criteria.

9) Aviation Event. Aviation events include airshows, closed course air races, parachute demonstration jumps, balloon meets, and fly-ins conducted before an invited assembly of persons, for which the FAA issues a Certificate of Waiver or Authorization.

NOTE: This chapter does not address or include aerobatic competitions (see Volume 3, Chapter 5, Issue a Certificate of Waiver or Authorization for an Aerobatic Practice Area or an Aerobatic Contest Box).

10) Aircraft Show Line Categories. Show line categories, speeds, and distances are shown in Table 3-1 below. These speeds are only for determining assignment to a show line, not maximum performing speeds. The following criteria are the basis for the minimum distances in the table below:

a) For reciprocating engine powered airplanes knots indicated airspeed (KIAS) in straight and level flight at 75 percent power at standard temperature and pressure (15°C/sea level) and maximum certified gross weight.

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b) For turbine engine powered airplanes (does not include the BD-5J Microjet) 85 percent of the maximum continuous powered straight and level flight KIAS at standard temperature, pressure (15°C/sea level), and maximum certified gross weight.

c) Minimum show line distances are measured from the crowd line to the center of the aircraft closest to any spectator area for Show Line CAT II and III aircraft and to the center airplane for CAT I airplanes.

Table 3-1. Example of Airplane Show Line Category

Airplane Show Line Category	Aircraft Characteristics*	Standard Show Line Distance From The Spectator Area
I	More than 245 knots (282 miles per hour (mph))	1,500 feet
II	More than 156 knots but 245 knots or less (181-282 mph)	1,000 feet
III (Single reciprocating engine and BD-5J)	156 knots or less (180 mph) or no more than 2,250 pounds gross takeoff weight (GTOW)	500 feet

* These are not operating limitations

NOTE: See Table 3-1A for all aircraft categories.

11) COA. An official document issued by the FAA to permit certain activities that require FAA approval but that does not waive any regulations, for example, parachuting/sky diving demonstrations. (See Figure 3-33 and 3-33A.)

12) Certificate of Waiver. An official document issued by the FAA that authorizes certain operations of aircraft to deviate from a regulation but under conditions that ensure an equivalent level of safety. Section 91.905 lists the sections of part 91 that can be waived. (See Figure 3-32 and 3-32A.)

13) Civil Twilight. Civil twilight in the evening is the time between sunset and when the center of the sun is less than 6 degrees below the horizon. (See subparagraph 3-147N for restrictions.)

14) Control Point. A specified location where the event organizer, a designated representative, or an air boss manages the aviation event. The control point must have a communication system with the capability necessary to control the aviation event.

15) Corner Markers. An easily identifiable marker or landmark from the air, 500 feet or more right and left of primary spectator area along the crowd line from the primary spectator area to provide flybys and performers a 500-foot reference for proper separation from spectators (see Figure 3-24, Figures 3-26 through 27C and Figure 3-29).

NOTE: Markers that may be hazardous to aircraft operations should not be placed on runways, taxiways, or any other operational area. This includes the

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X on the end of runways to denote runway closure. Place them in a safe area adjacent to the designated spot.

16) Critical Aircraft. That aircraft closest to the primary spectator area in a formation flight.

17) Crowd Line. A physical barrier or a line marked on the ground that serves as a restraining line for designated spectator areas and provides the appropriate safety distances from the aerobatic box and/or show line.

18) Essential Personnel. Individuals authorized to access the flying display area during an aerobatic performance. (See subparagraph 3-145C.)

19) Event Organizer. The person or agency responsible for the organization and conduct of the aviation event.

20) Flyby. A non-aerobatic pass or a series of non-aerobatic passes, performed by one or more aircraft, before an invited assembly of persons at an aviation event while a waiver is in effect. (See paragraph 3-147J.)

21) Flying Display Area. The airspace at an airshow where participating aircraft have authorization to perform. This area includes all the aerobatic boxes and show line but does not include ingress/egress routes.

22) Formation Flying. When an aircraft is flown solely with reference to another aircraft and within 500 feet of the referenced aircraft. Air racing and simulated dogfighting are not considered formation flying.

23) Heritage Flight Program. The U.S. Air Force (USAF)-approved military and civilian pilots flying formations consisting of USAF, former USAF, and U.S. Army Air Corps aircraft to demonstrate the history of USAF aircraft.

24) Ingress/Egress Routes. Those routes used by airshow performers to enter and exit the flying display area.

25) IIC. The FAA aviation safety inspector (ASI) who has primary FAA responsibility for the aviation event. (See subparagraph 3-143D.)

26) Military Jet Demonstration Teams. The sanctioned North American Military jet demonstration teams are the USAF Thunderbirds, the U.S. Navy (USN) Blue Angels, and the Canadian Forces Snowbirds.

27) Military Single-Ship Demonstration Teams. A U.S. Department of Defense (DOD) or Canadian Department of National Defense (DND)-sanctioned demonstration team that consists of single aircraft conducting flybys or aerobatic demonstrations of current military fighter aircraft.

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28) Night. Night means the time between the end of evening civil twilight and the beginning of morning civil twilight, as published in the American Air Almanac, converted to local time.

29) Official Photographers. Photographers designated by the responsible person as essential personnel to be in designated areas of the aerobatic box during performances (see subparagraph 3-145C).

30) Participant. Any individual specifically involved with, or directly participating in, the waivered aviation event.

31) Primary Spectator Area. The main area designated by the event organizer for spectator use. The crowd line creates its boundary and has well defined lateral limits (ends). This is the area from which the public is directed to view the event. There may be more than one primary spectator area.

32) Responsible Person. A person designated by the event organizer to be responsible for all aspects and special provisions of the waiver/authorization. This person must be acceptable to the waiver/authorization-issuing Flight Standards District Office (FSDO) as being knowledgeable concerning the terms and provisions of the certificate of waiver/authorization for this aviation event. The responsible person will be responsible to the FAA for the safe conduct of the event.

33) Secondary Spectator Area(s). Any area, not designated as a primary spectator area, where people have a natural tendency to gather to observe the event. This includes, but is not limited to, private property or property not under control of the event organizer, public roads, and private access roads.

34) Show Center. A visible reference point that denotes the center of the flying display area.

35) Show Line. A line on the surface of the ground or water, marked to be clearly visible to pilots from the air, intended to enhance pilot orientation during the performance. The show line provides the performer with a clear visual reference to the minimum safety distance applicable to the CAT of the maneuvering aircraft being flown (see subparagraphs 3-147A, C through F.)

36) Tailhook Legacy Flyover Program. The USN-approved military and civilian pilots flying formations consisting of sanctioned USN and former USN aircraft to demonstrate the history of U.S. naval aviation.

37) Web Sites. The public Internet airshow site is available at http://www.faa.gov/about/initiatives/airshow. The FAA employee airshow site is available at http://intranet.faa.gov/FAAEmployees/org/linebusiness/avs/offices/afs/programs/airshows.

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B. Regulatory Authority. Flight Standards Service (AFS) has the authority to grant or deny waivers of the regulations listed in § 91.905 for aviation events. The FSDO that has responsibility for aviation events conducted at the proposed site processes requests for waivers or authorizations.

1) Scope of Waivers.

a) Waivers of 14 CFR sections and the attendant special provisions may vary in scope depending on the regulations that an applicant requests to be waived and will vary depending upon the type of aviation event and the location. Some events require nothing more than waiving § 91.303(e) to permit aerobatic flight at less than 1,500 feet above the surface. Other events that consist of flybys and static displays may only require waiving sections of part 91 for aircraft speed limitations, minimum safe altitudes, or limitations while operating in the vicinity of airports or within Class B, C, D, or E airspace.

b) Waivers of the basic visual flight rules (VFR) weather minimums specified in § 91.155 may be considered in areas where the entire event can be conducted with air traffic control (ATC) providing separation between participating aircraft and nonparticipating aircraft. This will mean that the entire airshow display area for the affected aircraft must be within a TFR, Class C, or Class D airspace.

NOTE: Class B airspace is normally “Clear of Clouds” for VFR operations.

2) Section 91.905 establishes a list of rules subject to waivers. Some of the subsections of the mentioned sections may or may not need to be waived. For example, see the Note below on § 91.119. There should be a corresponding special provision that gives the conditions that must be followed for each section and/or subsection to be waived to maintain an equivalent level of safety. Another example would be § 91.117. Aircraft speed may be waived but that waiver of airspeed would have a limitation on maximum airspeed, and the limitations on where that waiver is valid would be in the special provisions attached to the waiver.

NOTE: Section 91.119(a) will not be waived for airshow demonstration purposes. Section 91.119(b) and (c) may be waived only when the conditions stated herein are met.

C. Program Coordinators. A national airshow coordinator is designated in FAA headquarters by AFS-800. The regional Flight Standards Division manager designates regional airshow coordinators. The national coordinator is responsible for overall program monitoring and coordination of all information and communications between DOD, FAA regions, and the public. The regional coordinators are responsible for monitoring the same programs in that region and for coordinating policy and information between FSDOs and the national coordinator. The national and regional airshow coordinators function in an advisory capacity. IICs making onsite evaluations are responsible for technical determinations as to the issuance or denial of a request for waiver.

1) The IIC will elevate any issues requiring clarification or that may be of regional or national interest, such as military demonstration team participation, to the regional airshow coordinator. The regional coordinator will determine the level of regional participation. A list

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of regional coordinators is available on the public access site at http://www.faa.gov/about/initiatives/airshow/. FAA IIC and other FAA employees may use the following site: https://intranet.faa.gov/FAAEmployees/org/linebusiness/avs/offices/afs/programs/airshows/. The regional coordinator assists in resolving issues and coordinates with the national coordinator as necessary.

2) The national coordinator makes recommendations regarding policy changes. When policy change is not required, provide clarification back to the regional coordinator.

a) Regional supplements to aviation event policy are not permitted (see Volume 1, Chapter 1, Section 1, subparagraph 1-3C).

b) The regional coordinator will receive reports of initiation of any enforcement investigations, and he/she will coordinate the necessary response with the national coordinator as early as possible in the investigation.

c) All accidents or incidents occurring at an aviation event will be reported immediately to the regional coordinator, who will coordinate with the national coordinator.

D. IIC. To enable the FAA to most effectively manage the aviation event program, FSDO managers will assign an IIC to process an application for a waiver or authorization for an aviation event. The IIC oversees or personally conducts the following activities:

- Site feasibility study.
- Participation in the preseason evaluation meeting.
- Evaluation of the application for waiver or authorization.
- Recommendation for issuance or denial.
- Prepares a list of special provisions appropriate for the event in compliance with current guidance in this order.
- Surveillance of the aviation event.

E. IIC Qualifications. The IIC assigned this task and the subsequent surveillance must have completed the applicable on-the-job training (OJT), and must have participated in the issuance of at least three certificates of waiver and surveillance of at least three aviation events as a trainee with a qualified IIC. For events in which a military aerobatic demonstration team performs, the IIC must have satisfactorily completed OJT for a military aviation event, including participation in a site feasibility determination required by DOD, a preseason evaluation meeting, and a waiver preparation for a military demonstration team.

F. Qualified Inspector Not Available. If the FSDO does not have an inspector who meets the above qualifications, the FSDO manager will contact the regional airshow coordinator to request an inspector who is qualified to perform the tasks of an IIC. After the regional coordinator identifies an available IIC, FSDO managers should work out the arrangements necessary to accomplish the task and provide OJT if an ASI is available. A PTRS record must be made documenting the need for outside resources.

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G. Surveillance of an Aviation Event. Surveillance of an aviation event is the responsibility of the FSDO manager. Preferably, the IIC who processed the application for a waiver or authorization should monitor the event. Consider additional resources for high profile events or large aviation events. Any event not monitored by an IIC must be coordinated with the regional airshow coordinator well in advance, and the outcome documented in PTRS. (See Volume 6, Chapter 11, Section 10, Surveillance of an Aviation Event, paragraph 6-2371.)

H. Surveillance of an Aviation Event—Inspector Resources Not Available. It is always preferred to have a monitor at each event, although in rare circumstances it may not be possible. The FSDO manager, along with the regional airshow coordinator, should consider the following as part of the decision making process and assessing the risk:

- Size of the event (length, number of airshow acts and static display, number of spectators)?
- Has there been a history of problems with the management of the event?
- Is it a military airshow?
- What is the previous safety history of this event?
- Is the event well planned and are experienced personnel in key positions (e.g., event organizer/responsible person, air boss, performers, Crash, Fire and Rescue personnel, etc.)?
- What is the experience level of the responsible person/event organizer and air boss?
- Is the emergency plan well designed and adequately staffed for this event?
- Is the plan to manage spectators and sterile areas well designed and adequately staffed for this event?
- Is a TFR issued for the event?
- Is ATC managing the movement of aircraft? Are they onsite?
- How many FAA monitors would this show normally require?
- Will you send an Airworthiness inspector to inspect aircraft prior to event?
- Will you send an ASI (Operations) to check the performers' credentials prior to event?
- Is it possible to attend first day to ensure compliance with waiver and special provisions?

3-144 APPLICATION FOR A CERTIFICATE OF WAIVER OR AUTHORIZATION.

A. FAA Form 7711-2, Certificate of Waiver or Authorization Application. An inspector who reviews relevant information about the proposed operation and site suitability processes applications for aviation events should use FAA Form 7711-2 (Figures 3-32 through 3-33A). Not all blocks on the form may apply to each event. In other cases, additional information may be required. The FSDO manager has the authority to sign a waiver or authorization when the application is approved.

1) Submit applications for airshows or air races at least 90 days before the date of the event. Only after the event organizer has met all requirements, approval or denial of the application will be completed within 30 days of receipt by the FSDO.

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2) Present applications for parachute jumps made over or into a congested area or open-air assembly of people at least 10 working days before an event. Completion of an application's approval or denial must be done within 5 working days of receipt by the FSDO.

3) TFRs are requested in accordance with § 91.145. TFRs should be requested about the same time the application for waiver is made and will be processed in accordance with the procedures established in subparagraph 3-144E4).

4) The completion and submission of FAA Form 7711-2 and all supporting documents are solely the applicant's responsibility.

5) Upon approval, FAA Form 7711-2 and its attachments become a part of FAA Form 7711-1 (Figure 3-34).

6) The applicant must attach current maps, charts, diagrams, or other data appropriate to the activities and locations to FAA Form 7711-2 upon application for a certificate of waiver or authorization.

7) For most events, the supporting data must address the following major areas:

a) Diagrams and descriptions of spectator areas which restrict the public from:

- The flight areas;
- The active runways;
- The taxi and run-up areas; and
- Other active areas, such as emergency or police helipads, parachute landing areas, pyrotechnic areas, etc.

b) Supporting documents should describe the methods that will be used to ensure security of areas outside of the designated spectator area, especially the area under the aerobatic maneuvering area.

8) Except for official military pilots, each pilot flying a civil aircraft must have the proper certification and rating for the aircraft to be flown. In addition, each civilian pilot who performs aerobatics must possess a Statement of Aerobatic Competency (SAC) (see subparagraph 3-145A) including foreign civil airmen (Figures 3-35 and 3-36).

a) Non-airmen participants, such as parachutists, can be accepted on the basis of a license issued by the U.S. Parachute Association (USPA), similar organizations or equivalent qualifications acceptable to the FAA. The FAA does not require certification of operators of ultralight vehicles, wing walkers or trapeze occupants, ribbon-cut personnel, drivers of ground vehicles for a car-to-plane transfer, and other non-airmen participants. For unmanned air vehicle operations, contact the regional coordinator for support.

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b) Except for official military aircraft, each aircraft flown in an aerial demonstration must be properly certificated and have documentation in accordance with the procedures established in subparagraph 3-145F indicating current inspections, Airworthiness Directives (AD) and time limitations are appropriate for the aircraft to be in an airworthy condition.

B. Assisting the Event Organizer with Form 7711-2. The current edition of FAA Advisory Circular (AC) 91-45, Waivers: Aviation Events, or AC 105-2, Sport Parachuting, as appropriate, provides most information necessary to plan and conduct a safe event. You may obtain these documents and other pertinent information from the FAA at http://www.faa.gov/about/initiatives/airshow. FAA inspectors can obtain additional information at https://intranet.faa.gov/FAAEmployees/org/linebusiness/avs/offices/afs/programs/airshows.

1) Thorough planning has a direct bearing on the success and safety of any event. In larger events, the event organizer should be encouraged to appoint a responsible person (see subparagraph 3-143A32), to develop a detailed plan for all facets of the event regarding the FAA waiver or authorization. The event organizer and/or responsible person must understand that a waiver is only issued after the determination that a proposed event can be conducted safely and in the best interest of public safety. The inspector should direct the event organizer or responsible person to the detailed guidance in this chapter and ensure that the following subjects have been addressed:

- Type of event,
- Each act's support and airspace requirements and eligibility of participants and aircraft (military/civil),
- Military aircraft performances,
- Parachute demonstrations,
- Site selection (airports, fairgrounds, other sites),
- Airspace considerations and issuance of a TFR,
- Minimum safety distances and altitudes, and
- Event management.

2) The experienced event organizer is generally well acquainted with the requirements and procedures for obtaining the waiver or authorization and will usually appoint a responsible person to attend to areas regarding the waiver or authorization. Ask first time event organizers to review and have a good understanding of the current edition of AC 91-45 or AC 105-2, which contain important information for planning and conducting safe aviation events, because they may not be aware that a waiver or authorization is required. These ACs also provide information on how to request FAA Form 7711-1. First time event organizers are strongly encouraged to contact industry organizations (e.g., the International Council of Air Shows (ICAS)) for airshow support and/or training.

C. Completion of Form 7711-2. (See Figures 3-32 and 3-32A.) Upon receipt, review the application for obvious discrepancies. If discrepancies exist, arrange a meeting with the applicant to resolve the issues to mutual satisfaction. The applicant must revise the information he/she submitted on FAA Form 7711-2; the FSDO will not alter it.

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1) Blocks 1 and 2. An organization does not sponsor every airshow. An individual may sponsor an event. If the applicant represents an organization, the organization's name should appear in Block 1. The name of the individual and his/her position or authority to represent the organization (i.e., the responsible person) should appear in Block 2. If the applicant is not representing an organization, "N/A" should be entered in Block 1 and the applicant's name entered in Block 2. A responsible person is one who has demonstrated to the FAA knowledge concerning the terms and provisions of the certificate of waiver/authorization for this aviation event. The responsible person will be responsible to the FAA for the safe conduct of the event.

2) Block 3. Permanent Mailing Address. The applicant should indicate the permanent mailing address of the organization named in Block 1 or the individual named in Block 2.

3) Block 4. Pertains to Banner Towers only. Aviation events should enter "N/A."

4) Block 5. Pertains to Banner Towers only. Aviation events should enter "N/A."

5) Block 6. Reference § 91.905 for a list of rules subject to waivers. Ensure that the applicable rules to be waived have been requested. An application for a parachuting operation should state that authorization is requested in accordance with § 105.21 and 105.25.

6) Block 7. It may be sufficient for the applicant to use the terms airshow, parachute demonstration jump, or air race to describe the events. However, it would be helpful for the applicant to fill in as detailed a description as possible if the event is an airshow or air race; for example, enter the CAT of aircraft to be flown, in addition to make and model, if known. (See Figure 3-32, block 5.)

7) Block 8. The applicant should describe the airshow demonstration area as a rectangular, cubic, or cylindrical cell of airspace; and the aerobatic box as a cube or rectangle bounded by a runway or other definable geographical reference, a lateral point, and up to a particular altitude AGL. This can be over land or water.

a) For off-airport sites, the boundaries should be described using rivers, highways, railroads, or other easily identifiable landmarks or markers.

b) For an airshow, the applicant should attach current, properly marked maps, drawings, or photographs of the planned area of operation (satellite photographs may be substituted for topographic charts (from http://maps.google.com, http://www.mapquest.com, etc.)). The applicant will include as much of the following data as known at the time of application. The IIC will review the documentation for acceptance. Any depiction submitted must include indications of the following:

- The location and marking of the show lines.
- The location of the boundaries of the airshow demonstration area.
- The location of the boundaries of the flying display area and/or aerobatic box.

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- The location and type of corner markers if flybys are anticipated.
- The location of the primary spectator area and the types of barriers used, including gates.
- The location of the emergency vehicles and medical facilities.
- The location of the emergency access surface routes to and from the event site.
- The location of the aircraft movement areas.
- The location of the parachuting landing area.
- The location of the static display aircraft parking areas.
- The location of the airshow aircraft parking areas.
- The location of the fly-in aircraft parking areas.
- The location of the refueling areas.
- The location of the helipads.
- The location of the airshow control point.
- The location of the pyrotechnic areas.

c) Applicants should note in Block 7 if supplemental information is attached.

d) The site layout must depict that the airshow demonstrations or airshow acts can be accomplished at that site. If an airshow demonstration or act cannot fit within FAA distance criteria, or if congestion or new development around the proposed site impedes those criteria, the site is not appropriate for that demonstration or act.

8) Block 9. Inspectors can eliminate the need for the applicant to resubmit applications for an additional authorization by advising applicants to list alternative dates on the initial application. This avoids confusion and reduces the number of applications that must be submitted by the event organizer.

9) Block 10. The initial application does not need to list specific performers/aircraft. The application may be accepted with a notation in Block 8 that a list will be provided at a later, specified date and time. The list should eventually include all performers and aircraft (civilian and military) and parachute teams (civilian and military). A notation stating the show line CAT must be annotated with each make and model aircraft. Once the list has been supplied, may be amended by the responsible person and resubmitted to the IIC for approval. Performers added on the day of the event must show proof of appropriate qualifications that the aircraft is airworthy, and a determination must be made that the performance can be conducted at that show site.

10) Block 11 and 12. This section requires the name and address of the event organizer. The event organizer of an airshow may be an individual, a group of individuals, or an organization. The event organizer of an airshow may appoint a responsible person that has the overall responsibility for the conduct of the airshow in a safe manner and in accordance with the conditions contained in the certificate of waiver or authorization issued for the airshow. The event organizer may delegate to other persons the authority to organize and control particular aspects of the event. At a small event, one person may be able to coordinate more than

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one activity, while at a large event, a committee of persons delegated by the appropriate authority may control an activity.

11) Block 13. There is no specific requirement for the use of uniformed police or security guards. The need for policing depends upon several factors that must be discussed with the IIC to ensure adequate crowd control. However, it is highly recommended that uniform clothing be worn (high visibility T-shirts, hats, etc.) by individuals performing crowd control or other official duties.

a) The event organizer must ensure that the airshow demonstrations are conducted safely and without creating a hazard to any non-participants or spectators. It is imperative that all areas adjacent to the airshow site containing homes, factories, major highways, traveled thoroughfares, or any occupied vessel, vehicle, or structure be carefully evaluated before making a final decision for site selection, and that these areas can remain sterile if their location is under the aerobatic box.

b) With respect to crowd control, it is the event organizer's responsibility to ensure that all reasonable efforts are made to confine spectators to the spectator areas, ensure that sterile areas are evacuated and remain sterile, and to present a plan to the IIC in sufficient detail that specifies how this will be accomplished and who is responsible to police the aviation event. The application may be accepted with a notation in Block 13 that a written plan will be provided at a later date, specified date and time.

12) Block 14. Emergency facilities have caused problems for event organizers. As previously noted, the application serves as an all-purpose form and contains blocks that may or may not be appropriate to emergency facilities. Some applications have been erroneously denied because the boxes for physician, ambulance, and fire truck were blank. Encourage every airshow event organizer to provide emergency medical service even though this service may not be utilized. Many event organizers prefer to have the local fire department's emergency rescue squad, paramedics, or emergency medical technicians at their show rather than a physician.

NOTE: For balloon events, consult the guidelines for emergency procedures listed in paragraph 3-153 when considering which boxes to check in Block 14.

13) Block 15. In this block enter a description of method for controlling air traffic (AT) and potential alternative communication methods. For example:

a) Although every aircraft in the event may be equipped with a two-way radio, a visual ground-to-air emergency signal must be provided and described in the application.

b) If a scheduled air carrier serves an airport that is the site of an aviation event, arrangements must be made for the arrival and departure of such aircraft. It is usually adequate to schedule a break in the activities to allow for scheduled arrivals and departures. The event organizer should complete prior coordination with the air carrier and ATC.

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c) Request for TFRs, as authorized under § 91.145, if applicable. Add notation in Block 15 if request initiated.

d) List ATC facilities, frequencies, and contacts.

14) Block 16. The FAA must see a proposed schedule of events to evaluate the application. It should contain at least a general description of the types of events and their approximate sequence in the show. The application may be accepted with a notation in Block 16 that a final schedule of events will be provided at a later, specified date and time.

a) The schedule should identify the aircraft and expected performers in the approximate sequence of appearance as best as possible at the time. During the event, the scheduled order of appearance may change because of weather, mechanical problems, or other factors at the discretion of the air boss.

b) Any demonstration or act added to the airshow schedule requires notification to FAA and should be submitted at the earliest opportunity (see subparagraph 3-144C6, Block 8). Cancellation of an airshow demonstration or act does not require advance notice, unless it has a significant impact on the event (e.g., cancellation of a military demonstration team would require notification, as would the cancellation of the entire event).

D. Temporary Practice Areas. During the airshow season, the FSDO may be called upon to issue a waiver for the establishment of a temporary aerobatic practice area.

1) Inspectors should encourage event organizers to apply for a temporary practice area for an associated airshow as part of that airshow waiver request, if one is desired. This will provide participating performers with a convenient and safe area in which to practice their aerobatic performances.

2) Although this will be a separate waiver, which becomes effective as much as 7 days immediately before the event, it should terminate on or before the same date and time as the event waiver.

3) The actual airshow site may be suitable as a temporary practice area if it is a controlled environment and there will be no conflict with other nonparticipating aircraft. The effective times must be thoroughly coordinated with the pertinent AT facilities before approval and issuance of the waiver.

4) The temporary practice area should be established no more than 20 or 30 miles from the actual airshow site.

5) The responsibility for site selection, coordination, approvals, application, and oversight of the temporary aerobatic practice area rests solely with the airshow event organizer.

NOTE: Temporary aerobatic practice areas are excluded from Order 1050.1, Environmental Impacts: Policies and Procedures, due to their temporary nature.

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E. Coordination Requirements.

1) AT Coordination. Any request for a waiver or authorization for an aviation event or flyover not as part of an aviation event requires coordination with the appropriate ATC facility. Any special conditions considered necessary by the Air Traffic Service (ATS) Area will be made a part of the certificate of waiver or authorization in the special provisions.

2) Special Ultrahigh Frequency (UHF)/Very High Frequency (VHF) Frequency Requests. Requests for special UHF/VHF frequencies for airshow usage should be made by the sponsor or responsible person to the AT facility having jurisdiction over the airspace where the airshow will take place.

3) FAA Airports (ARP). Any event organizer who requests a waiver for a public aviation event on an airport certificated in accordance with 14 CFR part 139 must coordinate with the appropriate FAA Airport District Office (ADO) and receive approval for the event ground operations plan before issuance of FAA Form 7711-1.

a) Encouraging event organizers to include airport management in the coordination will greatly facilitate the process. These steps will facilitate the resolution of any conflicts with ARP (Associate Administrator for Airports) policy/regulatory requirements relative to part 139. The ground operations plan includes the necessary changes that must be addressed for security. ARP is responsible for ensuring any necessary changes to the security plan are coordinated with FAA security before approval. ARP-1's approval of the ground operations plan is generally separate and distinct from the review and approval of the overall airshow layout (primary spectator area, show line(s), takeoff/landing runway, etc.) that is the responsibility of the waiver-issuing FSDO.

b) Any limitations or special provisions considered necessary by the ADO will be made a part of the certificate of waiver. As part of their normal program responsibilities, FAA ADO inspectors may from time to time request information concerning aviation event activities at airports other than those certificated in accordance with part 139.

c) ARP has designated lead airport inspectors in each ARP regional office as the approval authority for this approval. Affected airshow sponsors should call the appropriate regional office for coordination. If unable to reach that office, call the national ARP point of contact. The list of regional offices is found on the Internet at http://www.faa.gov/airports/news_information/contact_info/regional.

4) TFR. A TFR is an area designated to enhance the protection of persons and property on the surface or in the air, to maintain air safety and efficiency, or to prevent the unsafe congestion of aircraft in the vicinity of an aviation event. The responsible person or air boss must request a TFR not FSDO personnel. The procedures for requesting a TFR are found on the following Web site: http://www.faa.gov/about/initiatives/airshow.

a) Aerial demonstrations contained entirely within a Class B, C, or D airspace area should not request the issuance of a TFR under § 91.145.

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b) Requirements for issuance of a TFR NOTAM in accordance with § 91.145:

- Any segment of the requested airspace for the aerial demonstration for aircraft exceeding 200 KIAS is outside of Class B, C or D airspace;
- Military aircraft are conducting aerobatic demonstrations;
- Civilian aircraft that operate in excess of 200 knots are conducting aerobatic demonstrations; or
- Sanctioned military parachute demonstration teams are performing.

c) TFR issued will reflect the dates, times, and lateral and vertical limits of the airshow display area for the aerial demonstration for which a certificate of waiver or authorization (FAA Form 7711-1) has been issued.

1. VFR and instrument flight rules (IFR) AT (not specified on the waiver) may be authorized to operate within the designated airspace area published in the TFR NOTAM, when the following conditions are met:

- The controlling ATC facility or air boss (if authorized by ATC) grants authorization,
- The air boss has coordinated the procedure with the IIC, and
- The TFR NOTAM specifies the frequency to contact ATC for an authorization.

2. Cancellation of a waiver and TFR NOTAM must be coordinated. The Responsible person or air boss must coordinate cancellation with the controlling ATC facility and the IIC. The procedures can be either pre-coordinated or established at the time of cancellation.

5) Class D NOTAM. Issue a Class D NOTAM for any aerial demonstration that does not require a TFR. A Class D NOTAM does not prohibit transient aircraft from entering the airspace. It is only a notice for non-participating aircraft that the airport is closed and the purpose of that closure.

6) Waiver of § 91.155 Requirements for VFR.

a) Section 91.155 authorizing operations “clear of clouds” is waived under the following circumstances:

1. Aerial demonstrations are conducted entirely within Class C or D airspace where ATC communication is maintained (Class B is normally clear of clouds); or

2. Aerial demonstrations that are conducted within the boundaries of a TFR issued for that event and ATC communication is maintained.

b) Aerial demonstrations conducted at night must comply with all of § 91.155.

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3-145 PARTICIPANT AND AIRCRAFT ELIGIBILITY.

A. Aerobatic Competency Documentation.

1) All civil pilots who perform aerobatic maneuvers in any aircraft where the pitch angle or bank angle exceeds 90 degrees must possess a valid FAA Form 8710-7, Statement of Acrobatic Competency, or Transport Canada Form 26-0307, Statement of Aerobatic Competency (Figures 3-35 and 3-36).

2) All civil pilots who perform maneuvers in excess of 60 degrees but not more than 90 degrees of pitch, and/or more than 75 degrees but not more than 90 degrees of bank that do not meet the requirements in subparagraph A1) must have a logbook endorsement or a competency letter issued within the past 24 calendar-months after complying with the following:

a) Have successfully completed a flight and ground review by a DPE (Designated Pilot Examiner), FAA Operations Inspector, ICAS or Experimental Aircraft Association (EAA) aerobatic competency examiner possessing authorization to administer this test in that particular airplane or helicopter.

b) The endorsement or letter states that the pilot may fly maneuvers up to 90 degrees of pitch and/or 90 degrees of bank in reference to the horizon (see Figure 3-37). The endorsement is limited to the altitude demonstrated but not less than 200 feet AGL. The testing standards for this endorsement are as follows:

1. For 90 degrees of bank endorsement the applicant must demonstrate a roll to 90 degrees from the horizon and return to level without loss of altitude and within 10 degrees of the predetermined roll out heading.

2. For 90 degrees of pitch up, the applicant must demonstrate a pitch up to 90 degrees from the horizon starting at the lowest altitude authorized but never less than 200 feet AGL. This pitch up will terminate at a predetermined airspeed or altitude as determined by the examiner.

3. For a 90 degrees of pitch down, the applicant must demonstrate a pitch down to 90 degrees and recover at a predetermined altitude but never lower than 200 feet.

4. The applicant must demonstrate knowledge of show line orientation and proper distance’s from spectator areas.

a. Demonstrate ability required to reposition the aircraft from a maneuvering pass;

b. Realign 180 degrees for the next pass; and

c. Align the flight path so as not to direct energy toward the primary spectator area.

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5. For any demonstrations, at no time may the outcome of the maneuver be in doubt.

6. The applicant may only be endorsed for the altitude demonstrated but not less than 200 feet.

3) All limitations on the document listed in subparagraphs 3-145A1) or 2) above must be followed. Aerobatic maneuvers and sequences/performances that contain aerobatic maneuvers must be initiated and completed at or above the altitude listed in the limitations on the SAC. Non-aerobatic fly-bys may be performed below the altitude limitation listed on the SAC only before or after the sequence/performance is completed. The performer may not interrupt an aerobatic sequence/performance to perform a non-aerobatic fly-by below the altitude restriction.

4) Upon request of the FAA, civil aircraft pilots must show evidence of performing or practicing their performance(s) within the previous 15 days.

B. Required Crewmembers. With the exception of stunt persons, the special provisions of an airshow waiver provide that only required crewmembers by aircraft type design be carried on any civil aircraft engaged in an aerial demonstration. For additional persons necessary for safety to be on board a performing civil aircraft, the situation must meet the following conditions and be approved by the IIC:

1) Each crewmember must be on board to fulfill a definite safety function, such as, but not limited to:

a) A one-time show site checkout for a qualified pilot who is unfamiliar with the site;

b) A qualified pilot flying cover for closed course air racing;

c) A qualified person who is required to operate aircraft systems during normal or emergency conditions in flight; or

d) A qualified pilot obtaining experience before inclusion as a non-aerobatic aerial demonstration team member.

2) Each pilot must be current and have the proper qualifications for the specific make and model of a civil aircraft.

3) Each pilot must hold a SAC or aerobatic endorsement when occupying a seat of an aircraft with functional dual controls for all three axes and aerobatic flight is conducted.

4) Each pilot in command (PIC) must hold a non-aerobatic formation credential when occupying a seat of an aircraft that has functional dual controls for all three axes when in a formation flight and aerobatic flight is not conducted.

C. Essential Personnel Requirements. Examples of essential personnel as determined by the IIC would include, but are not limited to: Crash, Fire and Rescue personnel, FAA

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personnel, pole holders, pyrotechnicians, essential support crew, other performers, official photographers or taxiing aircraft associated with the event. Essential personnel must meet the following conditions:

1) Have a safety briefing including ingress and egress from the aerobatic box;

2) Wear high visibility clothing that will easily identify them as essential personnel when in the box; and

3) Official photographers may not exceed the number agreed upon by the responsible person and the IIC to be in the specified areas at one time.

NOTE: Essential personnel do not include news media or photographers (other than official photographers) for the event.

D. Aerobatic Formation Flight. Perform formation aerobatics where the angle of bank exceeds 60 degrees and/or the angle of pitch excess 45 degrees only if the following conditions are met:

1) The members of the aerobatic team must have performed together in 10 aerobatic performances over the preceding 12 months; or

2) When the team members have flown less than 10 aerobatic performances in the past 12 months, the team must be able to document 30 aerobatic practice sessions or combination of 30 practice sessions and airshow performances as a team over the preceding 12 months in the performing aircraft type; and

3) All persons conducting formation aerobatics must have demonstrated or substantiated their skills and have the formation aerobatics notation placed on their SAC.

E. Non-Aerobatic Formation Flight. Each civil PIC who wishes to conduct non-aerobatic formation flybys where the angle of bank does not exceed 60 degrees or 45 degrees of pitch in the airshow display area must meet the following:

1) Be in possession of an FAA recognized current and valid industry formation flying card.

2) Attend a briefing given by the flight leader of the proposed flight;

3) The briefing in subparagraph E2) above must meet the requirements of the industry formation group that issued the formation flying card of the formation flight leader;

4) The responsible person must provide the IIC a list of the pilots flying in the formation.

NOTE: Formation training will not be conducted during the airshow.

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F. Aircraft Eligibility. To be eligible to participate in an aviation event, an aircraft must be in an airworthy condition. The waiver or authorization's named responsible person is responsible for ensuring that the participating aircraft have the required documentation to show the aircraft is in airworthy condition.

1) To ensure that the aircraft participating in an aviation event are airworthy, an IIC or his or her representative should examine the general condition of the aircraft and required aircraft documents, and determine if the aircraft has met the specified inspections.

2) The ASI should use one of the following methods to determine compliance with required inspections:

a) Review of the aircraft's maintenance records (logbooks); or

b) Review of a current and valid form supplied by the owner/operator.

1. The completed form must be similar to the sample FAA Aircraft Inspection and Status Form (Figure 3-38).

2. An appropriately qualified airman who holds a mechanic or repairman certificate or an Inspection Authorization (IA) must sign the form.

3. The ASI who inspected the aircraft and determined it was airworthy may sign the form.

4. If an ASI has previously signed off on this form, an aircraft inspection is not required.

3-146 AIRSHOW AIRSPACE REQUIREMENTS. Issue FAA Form 7711-1 to an event organizer. It specifies a geographic area, both lateral and vertical, where airshow demonstrations are authorized. This area could be quite large (e.g., 10 nautical mile (NM) radius of an airport from the surface up to 18,000 feet mean sea level (MSL) or rather small (e.g., 2 NM radius up to 3,000 feet MSL), depending on the type of airshow demonstration planned. In determining where aerobatics will be performed within the geographic area specified on FAA Form 7711-2, the event organizer selects a site that will accommodate all the specific types of airshow demonstrations without detracting from safety or creating a hazard to any non-participants or spectators. It is imperative that all areas adjacent to the airshow site containing homes, factories, major highways, traveled thoroughfares, or any occupied vessel, vehicle, or structure be carefully evaluated before making a final decision for site selection. An environmental review in accordance with the current edition of FAA Order 1050.1 is not required due to the temporary nature of a waiver for an aviation event. You must identify the following applicable blocks for an airshow:

- Airshow demonstration area,
- Show lines,
- Flying Display Area,
- 500 feet corner markers,

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- Restrictions to ingress/egress routes (noise sensitive areas, obstructions, etc.), and
- Designated spectator areas.

3-147 MINIMUM SAFETY DISTANCES AND ALTITUDES. This paragraph provides the minimum safety distances, both horizontal and vertical, which must be maintained between aircraft in flight and the primary spectator area, secondary spectator area and occupied buildings during an airshow.

A. Show Lines. For aerobatic and other flight demonstrations, an aerobatic box and show lines must be established at prescribed minimum distances from the designated spectator areas. The appropriate performers must be able to easily identify these lines.

Table 3-1A. Minimum Show Line Distance From Spectator Areas, Congested Areas and Occupied Buildings by Aircraft Category

Minimum Show Line Distance from Spectator Areas, Congested Areas and Occupied Buildings	Aircraft Category or Aircraft Type	Demonstration Maneuvers Authorized
1,500 feet	Category I Aircraft	Aerobatic maneuvers
1,000 feet	Category II Aircraft	Aerobatic maneuvers
1,000 feet	Helicopters	Aerobatic maneuvers
500 feet	Category III Aircraft	Aerobatic maneuvers and Flybys
500 feet	Gliders, Hang Gliders, powered paragliders	Aerobatic maneuvers and Flybys
500 feet	Ultralight airplanes and Weight-shift control aircraft	Aerobatic maneuvers and Flybys
500 feet	Helicopters	Non-aerobatic maneuvers
500 feet	Category I Aircraft	Flybys
500 feet	Category II Aircraft	Flybys
500 feet	BD-5J Microjet	Aerobatic maneuvers
100 feet	Powered Parachute Aircraft, Ultralights (paragliders and powered paragliders)	Non-aerobatic maneuvers

The minimum distances in this table are based upon the following criteria:

a) For reciprocating engine powered airplanes–true airspeed in straight and level flight at 75 percent power at standard temperature and pressure (15°c/sea level) and maximum certified gross weight.

b) For turbine engine powered airplanes (does not include the BD-5J Micro jet),—85 percent of the maximum continuous powered straight and level flight true airspeed at standard temperature, pressure (15°C/sea level), and maximum certified gross weight.

NOTE: The speeds in paragraphs (a) and (b) above are used for determining assignment to a show line, not the maximum performing speed of the aircraft. See subparagraph 3-143A10) for Category.

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B. Formation Flight Demonstrations. For formation flight demonstrations, the formation leader must adjust his or her ground track so that the critical aircraft remains the appropriate distance from the designated spectator areas.

C. Guidelines for Establishing Show Lines and/or Aerobatic Boxes.

1) Establish show lines prior to establishing the spectator area. If possible, the distance from a crowd line to the closest shoulder of an active runway should be at least 500 feet. This will allow demonstration teams to make formation takeoffs, performers to use the entire runway for ribbon cuts, etc. It is permissible to use a crowd line that is 500 feet from the centerline of the runway in use but requires CAT I airplanes to make single ship centerline takeoffs and CAT III airplane aerobatics to remain beyond the centerline, not allowing them to use the centerline for alignment during their performances.

2) Use prominent features such as runway shoulders or centerlines, tree lines, parked vehicles, boats for events over water or other geographical features to establish the show lines.

3) Prescribed minimums may not be altered to accommodate obstacles that are hazards to performers (antennas, windsocks, tall trees, hangars, etc.).

4) All show lines must be clearly discernable, to ensure that pilots have adequate visual references throughout their performance.

5) Show lines for events held at night must be lighted in a manner that ensures the lines are clearly visible and identifiable by the participating pilots.

6) For military demonstration teams, both the CAT I and CAT III show lines must be discernible at least 2 miles from show center at an altitude of 200 feet; the CAT I show line should be clearly visible from the highest altitude required by the applicable team.

7) Any turbine engine powered airplane for which bona fide performance data acceptable to the FAA is not available will be required to perform on the CAT I show line.

D. CAT I Show Lines. The minimum distance from the spectator area to the show line for CAT I aircraft is 1,500 feet or greater (Figure 3-26 and Figure 3-26A).

1) Aerobatic maneuvers for CAT I airplanes remain centered on the CAT I show line and parallel to the crowd line while in the flying display area. This includes single or multiple airplane maneuvers (Figure 3-26B).

2) If the only well defined show line is closer than 1,500 feet to a spectator area, and if it is not possible to move the spectator area, the distance between the CAT I show line and the primary spectator area may be reduced from 1,500 feet to a minimum of 1,200 feet. This reduction is authorized solely in the interest of flight safety because a well-defined show line is essential for pilot orientation. Place all artificial show lines at 1,500 feet.

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3) When there is a reduction in the distance from the show line to the primary spectator area, a similar reduction shall not be permitted for the secondary spectator area side of the show.

4) In no case shall there be less than 2,700 feet between the primary and the secondary spectator areas.

5) The reduction should be determined by first considering the secondary spectator area side of the show line.

E. Category II Show Lines. The minimum distance from the spectator area to the show line for CAT II aircraft is 1,000 feet or greater. (Figure 3-26C)

1) Aerobatic maneuvers for CAT II airplanes remain no closer than the CAT II show line and parallel to the crowd line while in the flying display area unless the aerobatic box is large enough to contain any aerobatic maneuver. This includes single or multiple airplane maneuvers (Figure 3-26D).

2) If the only well-defined show line is closer than 1,000 feet to a spectator area, and if it is not possible to move the spectator area, the distance between the CAT II show line and the primary spectator area may be reduced from 1,000 feet to a minimum of 800 feet. This reduction is authorized solely in the interest of flight safety because a well-defined show line is essential for pilot orientation.

3) When there is a reduction in the distance from the show line to the primary spectator area, a similar reduction shall not be permitted for the secondary spectator area side of the show line.

4) In no case will there be less than 1,800 feet between the primary and the secondary spectator areas.

5) Determine the reduction by first considering the secondary spectator area side of the show line.

F. CAT III Show Lines.

1) The CAT III show line will not be closer than 500 feet from the primary or secondary spectator areas.

a) If there is less than 1,000 feet between the primary and any secondary spectator areas, the site cannot be considered for an airshow waiver.

b) The width of the flying display area:

1. If there are less than 1,000 feet between the primary and any secondary spectator areas, the site cannot be considered for an airshow waiver. The width of the aerobatic box must be large enough to contain the aircraft maneuvers and still ensure the safety distances for the spectators. When the flying display is only 1,000 feet between the spectator areas,

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a single aircraft must fly centered on the 500 feet show line when in the display area. No lateral or turning maneuvers are performed in that area and the aircraft must fly past the spectator areas and make a non-aerobatic turn to re-enter the aerobatic display area (Figure 3-27).

2. For multi-aircraft demonstrations the flying display area must be wide enough to contain all maneuvers and/or all aircraft where no aircraft or maneuver is closer than 500 feet from a spectator area (Figure 3-27B and Figure 3-27C).

3. For single aircraft performing lateral and/or turning maneuvers the flying display area must be wide enough to contain all maneuvers where the aircraft or maneuver is closer than 500 feet from a spectator area (Figure 3-27A).

2) The 500-foot show line may also be used for flybys. In this case, clearly delineate the CAT III show line for high performance aircraft.

3) For flybys and ingress/egress routes place corner markers on the ground to clearly identify the 500-foot lateral separation from the primary spectator area and that marker must be visible from 500 feet AGL at 200 knots (Figure 3-29).

G. Takeoff and Landing Distances from Spectators.

1) As listed in Table 3-2, an aircraft's performance characteristics will determine the minimum distance required between the spectator area and the takeoff/landing surface. The guidance pertaining to aircraft operations applies to all aircraft operating at an aviation event while the waiver is in effect. These same safety distances are recommended to be applied starting when spectators are allowed into the show site until all spectators have left the show site.

Table 3-2. Minimum Distance between Spectator Areas, Built-up Areas or Occupied Buildings and Takeoff/Landing Surface

Minimum Distance between Spectator Areas, Built-up areas or Occupied Buildings and Takeoff/Landing Surface	Aircraft Performance Characteristics
100 feet	Powered Parachute Aircraft
200 feet	(1) Airplanes, gyroplanes, and weight-shift control aircraft with reference speed for final approach (Vref) of 60 kts or less and a certificated gross weight of 2500 lbs or less, including ultralights (airplanes, gyroplanes, and weight-shift control) (See Figure 3-25)
200 feet	(2) Gliders, powered and unpowered paragliders, and hang gliders (See Figure 3-25)
200 feet	(3) Helicopters—engine start and shutdown and hover taxi in ground effect (See Figure 3-30)
300 feet	Airplanes and gyroplanes with Vref of more than 60 kts but less than 100 kts and certificated gross weight of 50,000 lbs or less (See Figure 3-25A)

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Minimum Distance between Spectator Areas, Built-up areas or Occupied Buildings and Takeoff/Landing Surface	**Aircraft Performance Characteristics**
500 feet	(1) Airplanes and gyroplanes with Vref in excess of 100 kts (See Figure 3-25B)
500 feet	(2) Airplanes and gyroplanes with a certificated gross weight in excess of 50,000 lbs (See Figure 3-25B)
500 feet	(3) Airplanes and helicopter conducting excessive, non-aerobatic maneuvers on takeoff or landing (comedy acts) (See Figure 3-25B)
500 feet	(4) Helicopter—takeoff and landing (See Figure 3-30)
The minimum distances in this table for: Formation takeoff/landing operations, will be measured to the closest runway edge, and Single aircraft operations conducted on the centerline may be measured to the runway centerline.	

2) Takeoffs and Landings—Aerobatic Maneuvers Conducted. When the takeoff runway is separated from the primary or secondary spectator areas by less than 500 feet for CAT III, 1,000 feet for CAT II, and 1,500 feet for CAT I aircraft:

a) Aerobatics are not permitted over spectator areas or congested areas; or

b) An aerobatic maneuver may be performed after takeoff when the aircraft has turned away from the spectator area and crossed the appropriate show line. (See Figure 3-28 and Figure 3-28A for CAT III aircraft example.)

3) Helicopter Operations. As listed in Table 3-2, all helicopters must take off and land at a minimum distance of 500 feet from the spectator area during an aviation event and helicopters will not pass over spectator areas at any time, except as provided in subparagraphs 3-147H and I below, during the departure and arrival. Helicopters must start up and shut down at a minimum distance of 200 feet from the crowd and hover taxi in ground effect or ground taxi at a maximum ground speed of 20 knots ground speed between the takeoff/landing areas and the startup/shutdown area.

4) Aircraft Towing. Conduct glider, hang glider, and paraglider towing (airplane/automobile) at a minimum distance of 200 feet from the crowd.

H. Flight Over Primary Spectator Area.

1) Civilian and Military Aircraft. Flight over the primary spectator area is permitted when at or above 1,000 feet above the spectators.

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2) Military Jet Demonstration Teams. When authorized by AFS-800, military demonstration teams are permitted to fly at a minimum altitude of 500 feet over the primary spectator area if:

a) Flight is non-maneuvering and straight and level or wings level in a normal climb; and

b) The direction of flight is in one direction only—back to front or front to back.

I. Flight Over Secondary Spectator Areas. The responsible person will make every effort to discourage secondary spectator areas. Secondary spectator areas cannot be under the aerobatic maneuver area. Flight over the secondary spectator area is permitted by all civilian and military airshow performers when the following conditions are met:

1) Minimum altitude must be no lower than 500 feet above the spectators; and,

2) Until the aircraft reaches an altitude of 500 feet, flight will be non-maneuvering and wings level in a normal climb.

J. Flyby. A flyby can be performed by a single aircraft, by aircraft in formation, or by aircraft in trail.

1) No abrupt maneuvers between the corner markers may be performed along the 500 feet show line by CAT I or II airplanes,

2) Conduct a flyby along show lines at a minimum horizontal distance of not less than 500 feet from primary spectator areas, secondary spectator areas, congested areas, or occupied buildings; and in accordance with the following conditions:

a) By CAT I or II airplanes—no lower than 100 feet AGL when less than 1,000 feet from a designated spectator area, unless the pilot possesses a current surface level SAC card for the make and model of airplane being flown;

b) By all airplanes—using a bank angle of no more than 75 degrees, a pitch angle of no more than 60 degrees, and a maximum indicated airspeed of no more than 300 knots, regardless of the show line CAT;

c) By formation flights, no lower than 200 feet AGL, using a bank angle of no more than 60 degrees, a pitch angle of no more than 45 degrees and a maximum indicated airspeed of no more than 250 knots, regardless of the show line CAT.

3) Corner markers must be highly visible landmarks or contrasting markers easily visible from 200 feet AGL at 200 KIAS that identify the crowd line 500-foot lateral separation (corner) points left and right of the primary spectator area (see Figure 3-29).

NOTE: Per § 91.117(d), if the minimum safe airspeed for any particular operation is greater than the maximum speed required by § 91.117(a through c), the aircraft may be operated at that speed.

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K. Airshow Maneuvers Toward Primary Spectator Area. The categories for airshow maneuvers towards the primary spectator area are as follows:

- Unacceptable level of risk—prohibited.
- Acceptable level of risk—no approval required.
- Acceptable level of risk—approval required.

1) Prohibited Maneuvers. Aerobatic maneuvers conducted inside the aerobatic box that in the event of a catastrophic failure a part of the aircraft would contact the surface at or inside the primary spectator area between the corner markers are prohibited.

2) Permitted Maneuvers—No Approval Required. The following maneuvers are permitted without any additional approval:

a) Aerobatic maneuvers in which the aircraft, but not the actual energy vector, is momentarily pointed towards the primary spectator area (e.g., hammerhead turns, spins, tail slides, torque rolls, and lomcevaks).

b) High energy maneuvers such as minimum radius turns (maximum of 90 degrees of bank) by single aircraft on the appropriate show line for the aircraft CAT in accordance with the following (see Figure 3-30A):

1. CAT III aircraft—maximum altitude of 250 feet,

2. CAT II aircraft—maximum altitude of 300 feet, and

3. CAT I aircraft—maximum altitude of 500 feet.

c) Non-aerobatic maneuvers by a single aircraft with an energy vector directed towards the primary spectator area provided the aircraft remains beyond the appropriate reference line for their show line CAT (i.e., 500 feet for CAT III; 1,000 feet for CAT II, 1,500 for CAT I) (see Figure 3-28B).

d) Flight over the spectator areas in accordance with subparagraphs 3-147H and 3-147I.

e) Repositioning turns in accordance with subparagraph 3-147L.

3) Permitted Maneuver—Approval Required. The following maneuvers are prohibited unless approved in accordance with paragraph 3-149, FAA AFS-800 Maneuver Packages Approval Process:

a) Aerobatic maneuvers which direct an energy vector toward the primary spectator at any point, other than those described in subparagraph 3-147L1), which are prohibited; and

b) Non-aerobatic maneuvers by multiple aircraft or aircraft in formation with an energy vector directed towards the primary spectator area.

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c) Aerobatic 360 degree turns with an energy vector directed towards the primary spectator area:

1. For single aircraft that exceed the requirements of paragraph 2)b) above; or

2. For multiple aircraft.

L. Repositioning Turns.

1) Return to the Flying Display Area/Aerobatic Box. Conduct repositioning turns that may have an energy vector directed towards the primary spectator area made for the purposes of returning to the flying display area or aerobatic box to realign with the appropriate CAT aircraft show line as follows:

a) Civilian performers.

1. Holders of a SAC card and flying CAT III or CAT I and CAT II ex-military fighters are permitted to perform repositioning turns using a maximum of 120 degrees of bank and 90 degrees of pitch when above 500 feet AGL and not over designated spectator areas or congested areas.

2. Holders of an endorsement for pitch and bank angles up to 90 degrees are permitted to perform repositioning turns to those limits above 500 feet AGL when not over designated spectator areas or congested areas.

b) Military jet demonstration teams and single ship demonstration teams.

1. Military demonstration teams with accepted maneuvers packages are permitted to exceed a maximum of 120 degrees of bank and 90 degrees of pitch; and

2. Pitch and bank angles must not exceed standard operating procedures prescribed for the specific aircraft; and

3. Inverted flight is not authorized below 1,500 feet AGL and not over congested areas or spectator areas.

2) Inside the Flying Display Area/Aerobatic Box. When it is not practical to leave the flying display area or aerobatic box in between segments of a flight demonstration, repositioning turns that have an energy vector directed towards the primary spectator area and are made for the sole purpose of remaining in the flying display area and realigning with the appropriate CAT show line are permitted in accordance with the following:

a) Holders of a SAC card or an endorsement for pitch and bank angles up to 90 degrees are permitted to perform repositioning turns and/ or clearing turns to a maximum 90 degree bank;

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b) The turns are carried out without abrupt control inputs during the portion of the turn when the aircraft is directing energy at the crowd; and

c) The turns are conducted in a manner to ensure the aircraft remains beyond the appropriate distance for their show line CAT (i.e., 500 feet for CAT III; 1,000 feet for CAT II, 1,500 feet for CAT I).

M. Night, Civil Twilight, and Airborne Pyrotechnic Demonstrations Authorization. Aerobatic performers may request authorization to conduct aerial demonstrations at night (after civil twilight). The demonstrations are typically conducted with pyrotechnic devices attached to the wings. Other demonstrations use numerous landings lights, strobe lights, or smoke. Conduct these demonstrations no lower than 500 feet and no higher than 5,000 feet AGL. Jet aircraft performers may request a higher ceiling requirement. Inspectors can accommodate such requests by ensuring that the following have been accomplished:

- The pyrotechnic or light installations are appropriately documented in the aircraft's maintenance records.
- The requirements in subparagraph 3-147N below are met.

N. Night and Twilight Event Special Provisions. As appropriate, include the applicable special provisions in addition to the special provisions in paragraph 3-155 of this section for events conducted after local sunset.

1) Confine aerobatic demonstrations at night to 1 NM on either side of the show center along a well-defined, lighted show line.

2) Confine aerobatic demonstrations to altitudes above 500 feet AGL and below 5,000 feet AGL after official sunset.

3) The minimum weather conditions at night require a cloud base no lower than 2,500 feet and 3 statute miles visibility. Section 91.155 will not be waived for any flight conducted between sunset and sunrise.

4) Aircraft position lights must be operating from sunset to sunrise except while pyrotechnics on the aircraft are illuminated unless § 91.209 is waived. Waive § 91.209 only if the flight is conducted totally within Class B, C, D or TFR airspace.

5) When pyrotechnics are illuminated, operations over persons are prohibited at any altitude.

O. Passenger and Emergency Helicopter Operations. During some aviation events, helicopters take passengers for rides or serve as emergency vehicles. The responsible person, in conjunction with the helicopter operator, will establish a comprehensive operation plan, to include egress and ingress routes that do not overfly spectator areas at low altitudes and will not interfere with performers or other operations conducted during the event. This plan will be briefed at the performers' briefing. The following guidelines will be adhered to:

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1) Startup and shutdown areas for helicopters will be:

a) Located at a minimum distance of 200 feet from the crowd or passenger waiting areas.

b) Protected by appropriate barriers and/or crowd control to prevent unauthorized persons from entering these areas.

c) Located to prevent the helicopter from passing over spectators during takeoff or landing.

2) Pilots must receive the performer's briefings by the same briefer unless relief is granted by the IIC for a different briefer to give the briefing due to remoteness of helicopter operations in reference to the event (attendance at the performer's briefing is highly recommended).

3) Refueling procedures for operations conducted during the event hours must be approved by the IIC.

NOTE: Helicopter operations will not be permitted during military demonstration team performances, or parachuting operations. The IIC may permit helicopter operations during parachuting operations if the operations are distant enough from the parachuting landing area to not be a safety hazard (e.g., Air Venture at Oshkosh, where the helicopter operations are at a separate location from the main airfield).

P. Helicopter Demonstrations.

1) Helicopter Acts Involving External-Load Operations. Airshow acts that are considered Class B, C, or D external-load operations, will not be conducted over persons on the surface unless those persons are part of the act and must be conducted in accordance with 14 CFR part 133 and the provisions of the waiver. Military helicopters need not comply with part 133 but must comply with the provisions of the waiver.

2) Helicopters may perform aerobatic maneuvers no closer than 1,000 feet horizontally from designated spectator areas.

3) Helicopters performing aerobatic maneuvers must have a valid and current special airworthiness or experimental certificate issued in the Experimental CAT for the purpose of exhibition. Nothing contained in these special provisions of the waiver should be contrary to any operating or special limitation issued as a part of that special airworthiness or experimental certificate.

4) Helicopters may not perform non-aerobatic abrupt maneuvers closer than 500 feet horizontally from a spectator area.

5) Helicopter performers are limited to the aerobatic maneuvers as listed on their SAC card.

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Q. Air Carrier Aircraft Demonstrations. Flight demonstrations may be conducted at an airshow under the provisions of a waiver by any certificated air carrier with a large (more than 12,500 lb (GTOW aircraft)) listed on that certificate. When an air carrier operating this large aircraft requests authorization to conduct a flight demonstration at an airshow, the IIC will require the following:

1) The air carrier will develop a performance package that describes in detail the entire flight profile. The performance package will specifically address the make and model of the aircraft and take into consideration any specific flight safety conditions of that aircraft.

2) A waiver provision should be developed with the following limitations:

- Minimum altitude—200 feet AGL,
- Maximum bank—30 degrees,
- Maximum speed—300 knots, and
- Minimum speed—Vref for the configuration and weight of the aircraft, or as required for the go-around sequence on touch-and-go landings should be permitted only when the carrier has addressed the crew procedures, the runway requirements, and the abort procedure in sufficient detail.

3) Coordination with the air carrier's principal operations inspector (POI) is necessary before approval by the IIC.

4) Any maneuvers not in the air carrier's training program must be practiced before the demonstration. This practice may be in an approved simulator that represents the make and model of the demonstrated aircraft.

R. Ultralight Vehicle Demonstrations. An ultralight vehicle is only a single place vehicle and must meet the applicability of 14 CFR part 103, § 103.1 and operate as an ultralight vehicle under part 103. The FAA does not require certification of ultralight vehicle operators meeting the provisions of § 103.1.

1) Aerobatic flight demonstrations by ultralight vehicles should be included on a certificate of waiver or authorization, with appropriate special provisions. The applicant must provide the issuing office with a statement of determination that the vehicle meets the requirements of § 103.1 or authorized under an exemption to part 103, and the operator is able to conduct the proposed demonstration without creating a hazard to persons and property on the surface. The statement should contain a summary of how the determination was made. The IIC determines if the statement is suitable. The IIC may require a demonstration prior to making a determination. For additional support, contact AFS-800.

2) Ultralight vehicles must meet the same separation standards as conventional aircraft with a level flight cruise speed of less than 156 knots using 75 percent power (CAT III), with the exception of powered parachutes.

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3) Wing walking acts using ultralight vehicles are not authorized for operation as an ultralight vehicle operated in accordance with part 103. Only certificated aircraft may be used for this type operation.

4) Pilots may not receive compensation for participation at aviation events because ultralight vehicles may not be operated for compensation or hire.

S. Experimental Amateur-built and Exhibition Aircraft. The aircraft can be flown acrobatically if it is airworthy and not prohibited from aerobatic flight. The performer must provide to the IIC documentation of the aerobatic maneuvers authorized in accordance with the aircraft operating limitations. The IIC should consult with the airworthiness inspector regarding suitability.

T. Wing Walking and Specialty/Trapeze Acts. Wing walking acts may be approved when the performers have safely demonstrated the act in an aerobatic competency evaluation. Section 91.107(a)(2) and (3) may need to be waived for stunt persons only. All helicopter trapeze acts must comply with the applicable requirements of part 133 concerning helicopter external load combination Class B or D operations. Avoid overflight of the designated spectator areas for these acts.

U. Ground-based Pyrotechnics. As appropriate, in addition to the applicable airshow special provisions listed on the FAA Internet site at http://www.faa.gov/about/initiatives/airshow/waiver/ and on the FAA employee's Intranet site at https://intranet.faa.gov/faaemployees/org/linebusiness/avs/offices/afs/programs/airshows/tora/index.cfm, include the pyrotechnics special provisions and checklist (see Figure 3-39) for events that will use ground-based pyrotechnics, if the ground-based pyrotechnics will be installed and/or detonated anywhere on the airport surface.

V. Glider Operations. The following criteria apply only to glider operations.

1) Motorized and non-motorized gliders fall into the CAT III aircraft group. CAT III aerobatic box and performance distances apply.

2) Unless obstructions are present that would make a taxiway takeoff unsafe, it should be permitted with a minimum distance of 200 feet from the primary spectator area (see Figure 3-25). This distance may be reduced to 150 feet if the takeoff path is at an angle of at least 10 degrees away from the spectators.

3) Landings may be approved on the taxiway used for the takeoff as long as there are no obstructions or adverse wind conditions that would create a hazard to the spectators. If the landing approach requires a low altitude turn over the spectators, landing on a taxiway is not permitted. After landing, the aircraft must come to a full stop at least 50 feet from spectators.

W. Agricultural Aircraft Demonstration. In addition to the applicable airshow special provisions listed on the above mentioned Web sites, include the appropriate agricultural aircraft special provisions for events that have agricultural aircraft aerobatic demonstrations.

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X. Ingress and Egress Routes Into and Out of the Flying Display Area.

1) All Civil and Military Aircraft. For flight over congested (built-up) areas adjacent to flying display areas:

a) Section 91.119(a) will not be waived for aerial demonstration purposes. Section 91.119(a) requires that all pilots must always operate an aircraft at an altitude allowing, if a power unit fails, an emergency landing without undue hazard to persons or property on the surface, except when necessary for takeoff or landing; and

b) Aerobatic maneuvers are prohibited.

2) All Civil and Military Aircraft (Except for Sanctioned Military Demonstration Teams). For flight over congested (built-up) areas adjacent to the flying display area:

a) Minimum Altitude. At least 1,000 feet above the highest obstacle within a radius of 500 feet from the aircraft;

b) Ingress from Adjacent Congested Areas (Built-up Areas) to Flying Display Area. Aircraft entering a flying display area from over a congested (built-up) area are permitted to leave the minimum altitude specified above in subparagraph 3-147X2)a) to complete a smooth transition to the performance altitude on the flight line; however, the angle of descent should not be lower than a normal approach for that aircraft type (i.e., steeper than normal approaches are permitted).

c) Egress from Flying Display Areas to Adjacent Congested (Built-up) Areas. Aircraft exiting a flying display area to a congested (built-up) area should climb at a rate consistent with the safe operation or best pitch attitude for that aircraft type. If extended flight over the built-up area is expected, compliance with the minimum altitude specified above in subparagraph 3-147X2)a) is required (see Figure 3-31).

Y. Compensation at Airshows.

1) To receive any type of compensation (fuel, oil, lodging, rental cars, etc.), for flight activities at an airshow, an airman must have a commercial pilot certificate and second-class medical certificate. The aircraft must be certificated for operations that allow compensation or hire. Additionally, if passengers or property are carried for compensation or hire, the aircraft must be certificated to allow for those types of operations.

2) In accordance with part 91, § 91.319, all experimental aircraft are prohibited from conducting operations for compensation or hire while carrying passengers and/or property operations. Experimental aircraft may be authorized to be operated for compensation or hire without any passengers or property on board.

3) IICs should conduct an investigation when they become aware of any performers who may only hold a private pilot certificate and appear to be receiving compensation while performing or giving rides.

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4) Additionally, all FAA inspectors conducting surveillance should be vigilant in monitoring activities that involve passenger rides at an aviation event. They should conduct an investigation when they become aware of operations conducted in an aircraft or by a pilot who may be operating contrary to regulations.

3-148 MILITARY PERFORMANCES.

A. General. The guidelines in this paragraph apply to military aircraft, military pilots, and parachute teams specifically designated to perform missions for the U.S. DOD and the Canadian DND.

1) Only the Aviation Liaison Officer in the Office of the Assistant Secretary of Defense for Public Affairs can sanction a U.S. DOD team.

2) Canadian DND Sanctioned Military Teams. The Canadian DND-sanctioned military teams are the Canadian Forces Snowbirds, the Canadian Forces CF-18 Demo Special Events, and Sky Hawks. Their contact information is listed on http://www.faa.gov/about/initiatives/airshow/military.

3) The DOD-sanctioned single ship military demonstration teams are not exempt from any regulation or policy that is used in issuing a waiver unless specifically stated in their FAA-accepted command guidance. Fly these aircraft in accordance with these guidance documents (see paragraph 3-148C below).

4) FAA headquarters does not issue any blanket special approvals, authorizations, waivers, or blanket exemptions that would pertain to all military airshow performances. The sanctioned North American Jet Demonstration teams have maneuver packages that are approved each year and pertain only to the team for whom it was approved.

5) Forward any outside complaints received by the FAA as a result of the aerial demonstration to the designated military representative for disposition. Direct any questions by FAA representatives involving a military team to the appropriate team.

6) Enforcement action against any military team or performer will be conducted according to current FAA policy (see the current edition of FAA Order 2150.3, Compliance and Enforcement Program). When enforcement action is initiated, the IIC must notify the national airshow coordinator through the regional airshow coordinator.

7) All accidents and incidents must be reported to the national airshow coordinator by the IIC through the regional airshow coordinator.

B. Sanctioned Military Jet Demonstration Teams. This title pertains only to The Blue Angels, The Thunderbirds and the Snowbirds. A list containing their contact information is available at http://www.faa.gov/about/initiatives/airshow/military.

1) The sanctioned military jet demonstration teams provide AFS-800 with command-approved maneuvers packages for approval. See paragraph 3-149 for the approval/acceptance process.

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2) These teams normally will conduct preseason meetings with the airshow event organizer and jurisdictional FAA offices. These meetings will usually occur in the winter months before the start of the airshow season. Participation in these meetings is mandatory for the jurisdictional FSDO. It is incumbent upon the event organizer to notify the appropriate FSDO in ample time to send a representative to the meeting. The FSDO will notify the regional airshow coordinator of the meeting. It is imperative to review site suitability in detail with the event organizer and military jet demonstration team representative at this meeting. This will include, but is not limited to, the placement of the aerobatic box and impact on the nonparticipating public on the surface under this box, review of proposed ingress/egress routes that will require FAA approval and any impact on scheduled air carrier operations.

3) Coordinate any change to an FAA maneuvers package or the addition or removal of a pilot authorized to fly under the prescribed maneuvers package with the national airshow coordinator as soon as possible. These changes are not authorized until accepted or approved by AFS-800 and the national airshow coordinator.

4) Military jet demonstration teams and military Single ship Demonstration teams may conduct an arrival demonstration. This normally consists of several passes for visual familiarity with existing landmarks and maneuvers practice using these landmarks. Coordinate details of the arrival demonstration in advance. For the military demonstration teams, this should be accomplished at the preseason meeting.

a) The arrival demonstration must be previously approved and meet all FAA regulations and requirements as stated in the waiver and special provisions. The main difference between the arrival demonstration and a regular demonstration is that the normal size crowd is not present, which may preclude the need for crowd control.

b) The teams often ask to have the team advance coordinator or operations officer accept the arrival demonstration briefing and relay all necessary information to the team. The IIC should allow this if the team representative is a rated aviator or a nonrated officer serving with the team. Briefings with the team representative must be completed before the team's arrival at the demonstration site. It is mandatory that the IIC or IIC's representative is present at this briefing.

5) The sanctioned military jet demonstration teams have FAA-approved maneuvers packages. The maneuvers packages describe each demonstration maneuver in detail and specify ingress/egress routes. Flight over congested (built up) areas adjacent to flying display areas (ingress and egress) must be carried out as follows:

a) They are authorized to fly nonaerobatic at 500 feet above obstacles and/or occupied buildings when within 3 NM of show center.

b) The opposing solos are permitted to descend below 500 feet AGL in the transition area over occupied buildings in a wings level shallow descent to arrive at 200 feet AGL before reaching 1 NM from show center.

c) On a case-by-case basis, where it is deemed a safe transition to the next maneuver, the IIC will grant a waiver to the sanctioned military jet demonstration teams

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permitting them to fly as low as 200 feet above the highest obstacle within a 500-foot horizontal radius along specified ingress/egress routes within 3 NM from show center, provided the following conditions are met:

1. A request is sent or given to the IIC by an authorized team member for each show site.

2. The results of a completed onsite survey conducted during the current airshow season by a representative of the military demonstration team.

3. A current aerial photograph or topographical chart depicting the CAT I show line, aerobatic box required for the approved maneuvers package, and ingress/egress routes.

4. Depict ingress/egress routes on a 1:24,000 scale map (or its equivalent) indicating the minimum altitudes requested, the 500-foot lateral distance of the end of the primary spectator area, and any other secondary open-air assemblies of persons.

d) Flight is never authorized below 500 feet:

1. Over occupied buildings outside of the transition area;

2. Within 500 feet laterally of open-air assemblies of persons; and

3. Aerobatic flight is not permitted outside of the aerobatic box (except as authorized as stated above).

C. Sanctioned Military Single Ship Demonstration Teams—Military Single-Ship Demonstrations. The military single ship demonstration teams are the sanctioned North American military specialized teams that demonstrate the capabilities of one particular aircraft; (e.g., the USAF A-10, F-15, F-16, and F-22 single ship demonstration teams); the USN F-18 single ship demonstration teams; and Canada's DND single ship demonstration teams. The applicable branch of the military must develop guidance and/or maneuver packages, which define the aerobatic routine to be performed at aviation events (see paragraph 3-149).

D. Other U.S. Military Demonstration Teams. Other U.S. military demonstration teams include the USAF Heritage Flights and the USN Tailhook Legacy Flights. These flights may include a victory roll at the end of their performance and is the only aerobatic maneuver authorized but is not authorized over spectator areas or occupied buildings and must conform to military guidance or meet civilian requirements as appropriate. Various other military aircraft may be authorized for flybys, simulated in-flight refueling demonstration, simulated assault or rescue operation or other non-aerobatic operations or static displays.

E. Other Foreign Military Demonstration Teams. Other foreign military flight demonstration teams single and multi-aircraft, must submit a maneuvers package to AFS-800 to ensure compliance with FAA guidance. See paragraph 3-149 for the approval process.

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F. Military Parachuting Demonstration Teams.

1) Sanctioned Military Parachuting Teams. The sanctioned military demonstration teams are the U.S. Army Golden Knights, USN Leap Frogs and the Canadian DND Skyhawks. The sanctioned military parachute teams are considered to have met the highest level of parachuting certification. The team members need not be listed on an application for a FAA Parachuting Authorization application, FAA Form 7711-2. The sponsor or responsible person may make the application for a sanctioned team.

2) Non-Sanctioned Military Parachuting Teams. Non-sanctioned military teams are not performing any demonstrations for the DOD or DND, therefore must meet all the same requirements as any civilian team.

G. DD Form 2535 (Military Participation). The DOD requires the event organizer, or a designated representative, to complete DD Form 2535 when requesting a U.S. military aerial demonstration team on or off a military installation. The event organizer or representative must forward the form to the appropriate FSDO. The event organizer must allow for a 30-day review period. The FSDO completes Section IV, FAA Coordination (Airspace Coordination). Classify the proposed site requiring a waiver as satisfactory, conditional-satisfactory, or unsatisfactory during an FAA inspector conducted site feasibility study. The USAF is using an automated DD Form 2535 and the applicant can only obtain it by accessing their Web site: http://www.acc.af.mil/aerialevents.

- A satisfactory classification indicates that a waiver is not required or can be issued following compliance with other stated requirements.
- A conditional-satisfactory classification will include specific conditions that need to be met, such as closing roads, evacuating buildings, etc., and special consideration for the military demonstration teams' ingress and egress routes.
- An unsatisfactory classification indicates that the requested activity cannot be performed safely at the proposed site, and a waiver will not be issued.

1) Generally, the standard aerobatic box for the Blue Angels and Thunderbirds is 12,000 feet by 3,000 feet. The Snowbirds usually request 8,000 feet by 3,000 feet. For a single ship demonstration team, the standard aerobatic box is 6,000 feet by 3,000 feet. The support manuals and some maneuvers packages will indicate the size of the required airspace.

2) Military Flybys (Other than an Aviation Event). DD Form 2535 for a flyover or flyby at civic events, funerals, etc., are submitted to the local FSDO for FAA coordination. Other than the three sanctioned North American Jet Demonstration teams, the flybys should be accomplished at 1,000 feet above the highest obstacle within 2,000 feet horizontal from the flight path.

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a) If no regulations are being waived:

1. No site evaluation is necessary.

2. Contact the AT facility with jurisdiction for the air space being used for coordination and enter the AT contact information in block 18 of Section IV.

3. Check the appropriate boxes (a through g) in block 16.

4. Check the appropriate box in block 17. If other that satisfactory, enter the conditions for "Conditionally Satisfactory" or reason(s) for "Unsatisfactory" in block 18.

b) If a waiver of one or both of the following regulations is require:

1. If the speed requested is above those authorized in § 91.117

2. If one of the sanctioned military jet demonstration teams is requesting a flyover below 1,000 feet above the highest obstacle 2,000 feet either side of their flight path as required in § 91.119.

3. If a waiver of § 91.119 is issued to one of the sanctioned military jet teams, the follow conditions must be met:

a. A site suitability must be conducted including ingress and egress routes,

b. Flight below 500 feet above the highest obstacle 1,000 feet either side of the intended flight path is not authorized, and

c. Only shallow turns, climbs and descents are authorized below 1,000 feet AGL.

4. In addition the following coordination requirements must be met:

a. Conduct a briefing between the PIC and ASI before the flyby.

b. Compliance with all other rules of part 91 is required.

3-149 FAA AFS-800 MANEUVERS PACKAGES APPROVAL PROCESS.

A. North American and Foreign Military Flight Demonstration Teams. North American and Foreign Military flight demonstration teams, single-ship demonstration teams, and mixed military and civilian formation demonstrations who conduct public performances in the United States, require FAA acceptance of their command-approved maneuvers package or accepted aerial demonstration guidance by AFS-800. Some of the maneuvers described in these packages may not conform to all guidance requirements in Volume 3, Chapter 6 (e.g., airspeed, altitude over primary spectator area, etc.) and therefore require FAA acceptance of their maneuvers package (see paragraph 3-148 above).

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B. Civilian Performers. Civilian performers requesting approval for one or more maneuvers described in subparagraph 3-147K) or relief from one or more requirements listed in\ this chapter require FAA acceptance and must make an application as follows:

1) The applicant must fill out an applicant to include (applicants that are applying for relief from a requirement and not an approval of a maneuver need only comply with a) and b) below and send request to address listed in subparagraph 3) below):

a) A copy of the performer's SAC (FAA Form 8710-7 or Transport Canada Form 26-0307);

b) A detailed description of the maneuver(s) requiring approval or relief;

c) A pictorial display (e.g., ribbon drawing) of the maneuver(s) including the sequence in which the maneuver(s) will be flown;

d) The entry and exit airspeed and altitude for the requested maneuver;

e) The airspace required to complete the maneuver(s) requiring approval to include lateral, horizontal and vertical distances;

f) A computation of turn radius, scatter radius and safety radius from the closest points to the primary spectator area of the maneuver(s) needing approval using the formulas listed in subparagraph 3-151 noting the airspeed, altitude and G forces used in the computations; and

g) An evaluation from an ICAS or EAA aerobatic competency evaluator verifying the following.

1. The maneuver has been demonstrated,

2. It can be performed competently with regularity,

3. It has been demonstrated by the applicant to be within the airspace described in 4 above, and

4. It does not meet the definition of a Prohibited Maneuver as described in subparagraph 3-147K1).

2) Upon completion, the aerobatic competency examiner will forward the application and evaluation results to: ICAS Safety Committee Chairman, 750 Miller Drive, S.E., Suite F-4 F-3, Leesburg, Virginia 20175.

3) Upon receipt, the Safety Committee will review the application and documentation. Within 15 working days of receipt, the Safety Committee Chairman will forward the application package with comments to: FAA Headquarters, AFS-800, 800 Independence Avenue, SW, Washington, D.C. 20591.

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4) AFS-800 will notify the applicant of the results within 30 days of receiving the application package from the ICAS Safety Committee Chairman.

C. Evaluation Process. An evaluation is required to assure an equivalent level of safety for spectators in case of an incident involving the aircraft. AFS-800 and the National Air Show Coordinator will decide what the appropriate evaluation requires. This will depend on the requested maneuver(s) and completeness of the application. The review may include but not limited to a safety committee of subject matter experts as determined by AFS-800.

1) The following criteria will be used to evaluate maneuvers for compliance:

a) Aerobatic maneuvers which direct an energy vector toward the primary spectator at any point, other than those described in subparagraph 3-147K1), which are prohibited.

b) Non-aerobatic maneuvers by multiple aircraft or aircraft in formation with an energy vector directed towards the primary spectator area.

c) 360 degree turns with an energy vector directed towards the primary spectator area:

1. For single aircraft that exceed the requirements of subparagraph b) above; or

2. For multiple aircraft.

2) Below is an outline of the FAA acceptance process:

a) Military Flight Demonstration Individual Pilots or Teams planning to perform an aerobatic demonstration in the United States must submit an application package that contains the following requirements:

1. A complete copy of their maneuvers package must be furnished to AFS-800, National Air Show Coordinator, and;

2. The maneuvers package (electronic format is required) will consist of profiles that must contain the following:

- A ribbon pictorial (or equivalent) of all maneuvers in the performance,
- Minimum and maximum operating altitudes,
- Distances from the designated spectator area, and
- Relationship of the aircraft to the show line.

3. Minimum weather requirements for the performance and profiles for a high and low show if that option is available.

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4. The size and dimensions of the following airspace required to conduct the performance: flying display area, aerobatic box, and ingress/egress routes.

5. A proposed date for a private demonstration/review by the National Air Show Coordinator.

b) Military teams must also submit a letter from the commanding officer authorizing this military team. The letter must include:

- A team roster, including the address and telephone number of the commanding officer of the military organization;
- The military orders describing the requirements for training and the conduct of the operation; and
- A list of the aircraft used in the demonstration and a description on how to conduct flight demonstrations in the United States.

c) For all civilian teams or individuals requesting a maneuvers package approval for relief from one or more requirements in this guidance will submit a letter of request. The letter must include:

- A team roster, including the address, telephone number, fax number and e-mail address of the point of contact (POC).
- If foreign, a list of the aircraft used in the demonstration and a description of how they intend to conduct flight demonstrations in the United States.
- If requesting an approval for a maneuver not meeting the description in subparagraph 3-147K2) (acceptable maneuvers) then submit an application in accordance with subparagraph 3-149B above.

d) Final acceptance of approved maneuvers. The national airshow coordinator will coordinate any necessary changes with the applicant. Changes may also be coordinated with an appropriate committee selected by AFS-800.

3-150 PARACHUTE DEMONSTRATIONS. Although many airshow activities may require waivers, parachuting or skydiving demonstration jumps do not. As provided in part 105, some of these jumps require a COA. FAA Form 7711-2 is the application for authorizations parachute jumps.

A. Parachutists Not Associated With the USPA. Parachutists who are not members of the USPA and who wish to participate in a demonstration or exhibition jump over or into a congested area, must present satisfactory evidence of the experience, knowledge, and skill equivalent to that required by the USPA. Although the majority of contacts with the parachutists are made by operations inspectors, questions concerning parachute riggers, airworthiness, or engineering should be referred to the Aircraft Maintenance Division (AFS-300) and/or the Aircraft Certification Service (AIR), Rotorcraft Directorate's Special Certification Office (ASW-190) for resolution. In some cases, the local USPA area safety and training advisor may

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be able to answer safety questions regarding the jump and landing area. Contact the USPA for assistance in locating a USPA area safety and training advisor in your area.

1) If the applicant is unable to provide adequate information about the event or jumper's qualifications, inspectors may require a demonstration jump (not over a congested area) before approving an authorization.

2) The FAA authorized the USPA to adopt its own safety rules and licensing standards for parachutists, instructors, and jumpmasters. Additionally, the USPA has pledged to implement a policy of self-policing so that conflicts with other airspace users are avoided and a high level of safety is maintained. Toward this goal of assisting the FAA, the USPA has supplied every FSDO with a brochure of its rules and safety programs and has offered assistance any time the FAA has encountered problems with a particular club or has questions regarding parachuting.

3) Airborne demonstrations, other than those performed by the DOD, must have an approval letter from AFS-800 containing the conditions for these demonstrations if the equipment, opening altitude and jump experience does not meet the requirements found in this paragraph.

B. Safety. Title 14 CFR part 105 states rules designed to protect the general public and other users of the national airspace from sport parachuting activities.

1) When a parachute jump is conducted over or into a congested area, a COA is required.

2) An open-air assembly of persons usually occupies a relatively small area. Therefore, it should not be a problem to avoid these areas during an exit. The primary purpose of an exit limitation over an open-air assembly is to provide a higher level of safety under the remote possibility that a jumper would be unable to deploy one of two parachutes.

C. COA (FAA Form 7711-1). Section 105.21 includes rules applicable to jumps over or into congested areas or open-air assemblies of persons. Any jump over or into a congested area requires FAA Form 7711-1. Section 105.15(a) (1 through 7) lists the information required when applying for a COA.

1) The drift-over provision of § 105.21 permits a jumper to exit an aircraft over areas other than a congested area and, with a fully deployed parachute, drift over a congested area or open-air assembly of persons, and then land in an open area. Under these circumstances a COA is not required. However, the drift-over provision does not permit any jump that results in a landing into a congested area or open-air assembly of persons unless the parachutists have obtained a COA.

2) Operations inspectors reviewing applications for authorizations to jump into congested areas or controlled airspace should look for any indication that these jumps involve special stunts or more participants than the aircraft type certificate allows. When in doubt, coordinate with the FSDO airworthiness unit. Further information about congested areas can be found in Volume 3, Chapter 51, Section 6, Evaluate a Part 133 Congested Area Plan,

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paragraph 3-4203; and Volume 3, Chapter 52, Section 2, Evaluate a Part 137 Congested Area Operations Plan, paragraph 3-4258.

D. Parachutist's License and Recent Experience. The competence of parachutists is extremely important when evaluating the suitability of a landing site.

1) Open field and Level I landing areas require a current USPA class C or D license (or equivalent), a minimum of 200 jumps, of which 50 jumps were within the last 12 months to include 5 jumps within the previous 60 days on the same make and model canopy to be used for the demonstration.

2) Level II and stadium landing areas require a class D license with a pro rating (or equivalent), and 50 jumps within the last 12 months to include 5 jumps in the previous 60 days on the same make and model canopy.

3) USPA issues the PRO rating with an expiration date that coincides with the expiration date of the holder's USPA membership. USPA members are renewed on the basis of continued demonstration of the original certification requirements. USPA original certification requirements are memberships in USPA, a USPA class D license, and the accomplishment of 10 successive jumps into a 10-meter (33 feet) diameter target area in accordance with the following:

- Accomplish all required jumps with a stand-up landing;
- The size of the canopy used during the PRO rating qualification determines the smallest canopy allowed in demonstration jumps; and
- Either a safety and training advisor or an instructor/examiner and at least two other spectators witnesses qualification jumps.

E. Landing Areas. All FAA-authorized demonstration jumps are classified as open field, Level I, Level II, or stadium.

1) Open Field.

a) A minimum-sized area that will accommodate a landing area no less than 500,000 square feet (e.g., approximately 750 by 750 feet, or an area with the sum total that equals or exceeds 500,000 square feet);

b) Allows a jumper to drift over the spectators with sufficient altitude (250 feet) so as to not create a hazard to persons or property on the ground; and

c) Will accommodate landing no closer than 100 feet from spectators.

2) Level I Landing Area.

a) An open area that will accommodate a landing area no smaller than 250,000 square feet (e.g., approximately 500 by 500 feet); and

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b) Permits jumpers to land no closer than 50 feet from the spectators and to pass over the spectators no lower than 250 feet, including the canopy and all external paraphernalia.

c) Many open field athletic areas and airport operational areas constitute Level I landing areas.

3) Level II Landing Area.

a) An open area that will accommodate a rectangular, square, oval or round shaped landing area of approximately 5,000 square feet for no more than four jumpers, with at least 50 feet in width. An additional 800 square feet minimum for each additional jumper over four for any jumper landing within 30 seconds of the last of any four jumpers; and

b) Permits jumpers to land no closer than 15 feet from the spectators and to pass over the spectators no lower than 50 feet including the canopy and all external paraphernalia.

c) Athletic fields 150 yards in length by 80 yards in width, or smaller with bleachers, walls, or buildings in excess of 50 feet in height on two or more sides above the landing surface, are defined as stadiums and constitute Level II landing areas.

4) Stadium. A Level II landing area smaller than 150 yards in length by 80 yards in width and bounded on two or more sides by bleachers, walls, or buildings in excess of 50 feet high.

5) Other Landing Area Considerations.

a) A landing area that exceeds the maximum dimensions of a Level I landing area, permits a parachutist to drift over a congested area or open air assembly with a fully deployed and properly functioning parachute (if the parachutist is at sufficient altitude to avoid creating a hazard to persons and property on the ground), and that has no other safety concerns would likely not require a COA as required by 14 CFR part 105, § 105.21 or § 105.25.

b) Any parachute jumping demonstration planned in conjunction with a public aviation event will require a COA with appropriate special provisions as required by § 105.21 and/or § 105.25 even if the landing area exceeds the maximum dimensions for a Level I area. A parachute jumping demonstration planned in conjunction with a public aviation event is one that takes place any time after the first spectator arrives for the event that day.

F. Tandem Jump Demonstrations.

1) Tandem jumps will only be authorized in open field and Level I landing areas.

2) The USPA must approve the tandem jump master in order to conduct tandem jumps.

3) The passenger (or “rider”) requires no previous jump experience or license.

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G. Alternate Landings Areas. Regardless of the parachutists' experience, "runoffs" or escape areas must be identified.

H. Cutaway Acts. Cutaways may not be performed if cutaway equipment will drift into the spectator area.

3-151 AIR RACES.

A. Cross-Country Air Races. Cross-country air races are normally proficiency type races and do not require waivers other than for altitude and speed at checkpoints along the route. This will require some coordination with the AT facility that services that airspace. See Volume 3, Chapter 7, Issue a Certificate of Waiver or Authorization: Section 91.119(b) and/or (c) (Minimum Safe Altitudes), for assistance and guidance in issuing a waiver for § 91.119. Airspeed may be waived in accordance with this chapter similar to military flybys described in subparagraph 3-148G2).

B. Closed-Course Air Races. Due to the complexity of the two types of closed-course pylon air racing courses (e.g., Reno type and Red Bull type), all air racing courses must be submitted to AFS-800, the national airshow coordinator, for approval before a waiver can be issued by the FSDO having jurisdiction. The formulas found in subparagraphs 3-151G and H should help the applicant design the racecourse for submission.

NOTE: Both demonstration and competitive events are normally conducted over a fixed, short-distance racecourse, usually located on or adjacent to an airport. It is the sponsor's responsibility to design the course so that hazards to spectators and other persons on the surface are prevented. Only persons and vehicles authorized by the participating race organization will be permitted beyond the crowd line during racing operations.

1) Authorized persons may include press, aircraft support crews, judges, and officials at the start line.

2) Authorized persons must clear the runway and move back to at least the runway "hold short" line 1 minute before the launch for standing starts. No one will be permitted in front of the first row of aircraft after this time except the starter flag team.

3) Pylon crews, press, and vehicles, except the home pylon flag crews, will remain inside the pylon course during races in designated areas. Race timing teams are permitted in the area between the crowd line and the show line during racing.

4) Handle non-competitive demonstration races like a competitive event, including a determination of pilot competency. Choreograph demonstration races from takeoff to landing. New classes of racing aircraft must be found competent by a similar existing air racing organization.

C. Participants. A fundamental principle of closed-course air race safety, including demonstration events, is that all of the participants need to be associated with an organization dedicated to the sport. Race pilots must possess a current race pilot authorization in the class

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in which that pilot is racing (issued within the previous 12 months). An organization or person given issuing authority by the FAA must issue the race pilot authorization. The structure and existence of a credible air racing organization provides an internal level of safety that would not otherwise exist. It is recommended that the IIC determine the following before issuing a waiver for an event that includes closed-course air races:

1) Determine whether the air race course has AFS-800 approval.

2) Determine if the participants have the proper qualifications by holding air race pilot authorization for the class in which they are participating.

3) Obtain statements from the organization regarding the air racing currency of each airman.

4) Determine whether the organization has established safety operating rules.

5) Inform the regional and national airshow coordinators upon receipt of an air race application.

D. Air Racing Organizations. If AFS-800 determines that an air race organization has a credible program, policies, and procedures for determining air racing pilot competence, that organization will be given authorization to issue race pilot certificates. The current contact for each air race organization can be found at http://intranet.faa.gov/FAAEmployees/org/linebusiness/avs/offices/afs/programs/airshows. The organizations are normally listed by class, such as the following:

- International Formula One,
- Unlimited Division,
- AT-6/SNJ Racing Association, Inc.,
- Formula V Air Racing Association,
- Professional Race Pilots Assn. (Biplane),
- Sport Class, and
- Jet Class.

E. Typical Racecourses. A diagram of a typical air race site is shown in Figure 3-40. A diagram of a typical unlimited racecourse is shown in Figure 3-40A. Two examples of suitable air race site diagrams are shown in Figure 3-40B. The following paragraphs discuss the method of determining the various distances used.

F. Racecourse Design. A satisfactory pylon air racecourse design involves the shape of the course and its relationship to the area around the course, especially the spectator areas. Both of these factors depend upon the maximum speed of the racing aircraft and the maximum “g” loading (acceleration forces) that the aircraft are expected to encounter when flying the racecourse in a normal manner. The maximum height at which the aircraft are expected to fly during the race is also a factor.

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G. Racecourse Speeds.

1) The following are typical speeds for each racing class:

- Formula V: 160 mph,
- Sport Biplane: 210 mph,
- AT-6/SNJ: 225 mph,
- International Formula One: 250 mph,
- Sport Class: 300 mph, and

2) Unlimited and jet classes: 450 mph and higher.

3) As additional classes become active, they will be added to this list with appropriate speeds specified.

4) The maximum "g" loading for a race aircraft flying the course in a normal manner has been set at 3.5 "g's." In actual racing, where maneuvering and turbulence is encountered, momentary "g" loadings in excess of this figure can be expected.

5) The speed and "g" loadings permit the calculation of the minimum radius turn that should be permitted in the design of the racecourse. The formula for the turn radius for a given "g" loading and speed is shown below. (Using a value of 3.5 for "g," the minimum turn radius is shown for each racing class below.)

Minimum Turn Radius Formula

$$R = \frac{V^2}{32.2 \times \sqrt{g^2 - 1}}$$

R = Minimum turn radius (feet)

V = Aircraft speed in ft/sec or

V = knots $\times 1.689$

32.2 = Acceleration on force of gravity (ft/sec^2)

g = "g" force in turn

6) The angle of a turn (the change in course required to negotiate the turn) should be planned to avoid forcing a race aircraft to make the turn too sharply. A maximum turn angle that does not exceed 65 degrees has been found to be satisfactory.

H. Racecourse Show Line. During the race, aircraft occupy a raceway around the race course. The edge of this raceway closest to the spectator area is the show line, over which no aircraft is permitted to cross while racing.

1) The raceway width may vary from 150 feet to 500 feet in the various racing classes so that the aircraft may pass one another. The critical requirement is that no racing aircraft is permitted to cross over the show line during the race.

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2) The minimum turn radius, the maximum turn angle, and the raceway width define the limits of a satisfactory race course. The race course relationship to the spectator areas or other populated area must also be defined. All racing classes require a distance of 500 feet between the primary spectator area and the show line.

3) An additional safety area is required to ensure that spectators are protected in the event that debris leaves a race aircraft. Should this occur while the aircraft is in a turn, the debris will follow a path tangential to the turn from the moment it departs the aircraft.

a) The theoretical straight-line distance to a point on the ground that the debris will follow (ignoring air resistance) depends upon aircraft speed and altitude. This distance is the scatter distance. A maximum racing altitude of 250 feet is acceptable for aircraft weighing in excess of 1,000 lb (presently, the AT-6/SNJ and the Unlimited class). A maximum racing altitude of 150 feet is acceptable for aircraft weighing 1,000 lb or less (presently the International Formula One, Sport Biplane, and Formula V classes). The scatter distance formula for each racing class is shown below.

Scatter Distance Formula

$$S = V \times \sqrt{\frac{2 \times A}{32.2}}$$

$$S = \text{Scatter distance (feet)}$$
$$V = \text{Aircraft speed in ft/sec}$$
$$(V = \text{knots} \times 1.689)$$
$$A = \text{Maximum aircraft altitude (AGL) (150 or 250 feet)}$$
$$32.2 = \text{Acceleration of gravity (ft/sec}^2\text{)}$$

b) The theoretical location of all possible debris impact points from an aircraft in a turn is a circle whose radius is the square root of the sums of the squares of the turn radius and the scatter distance. This radius is the scatter radius.

Scatter Radius Formula

$$S = \sqrt{(R^2 + S^2)}$$
$$Sr = \text{Scatter radius (feet)}$$
$$R = \text{Turn radius (feet)}$$
$$S = \text{Scatter distance (feet)}$$

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c) To provide an acceptable margin of safety, the difference between the turn radius and the scatter radius is multiplied by a safety factor of 1.5 and added to the turn radius to define the safety radius.

Safety Radius Formula

$$\boldsymbol{Sfr = R + 1.5 \times (Sr - R)}$$
$$\boldsymbol{Sfr = \text{Safety radius (feet)}}$$
$$\boldsymbol{Sr = \text{Scatter radius (feet)}}$$
$$\boldsymbol{R = \text{Turn radius (feet)}}$$

4) The critical turn with respect to the safety radius is the turn that enters the portion of the race closest to the spectators. The safety area is constructed as follows:

a) Bisect the course change angle for the critical turn;

b) Mark off the minimum turn radius for the class of aircraft racing, as shown in Figure 3-28A, from the pylon position to a point on the angle bisector; and

c) Draw an arc, whose radius is the safety radius, from the point described in subparagraph 3-151H3)c) above. No spectators can be within this arc (Figure 3-40).

5) In some cases, it may be expedient to design the race course around the spectator area. While spectator area-to-show line distances are unchanged, the safety zone is now outside the spectator area and is no longer a factor. Roads to this kind of a race course layout must be completely closed off to the spectator area during the race.

6) Race courses are normally flown in a counterclockwise direction (left turns). Problem sites may require flying the course in a clockwise direction (right turns). Other modifications of the race course, such as changing the angular relationship of the spectator line to move the crowd away from a turn pylon, or lengthening the race course to move the turn pylon away from the crowd, may also be necessary.

3-152 BALLOON MEETS AND COMPETITIONS.

A. Balloon Meets. Routine balloon ascensions can usually be conducted in accordance with the provisions of part 91, and no waiver is required. However, balloon competitions will likely require a certificate of waiver or authorization with appropriate special provisions to maintain the safety of the nonparticipating public.

B. Balloon Operations. Flight competitions by manned balloons often involve operations at horizontal and vertical distances less than those required by § 91.119(b) and (c). Operations at these altitudes are necessary to take advantage of varying wind conditions at different altitudes that are the balloonist's only means of directional control. These operations are acceptable when appropriate limitations are developed to ensure public safety and the safety of the participants.

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C. Public Safety. Ballooning has grown significantly in recent years, and competitive tasks have been refined and standardized. The FAA's concern is that every effort is made to ensure public safety. The intent of § 91.119 should never be compromised when issuing waivers and developing special provisions.

1) Target areas must be under the control of event officials. The use of portable bull horns or public address systems provides an adequate means for crowd control, or for directing balloonists away from the target area in an emergency. Balloon landings are not normally permitted closer than 1,500 feet from the target or goal, although event officials may allow a reduction of this distance to 500 feet for safety considerations. Only balloon recovery ground support crewmembers and authorized event officials can be present at the landing site.

2) The relatively slow speed of balloons allows spectators to move from harm more easily than at an airshow where fast moving aircraft are performing. Accordingly, the designated spectator area can be minimized to a 200-foot radius away from the designated balloon goal/target. IICs should ensure that the sponsors assure spectators remain clear of the goal/target area during balloon meets or competitions.

D. Balloon Competition Event Waivers. To be found eligible for a waiver of § 91.119(b) and (c), the applicant must prepare and maintain an organized manned balloon competition manual that has been found acceptable by the jurisdictional FSDO. The contents of the manual are the basis for issuance of the waiver. The applicant and the participants must comply with the balloon manual contents and requirements. No operations can be conducted under a waiver except while in VFR conditions during the period from sunrise to sunset, as specified in § 91.155.

1) Event organizers should be asked to submit a set of competition rules when applying for a waiver. Although this is not a regulatory requirement, it should be encouraged for the sake of conformity and safety. These competition rules should generally conform to a recognized industry standard, such as those developed by the Balloon Federation of America (BFA) for events sanctioned by the BFA Competition Division.

2) A waiver of § 91.119(b) and (c) for organized balloon competitions can be issued based on submission of an application containing the proposed operations and contents of the organized manned balloon competition manual. (See subparagraph 3-152E below.)

3) Section 91.119(b) and (c) should be waived only to the extent necessary to accommodate the event while allowing an acceptable level of safety. Evaluation of the site by the IIC determines the actual separation distances for a specific event; however, the following minimum distances and special provisions must be observed.

a) Section 91.119(b) may be waived to allow flight over a congested area at an altitude of no less than 500 feet above the highest obstacle within a 500-foot horizontal radius of the balloon. This section of the regulation may only be waived within a specified maximum distance from designated launch sites and/or target areas. This designated area will be determined by the event organizer and the FAA; this area must also be clearly delineated in the event organizer's manual before the event. (A scaled map, drawing, and/or aerial

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photographs should be in the event organizer's manual before the event.) The designated area should be the minimum area necessary to accommodate the event, and the area should be consistent with the event organizer's ability to control operations. A waiver of § 91.119(b) should not be issued if the target area is so small that a normal descent (200 to 300 feet per minute) cannot be made.

b) Section 91.119(b) may be waived to allow flight above, but not less than 75 feet from, any open-air assembly of persons (designated spectator area) under the direct control of the event organizer.

c) Section 91.119(c) may be waived to allow flight over open water or sparsely populated areas, no closer than 200 feet horizontally to any person, vessel, vehicle, or structure.

E. Organized Manned Balloon Competition Manual. The following is a list of the minimum required topics that must be addressed in the competition manual for a balloon event. Other information may also be included (see Figure 3-41).

1) Responsibilities and procedures:

- Duties of personnel,
- Registration and airworthiness determinations,
- Pilot qualifications,
- Pilot/crewmember briefing responsibilities,
- Copy of letter(s) of agreement, and
- Event flight crewmember qualifications, experience, and maximum numbers onboard each balloon for each type of event.

2) Ground operations:

- Clear areas,
- Spectator areas (designated primary and potential secondary areas),
- Crowd control requirements, and
- Landowner relations/notification.

3) Flight operations:

- Areas of operations,
- Types of operations,
- Altitudes,
- Weather requirements,
- Communications requirements, and
- AT coordination.

4) The organized manned balloon competition manual must incorporate § 91.119(b) and (c) limitations as appropriate to the event in a form and manner acceptable to the FAA and the event organizer. The event organizer should describe in the manual as clearly as possible the manner of operations that are needed to comply with the event waiver.

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5) The organized manned balloon competition manual must include a list and description of all events, tasks, and races to be included in the waiver.

F. Personnel. The organized manned balloon competition manual must contain the names of the following personnel who are responsible for the event:

- Flight director (event director),
- Person responsible for establishing and maintaining crowd control,
- Event organizer's FAA liaison, and
- Persons responsible for obtaining weather data and conducting the pre-event pilot and event flight crewmember briefings.

G. Letters of Agreement. In addition to the organized manned balloon competition manual, a letter of agreement (LOA) clearly detailing all responsibilities may provide an excellent means of control. In the manual, the event organizer outlines the responsibilities assumed, such as crowd control, notification, communication, and briefing of participating pilots and event flight crewmembers. ATC identifies the services they provide, such as up-to-date weather, a portable tower, or direct communication line with the tower. The FSDO identifies the necessary aircraft and airman certification qualifications and site inspection requirements through the waiver process.

H. Balloon Event Flight Crewmembers. Only pilot and event flight crewmembers, as described in the organized manned balloon competition manual, may be carried onboard any balloon operating under the waiver issued to the event organizer.

1) Event flight crewmembers will be restricted to the minimum number required for the type of event as specified in the organized manned balloon competition manual. Event flight crewmembers should be kept to a minimum for competitive events.

2) All event flight crewmembers must have received appropriate training concerning their duties relative to the event, and must attend the event pilot and flight crewmember briefing before each event. These crewmembers must sign a statement that they have been briefed and that they are designated event flight crewmembers for the purpose of the specific event for which the waiver was granted.

3) The PIC of each balloon is responsible for obtaining the signed statements on a form furnished by the event organizer. The PIC will maintain this form during the event and return it to the event organizer and make it available to the FAA upon request.

4) Balloon event flight crewmembers are differentiated from ground support launch and recovery crewmembers.

I. Maximum Wind Speed. The maximum wind speed for launch and at the target zones is mutually determined by the event organizer/flight director and the FAA. Place these limitations in the operations manual. Determine the maximum wind speed limitations after considering the local terrain conditions and the competency of the participating airmen and the limitations of the aircraft. If a balloon does not have an FAA-approved flight manual, operating

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limitations can be found on the Type Certificate Data Sheet (TCDS). The actual means of determining the wind speed must be mutually agreeable to the FAA and the event organizer. The IIC and/or the event organizer/flight director may wish to consider moving the designated spectator area barriers if the wind speed is excessive.

J. Types of Competitive Tasks. Competitive tasks are exercises in navigation using changes in wind direction. The winner of a task is the balloonist who can best take advantage of changes in wind direction by ascending and descending. Event organizers generally engage launch directors to control staggered launch times and ensure safety for multiple launches. The following are some typical balloon competitive tasks, based on information provided by the BFA. See Figure 3-41 for detailed descriptions of the tasks.

- Pilot declared goal,
- Judge declared goal,
- Multiple judge declared goal,
- Elbow,
- Hare and hound,
- Convergent navigational task (CNT),
- Fly on task,
- Gordon Bennett memorial,
- Watership down, and
- Key grab.

3-153 EVENT MANAGEMENT.

A. Management Organization.

1) The event organizer of an aviation event may be an individual, a group of individuals, or an organization that will designate a responsible person to act on all matters pertaining to an FAA-issued certificate of waiver or authorization.

2) The responsible person of an aviation event has the overall responsibility for the conduct of the airshow in a safe manner and in accordance with the conditions contained in FAA Form 7711-1, issued for the airshow.

3) The IIC should work closely with the responsible person to develop normal and emergency plans, briefings, and checklists.

B. Briefing (See Figure 3-41A). The importance of the participant briefing to the safe and successful conduct of a special aviation event cannot be overemphasized. At a safety briefing review all aspects of the flying, ground, and emergency procedures of the proposed airshow. Conduct the briefing in such a way that each of the performers and airshow personnel in charge of the air, ground, and emergency operations leaves the briefing with a clear understanding of their responsibilities and procedures to be followed in normal or emergency situations that may occur during the course of the aviation event.

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1) The requirements for a briefing held at an aviation event are as follows:

a) Conduct a briefing before the beginning of an aviation event on each day of the event. A night show briefing can be incorporated into this briefing if all parties are present;

b) Carry out a briefing in an area as free of noise and other distractions as possible, and you must limit attendance to flight crews, appropriate flight crew support staff, parachutists, ground performers such as pyrotechnic teams, public announcers, and other key event personnel as determined by the air boss and/or IIC;

c) Verify each participant's attendance at a briefing by roll call or otherwise, and a record retained for submission to the IIC, if requested;

d) Performers who are not briefed are not permitted to participate in the aviation event covered in the briefing;

e) For team performances, only the team leader is required; however, a delegate may represent the team leader, provided the person is a pilot member of the team;

f) For an aircraft that is to be launched from a remote airfield, the briefing may be given to the aircraft's pilot by telephone; and

g) The briefing is conducted at a time as close to the performance time as practicable.

2) The briefing must cover the following points, at a minimum:

a) Key aviation event personnel (to include essential and event organizer personnel) are introduced and the means of communication with them is described.

b) Weather—the briefing should be given by a meteorologist if one is available, but may be given by a flight specialist or experienced pilot. The briefing need only cover aspects of the weather that are significant to the conduct of the aviation event such as the altimeter setting, cloud cover or ceiling, visibility, winds and temperature, density altitude, and other weather data forecast for the period of the event. If a low ceiling program (marginal weather) has been approved, the weather minima and a "low show" program must be briefed. If § 91.155 (cloud clearance) is waived, this must be briefed.

c) The airport airspace details, such as position, dimensions, height above MSL, the airspace in accordance with the NOTAM and/or any TFRs issued for the aviation event, local obstructions, warnings, and other pertinent information.

d) The method of coordinating AT, including type of coordination, such as positive control by ATS, advisory by Flight Service Station (FSS), or other. This aspect of the briefing must include airshow frequencies and assigned radio call signs, if necessary. The method(s) of suspending the performance or recalling a performer by both radio and visual signals must be described.

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e) The aviation event site, including the position of the primary spectator areas, secondary spectator areas, show lines, show center, airshow demonstration area, hazards, direction of entry/exit lanes, holding areas, and alternate airports using aerial photographs, maps, scale diagrams, or other means of depiction.

f) The performance schedule will include a performer's on stage time and routine duration time. Additional timing information (e.g., startup, taxi, takeoff, show and landing timings) may be included at the discretion of the briefer. Participants, if required, are to note their onstage and offstage timings if required. Performers should be aware of the position of the act they follow and location for the start of their performance. During this portion of the briefing, other programmed flying events before, during, or after the airshow portion itself, such as balloons, parachutists, flybys, and similar aerial displays, must be covered.

g) Wake turbulence can be a factor at any airshow where there is a mix of participants and should be addressed in preparing the flight program and mentioned at the briefing as a precaution to participants.

h) The fire fighting and emergency services equipment available, including their location and the access routes to be kept clear, must be discussed.

i) Pyrotechnic briefing, in accordance with subparagraph 3-147U. The pyrotechnic briefing card must be used by the shooter in command (Figure 3-39).

j) Identification and location of all participating aircraft equipped with operable ejection seats, jettisoned fuel tanks, or ballistic parachute systems.

k) Time check—to ensure all participants are using the same time for airshow coordination.

l) The flight operations director or other person responsible for flight operations ensures that each performer understands the applicable special provisions with respect to individual low-level authorizations contained in the certificate of waiver issued for the airshow.

m) Circling the jumpers—all key personnel involved with circling the jumpers must complete the briefing described in Figure 3-42.

n) Any other subjects as necessary.

NOTE: Examples of other subjects that have been included in briefings are medical factors affecting pilot performance (e.g., over-the-counter medication, pilot fatigue, heat stress), and factors affecting orientation of flight (e.g., over water or unusual terrain). It is suggested that, at the briefing on the final day of an airshow, a "Departure Briefing" be included to advise participants of ATC procedures, etc., to be followed on leaving the airshow site. Remind pilots that their departures are to be normal and that no "ad hoc" demonstrations are to take place during their departures.

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3-154 WEATHER CONDITIONS.

A. Day.

1) Flight demonstrations will not be conducted unless the ceiling is at least 1,500 feet, and the visibility is at least 3 statute miles at the time of the demonstration.

2) Except for North American military performers, aerobatic maneuvers conducted by CAT III aircraft during flight demonstrations will not be conducted unless the ceiling is at least 1,500 feet, and the visibility is at least 3 statute miles at the time of the demonstration.

3) The FAA monitor may adjust the minimum ceiling and visibility requirements at his or her discretion, but no less than 1,000 feet and 3 statute miles if:

a) Except for North American military performers, aerobatic maneuvers are conducted by CAT III aircraft only within an operations area having a diameter of no more than 2 statute miles; and

b) To the surface as a result of the reduced weather conditions.

4) Originally scheduled aerobatic maneuvers are not modified or conducted in close proximity to the surface as a result of the reduced weather conditions.

5) The FAA monitor may specify a higher ceiling minimum and a higher visibility minimum where justified by the presence of surrounding terrain or other local condition.

6) Flight demonstrations may be conducted “clear of cloud” when the requirements have been met to waive § 91.155, cloud clearance requirements.

B. Night. The minimum weather conditions at night require a cloud base no lower than 2,500 feet and 3 statute miles visibility.

C. Military. Military participants must comply with minimum weather requirements established in the command-approved maneuvers package, except when the minimum weather requirements are less restrictive than the policy established in this order.

3-155 SPECIAL PROVISIONS. Special provisions are conditions, requirements, or limitations necessary to protect nonparticipating persons, property on the surface, and other users of the national airspace system. Each certificate of waiver or authorization must include special provisions as determined by the issuing FSDO.

A. Applicability. Many safety provisions are general in nature and are applicable to most aviation events. Other provisions may apply only to certain types of events. Provisions that appear on the waiver or authorization should be restricted to protective measures, controls, or requirements that are not otherwise specified by the regulations. Regulatory requirements that are not waived should not be included as special provisions. Waiver provisions never supersede aircraft airworthiness operating limitations.

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B. Ensuring Safety. The special provisions ensure that the event can be conducted without an adverse effect on safety. Every waiver/authorization must contain special provisions to ensure an equivalent level of safety with the rules that are waived for the nonparticipating public and nonparticipating AT.

C. Use of Special Provisions. Some events require extensive and highly detailed special provisions, whereas the special provisions for other events can have less detail. In addition to variation among events, local conditions may have a significant impact on the necessary special provisions.

1) Special provisions may pertain to associated protective measures and control requirements that may not be specifically covered by the regulations. In addition, it may be necessary to increase one regulatory minimum in order to authorize safe deviation from another. For example, in order to permit aerobatic flight in Class D airspace, it might be necessary to increase the minimum visibility requirement to 5 miles or some other appropriate value.

2) When applicable, IICs should insert the name of the responsible person, found in Block 2 of the application, into the text of the special provisions to indicate the holder of the certificate of waiver or authorization.

3) Type the provisions with as little editorial change as possible onto the certificate of waiver or authorization form or on attached pages. Any special provisions add that are not listed on the airshow Web site (see subparagraph D below) must have Regional or National Air Show Coordinator approval before inclusion except for ATC instructions. Only include applicable special provisions. Numbers and language can be inserted or changed to suit each event only when necessary, appropriate, and in accordance with the guidance in this handbook. Editorial comments enclosed in square brackets, [ ], should not be included on the certificate.

D. Examples of Common Special Provisions. The list of special provisions are found on the Internet at http://www.faa.gov/about/initiatives/airshow/waiver.

3-156 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of regulatory requirements in part 91 and FAA policies and qualification as an ASI (Operations).

1) The inspector assigned this task is also responsible for the surveillance of the aviation event (see Volume 6, Chapter 11, Section 10, paragraph 6-2371).

2) The inspector assigned this task and the subsequent surveillance must have completed OJT and participated in issuing a certificate of waiver and the surveillance of three aviation events with an inspector qualified in this task.

3) For an aviation event at which a military demonstration team performs, the inspector must have satisfactorily completed OJT (including participation in the feasibility study, the preseason evaluation meeting, waiver preparation, and airshow surveillance) at an event that includes a military demonstration aerobatic team.

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B. Coordination. This task requires prior coordination with the appropriate AT facility and the airworthiness unit.

3-157 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 1, 61, 91, 103, 105, 133, and 139.
- AC 91-45, Waivers: Aviation Events.
- AC 103-7, The Ultralight Vehicle.
- AC 105-2, Sport Parachuting.

B. Forms:

- FAA Form 7711-1, Certificate of Waiver or Authorization (Figure 3-34).
- FAA Form 7711-2, Certificate of Waiver or Authorization Application (Figure 3-32 and 3-33).
- FAA Form 8710-7, Statement of Acrobatic Competency (Figure 3-35).
- Transport Canada Form 26-0307, Statement of Aerobatic Competency (Figure 3-36).

C. Job Aids:

- Sample letters and figures.
- Job Task Analysis (JTA): 2.5.14, 4.7.2.

3-158 GENERAL PROCEDURES.

A. Determine if a Waiver or Authorization Is Required. If the event cannot take place in compliance with the regulations, a waiver is required.

1) If a waiver or authorization is not required, no further action is required with this task.

2) DD Form 2535, section IV, should be completed and signed if requested by an event sponsor. These forms are required for vehicle and static displays, as well as for military flight demonstrations and flybys.

NOTE: DD Form 2535 can be found by going to one of the FAA airshow sites and selecting one of the DOD teams. The team names are hyperlinked to the team Web sites from which you can view, print, or download this form. The USAF and the USMC (U.S. Marine Corps) requires the sponsor to apply on their Web site for any type of support, flying or static displays (see http://www.faa.gov/about/initiatives/airshow/).

3) If a waiver or authorization is required, brief the applicant on preparing FAA Form 7711-2.

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B. PTRS. Open the PTRS File. Enter “1220” in the “Activity Code” box of the PTRS transmittal form and enter “PA” in the “National Use” box if the COA was issued for parachuting. Enter “1230” in the “Activity Code” box and enter “AS” in the “National Use” box if issued for an airshow, “AR” for an air plane air race and “BE” of any type of balloon event. Enter “1231” in the “Activity Code” box and enter “WI” in the “National Use” box if a waiver will be issued and “NW” if no waiver will be issued for the operation requested.

C. Brief Applicant.

1) Advise applicant on the procedures to prepare FAA Form 7711-2.

2) Advise the applicant on the procedures to obtain the current editions of AC 91-45, AC 103-7 (if applicable), and AC 105-2.

3) Provide applicant with FAA Form 7711-2 (Figure 3-32 through 3-33A).

3-159 ADDITIONAL PROCEDURES FOR MILITARY APPLICANTS. In addition to the procedures in paragraph 3-158 and paragraph 3-160, conduct the following procedures for military applicants.

A. Determine if a Feasibility Study is Required. A FAA feasibility study is required when a waiver is required.

B. Conduct Feasibility Study.

1) Determine if an onsite inspection is required. An onsite inspection is required when:

a) The inspector is unfamiliar with the area of the scheduled event;

b) It has been more than 1 year since the last onsite inspection;

c) There has not been an aviation event or flyby requiring a waiver there before; and/or

d) There may be new construction or other unique environmental changes near the site.

2) If an onsite inspection is required, review the documents submitted with the request for FAA completion of DD Form 2535, section IV. The documents that must be submitted by the event organizer are:

a) Use templates of the proposed maneuvers overlay for the proposed site (the maneuvers package for the current year should be used to evaluate the site);

b) Current 7.5-minute series Topographic Quadrangle Map published by the U.S. Geological Survey (USGS) (scale 1:24,000) for the area or current aerial photographs of the required airspace for the event, as necessary, to conduct the feasibility study.

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3) The inspector will determine the following for an aerial demonstration:

a) If the operating area is large enough to contain the aerobatic maneuvers;

b) Whether proposed egress and ingress routes adversely impact safety; and

c) Whether a waiver of § 91.119(b) and (c) is necessary.

4) The inspector will determine for a military flyby:

a) If the operating area is appropriate to conduct a flyby at 1,000 feet above the highest obstacle, and 2,000 feet laterally of an obstruction;

b) If it can be conducted in accordance with part 91 without a waiver.

c) Whether proposed egress and ingress routes adversely impact safety.

C. Complete Applicable Section of DD Form 2535. Fill in the appropriate FAA blocks on the form, with special emphasis on Block 17;

1) For an aerial demonstration, select one of these three classifications:

a) Satisfactory classification. A waiver can be issued following compliance with standard requirements of this chapter.

b) Conditional-satisfactory classification (most common). The remarks section specifies specific conditions that must be met, such as closing roads, evacuating buildings, compliance with a crowd control plan, and minimum altitudes on ingress and egress routes.

c) Unsatisfactory classification. The requested activity cannot be performed safely at the proposed site, and a waiver will not be issued.

2) For a military flyby, select one of these three classifications:

a) Satisfactory. The flight can be conducted without a waiver.

b) Conditional-satisfactory classification. The remarks section specifies certain conditions that must be met and a waiver is required:

- A briefing between the PIC and ASI must be conducted before the flyby;
- Compliance with all nonwaived section of part 91 is required; and
- An authorization and agreement of the conditions from the commanding officer must be submitted to the ASI.

c) Unsatisfactory classification. Requested activity cannot be performed safely at the proposed site, and a waiver will not be issued.

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3) The ASI must ensure the information in the remarks section of DD Form 2535 is coordinated with the commanding officer authorizing the aerial demonstration or military flyby if a waiver is required.

4) Sign the form.

5) Retain a copy of DD Form 2535 for the office file. Return the original to the show sponsor.

D. Preseason Evaluation Meeting. Attend the preseason evaluation meeting for those events at which the USAF Thunderbirds or the USN Blue Angels participate. At this meeting, the inspector should discuss the following:

- Proposed special provisions of the certificate of waiver or authorization;
- DD Form 2535;
- Onsite evaluation;
- Conditional-satisfactory requirements;
- Safety concerns unique to the site;
- Past events, if appropriate;
- Review of request for a waiver to § 91.119(b) or (c) and submitted supporting documents; and
- Proposed egress and ingress routes and requests for flight along those routes below 500 feet AGL that will require FAA approval.

3-160 GENERAL PROCEDURES CONTINUED.

A. Evaluate FAA Form 7711-2. Using the information provided by the applicant and the background in section 1, review FAA Form 7711-2 for all pertinent information and supporting documents for the proposed aviation event. Accept strikeovers that are minor in nature and initialed by the applicant. Blocks 11 through 16 apply to airshow waiver requests only.

1) Blocks 1 and 2—Name of Organization and Responsible Person. Ensure that the applicant has indicated the name of the organization in Block 1. Annotate “N/A” in Block 1 if an individual is applying. Annotate the name of the responsible person or the individual applying in Block 2.

2) Block 3—Permanent Mailing Address. Ensure that the applicant indicates the permanent mailing address of the organization named in Block 1 or the individual named in Block 2.

3) Block 4. Enter “N/A” since this pertains to banner towing only.

4) Block 5. Enter “N/A” since this pertains to banner towing only.

5) Block 6—Section and Number To Be Waived. Ensure that the applicant has listed all sections of the regulations to be waived.

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6) Block 7—Description of Proposed Operation. Determine if the applicant has correctly indicated the type of aviation event.

7) Block 8—Area of Operation. Ensure that the applicant has listed the specific locations and the lateral and vertical limits of the aerial demonstrations.

8) Block 9—Beginning Date and Hour and Ending Date and Hour. Check for a beginning date and time, and an ending date and time for the aviation event.

9) Block 10—Aircraft and Pilots. Check for aircraft make and model, pilot names, certificate numbers and ratings, and full home addresses. A notation stating the show line CAT must be annotated with each make and model of aircraft. Ensure that parachutist names, license class, and addresses are included. Block 8 may be accepted with a statement, "A list containing aircraft and pilot information (and/or parachutist information) will be furnished on [applicant enters a specific date and time]."

10) Blocks 11 and 12—Event Organizer. Ensure that the applicant has indicated the event organizer (organization or individual) of the aviation event and the event organizer's address.

11) Block 13—Policing. Ensure that the applicant has described provisions for policing the event. Specify if a written formal plan has been provided to IIC. Block 11 may be accepted with a statement "A crowd control plan will be furnished on [applicant enters a specific date and time]" or "crowd control plan N/R" (if approved by IIC).

12) Block 14—Emergency Facilities. Ensure that the applicant marked all blocks that will be available at the time and place of the event.

13) Block 15—ATC. Ensure that the applicant has described the method of controlling AT, including the arrival and departure of aircraft, requested TFR in accordance with § 91.145, as applicable, and has coordinated with the appropriate FAA ATC. Add a notation stating if TFR requested from ATC.

14) Block 16—Schedule of Events. Ensure that the applicant has listed all events and dates and times. Block 16 may be accepted with a statement "A final schedule of event will be furnished on [applicant enters a specific date and time]."

15) Block 17—Certification. Ensure that the applicant has signed and dated the application.

B. Determine if Application Is Complete.

1) Application Incomplete or Inaccurate. If the application is incomplete or inaccurate, complete the "FAA Action" block on FAA Form 7711-2 by marking "Disapproved." Write the reason for disapproval in the "Remarks" section. Return the application to the applicant.

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2) Application Complete. If all pertinent information and supporting documents have been submitted with the application and the application is complete and correct, evaluate the proposed operation.

C. Evaluate Proposed Operation. Use the application information and the items listed below to determine if the proposed operation can be accomplished without an adverse effect on safety:

1) Review, if applicable, previous certificates of waiver or authorization issued for aviation events at the same location.

2) Coordinate the use of controlled airspace with the appropriate AT facility as soon as possible. Include any limitations or special conditions considered necessary by the ATS as part of the certificate of waiver or authorization.

3) Using the list of participating aircraft, verify that the airworthiness unit completed the required documents.

4) Using the list of participating aircraft and Table 3-1A, determine the required show line distance.

5) Accompanied by the applicant, conduct an onsite visit to sites used for the first time and to sites unfamiliar to the inspector.

a) Clarify or confirm information submitted with the application.

b) Verify the distances and the location of the show and reference lines.

6) Verify that NOTAM has been issued and is appropriate.

a) A copy of the published NOTAM should be attached to the waiver.

b) Brief the NOTAM at each pre-show briefing for all participants.

D. Review Waiver Requests for § 91.119. Determine if a waiver of § 91.119 is appropriate.

1) Waive § 91.119(b) and (c) only if the pilot will still be in compliance with § 91.119(a).

2) Waive § 91.119(b) and (c) only for non-aerobatic flight, while temporarily exiting or returning to the operating area. Use the standards discussed in section 1.

3) Waive § 91.119(c) only if unoccupied structures are involved, or to allow participating personnel, vehicles, or vessels to be positioned closer than 500 feet from the performing aircraft.

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4) Waive § 91.119(b) and (c) for flight over structures, roads, vehicles, or vessels under the following conditions for the USAF Thunderbirds, USN Blue Angels, and Canadian Defense Forces Snowbirds:

a) When the show line is generally aligned with a runway at an active airport;

b) When ingress and egress transition of the operating area coincides with established approach or departure paths used for the designated runway;

c) When aerobatic flight will not be conducted over any nonparticipating persons; and

d) When non-aerobatic flight over nonparticipating persons is not closer than 500 feet but may be as low as 200 feet above unoccupied obstacles less than 500 feet laterally from ingress/egress route while flying within 3 NM from the show center.

5) Consult with the regional airshow coordinator as necessary.

E. Approve or Disapprove Waiver.

1) Waiver Disapproval. If the entire operation cannot be approved, complete the "FAA Action" block on FAA Form 7711-2 and state the reasons for disapproval in the "Remarks" section of the form. Return the application form to the applicant.

2) Waiver Approval. If the entire operation can be approved, complete the "FAA Action" block on FAA Form 7711-2 and develop the special provisions.

F. Develop Special Provisions List. Develop the list of special provisions appropriate to the aviation event using the information submitted with the application and the suggested special provisions on the airshow internet site (http://www.faa.gov/about/initiatives/airshow).

G. Issue Certificate of Waiver or Authorization.

1) Complete FAA Form 7711-1, (Figure 3-34) as follows:

a) Enter the waiver holder's and responsible person's names and addresses as they appear in Blocks 1 and 2 on the application.

b) Include a brief summary of the aviation event in the "Operations Authorized" block. For aviation events involving aerobatic flight, clearly define the dimensions of the affected airspace. In the case of parachute demonstration jumps, use the following statement, "Parachute demonstrations are authorized in accordance with § 105.21."

c) Except for parachute demonstrations, include in the "List of Waived Regulations" and "Title" blocks each specific regulation waived by the FAA. Ensure that the listed regulations correspond to those on FAA Form 7711-2 and conform to § 91.905. When many regulations are involved, list the specific rules on a separate sheet of paper and attach it to the certificate. Use the following statement, "A list of waived regulations is attached."

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d) Place the total number of special provisions in the appropriate spaces in the "Special Provisions" block.

1. Type and sequentially number the special provisions on the reverse side of FAA Form 7711-1 or on separate pages.

2. Use only the special provisions, which apply to the operations in the waiver or authorization application.

3. Group the provisions by type of event, such as airshow provisions or parachute demonstration jump provisions.

e) Attach any additional pages to the certificate of waiver or authorization.

f) When an aviation event is scheduled for multiple days, uses a separate sheet to list the dates and times the certificate is in effect, if needed. Use the following statement: "See attached page [insert appropriate page number] for dates and times."

g) Have the jurisdictional FSDO manager or their designated representative, which may be either the assistant manager or another supervisor from within that jurisdictional FSDO sign FAA Form 7711-1.

2) Attach to FAA Form 7711-1 a copy of FAA Form 7711-2 and its supporting documents.

3) Distribute FAA Forms 7711-1 and 7711-2 as follows:

a) Place a copy of both forms in the FSDO file;

b) Send a copy of FAA Form 7711-1 to all affected AT facilities; and

c) Return the original of both forms to the applicant.

H. PTRS. Make the appropriate PTRS entry.

3-161 TASK COMPLETION. Completion of this task results in one of the following:

- Issuance of a certificate of waiver,
- Issuance of a COA, or
- Denial of an application for a certificate of waiver or authorization.

3-162 FUTURE ACTIVITIES.

- Surveillance of an aviation event.
- Possible cancellation of the waiver or authorization as a result of noncompliance with its provisions.
- Consideration of a future application for waiver or authorization from the same or other applicants.

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Figure 3-24. Example of an Airshow Layout

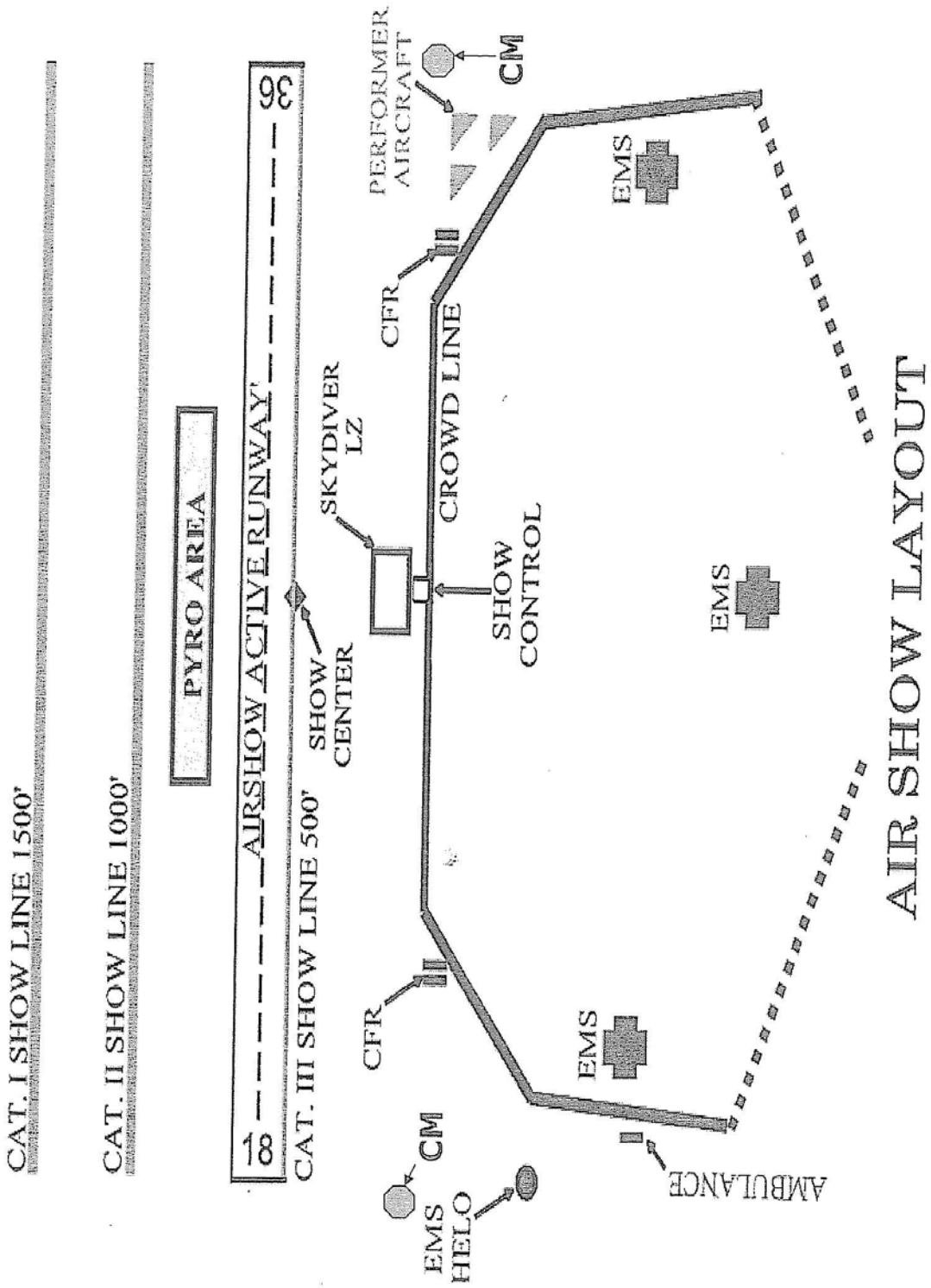

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Figure 3-25. Minimum Separation Distance (200 Feet) Between Runway or Takeoff Area and the Primary Spectator Area

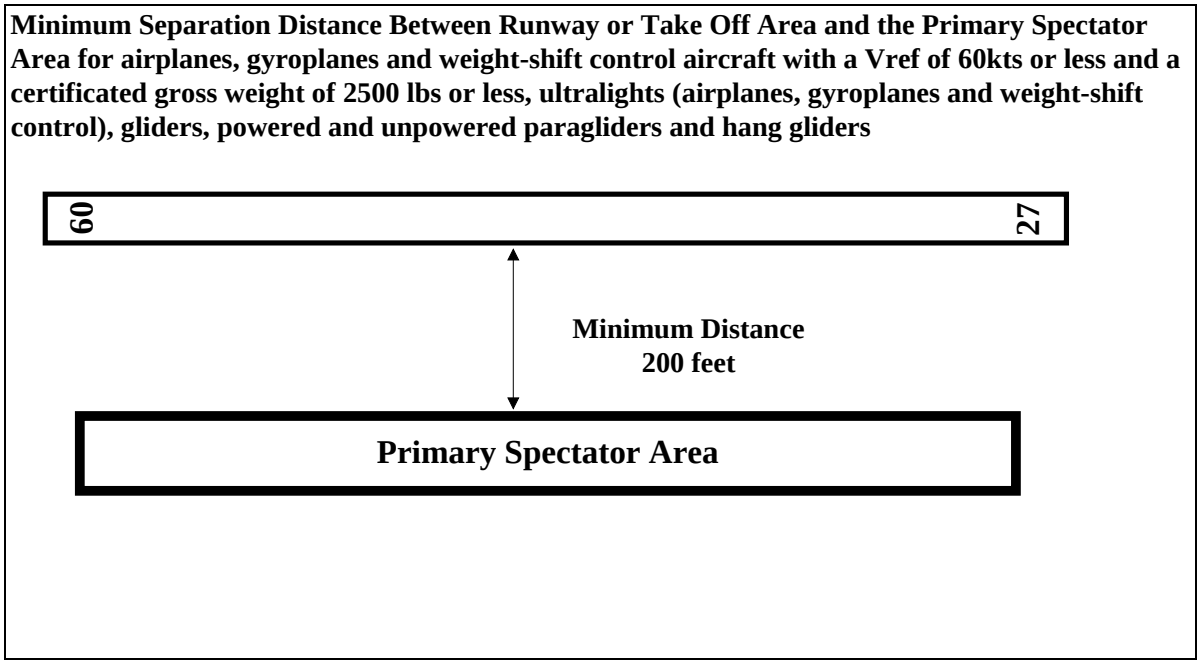

Figure 3-25A. Minimum Separation Distance (300 Feet) Between Runway or Takeoff Area and the Primary Spectator Area

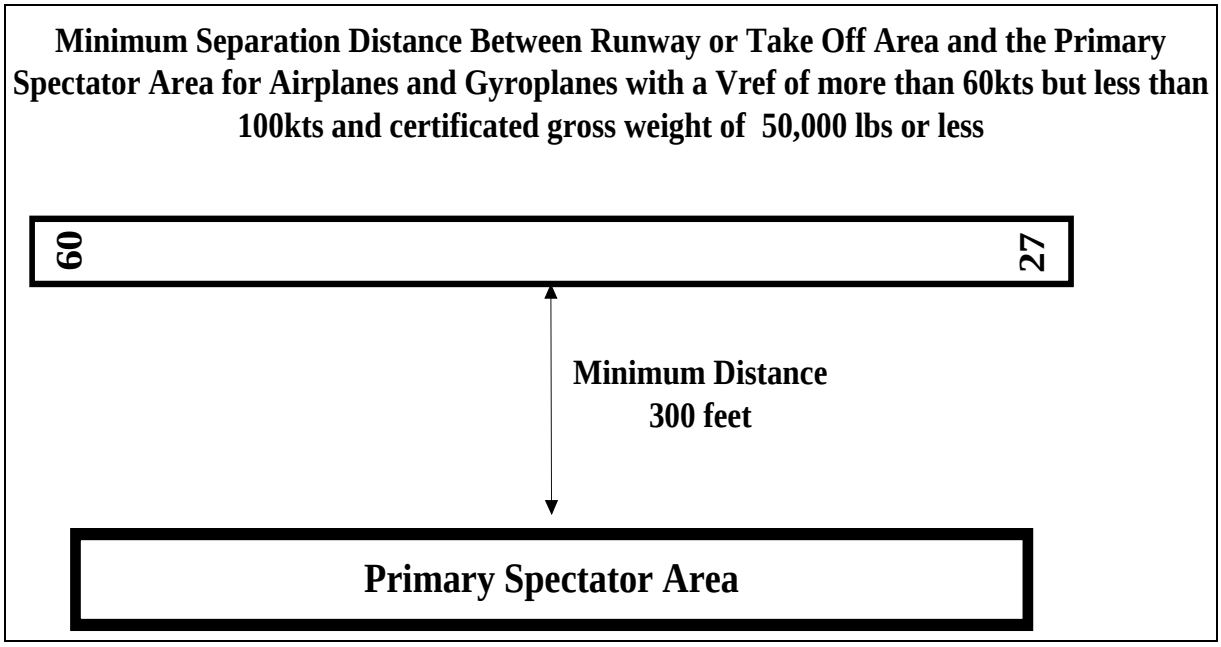

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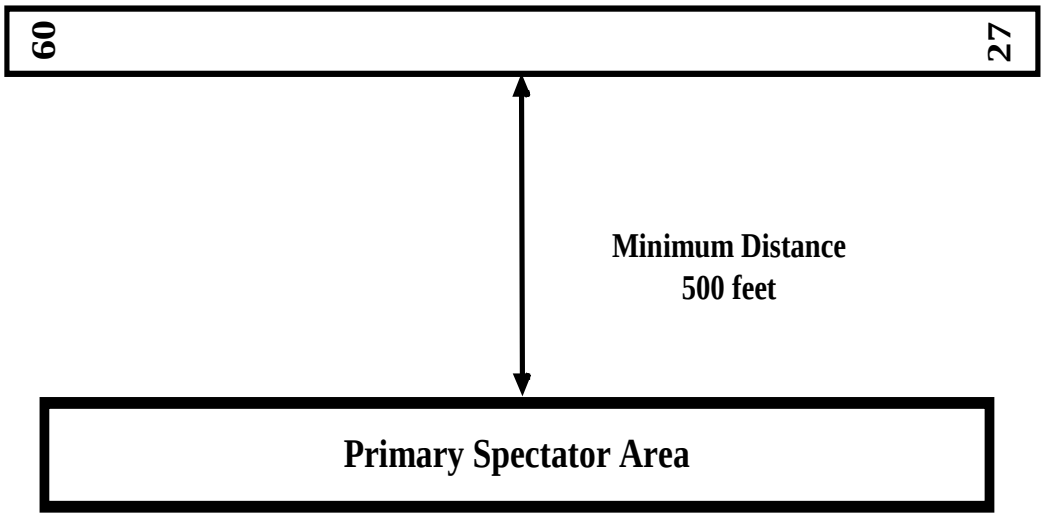
Figure 3-25B. Minimum Separation Distance (500 Feet) Between Runway or Takeoff Area and the Primary Spectator Area

Minimum Separation Distance Between Runway or Take Off Area and the Primary Spectator Area for Airplanes with Vref in excess of 100kts, Airplanes and Gyroplanes with a certificated gross weight in excess of 50,000 lbs and Airplanes and Helicopters conducting excessive, non-aerobatic maneuvering on takeoff or landing (comedy acts)



As per par. 3-147H(1), the minimum distances illustrated in this diagram for:
a) single aircraft operations conducted on the centerline are to be measured to the runway centerline; and
b) formation takeoff/landing operations, are to be measured to the runway edge.

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Figure 3-26. Minimum Distance from Spectators for Category I

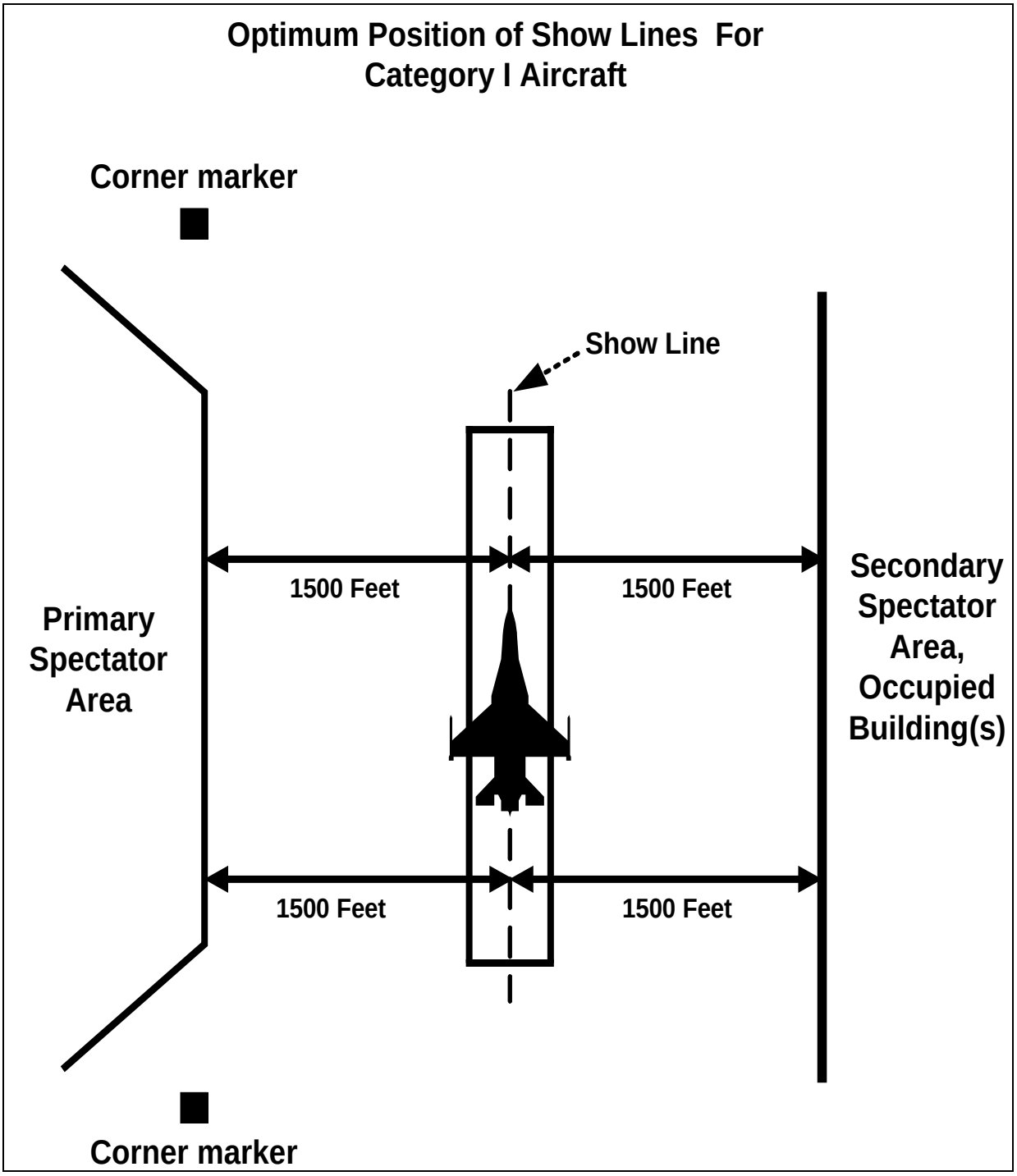

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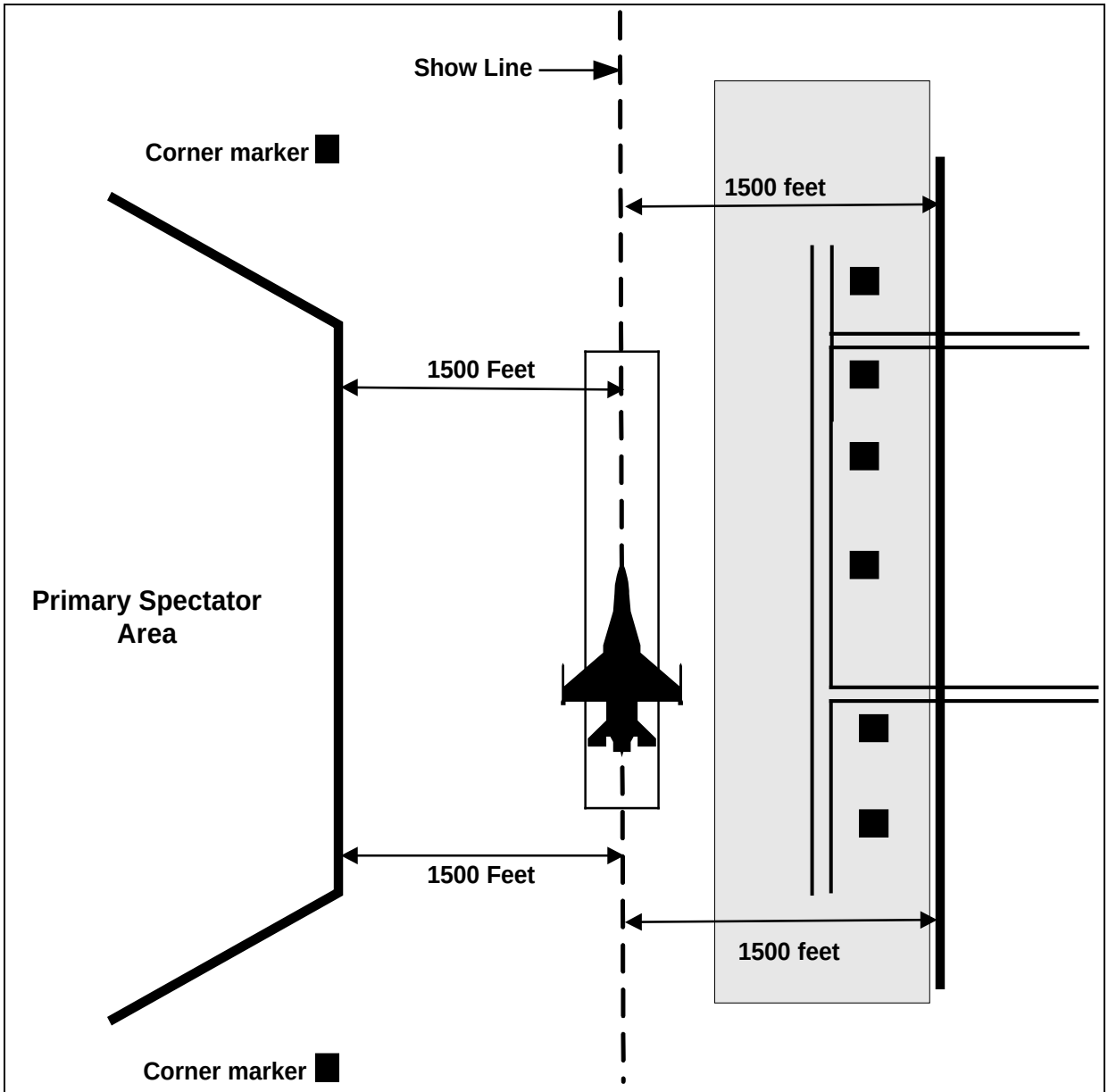
Figure 3-26A. Site Layout with Flying Display Area Less Than 1500 Feet from Show Line



Note: In the example depicted above, the buildings and the roads lie within the flying display area less than 1500 feet from the show line. For this site layout to be approved, all buildings must be vacated and road access denied to highlighted area.

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Figure 3-26B. Example of Category I Aircraft Formation on Show Line

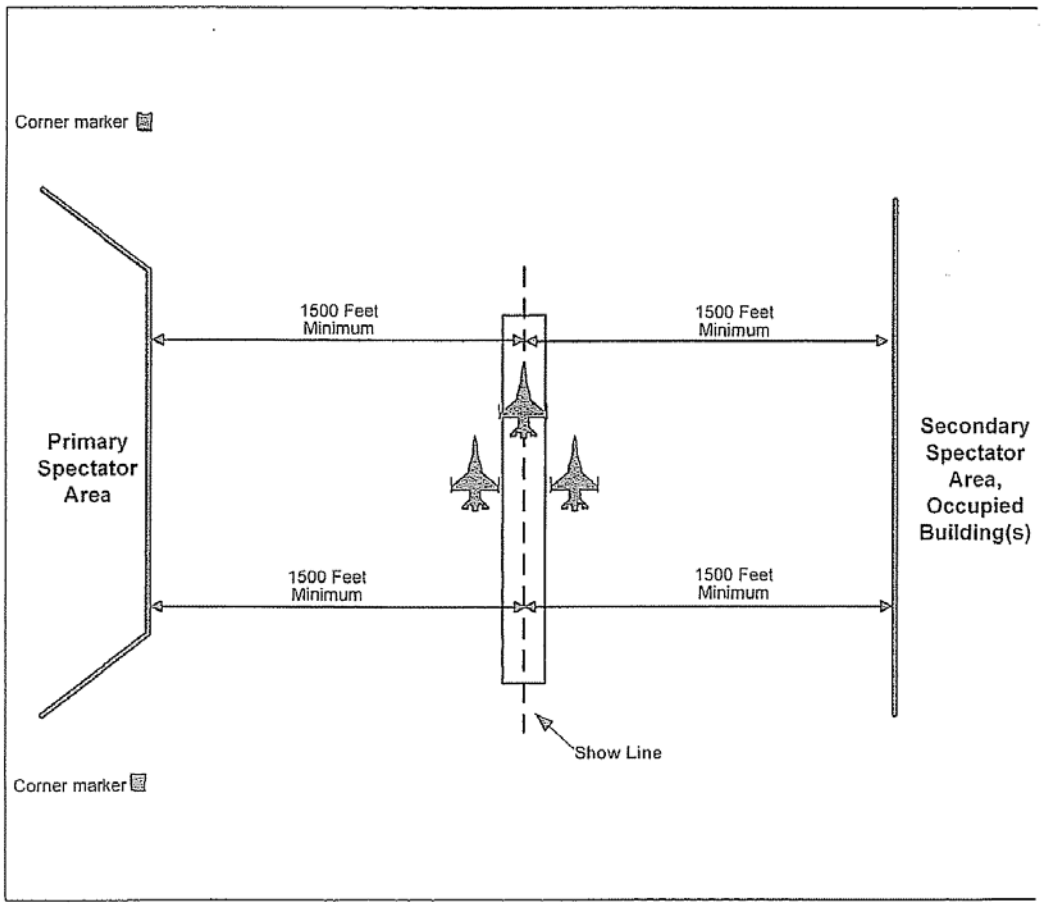

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Figure 3-26C. Minimum Distance from Spectators for Category II Aircraft

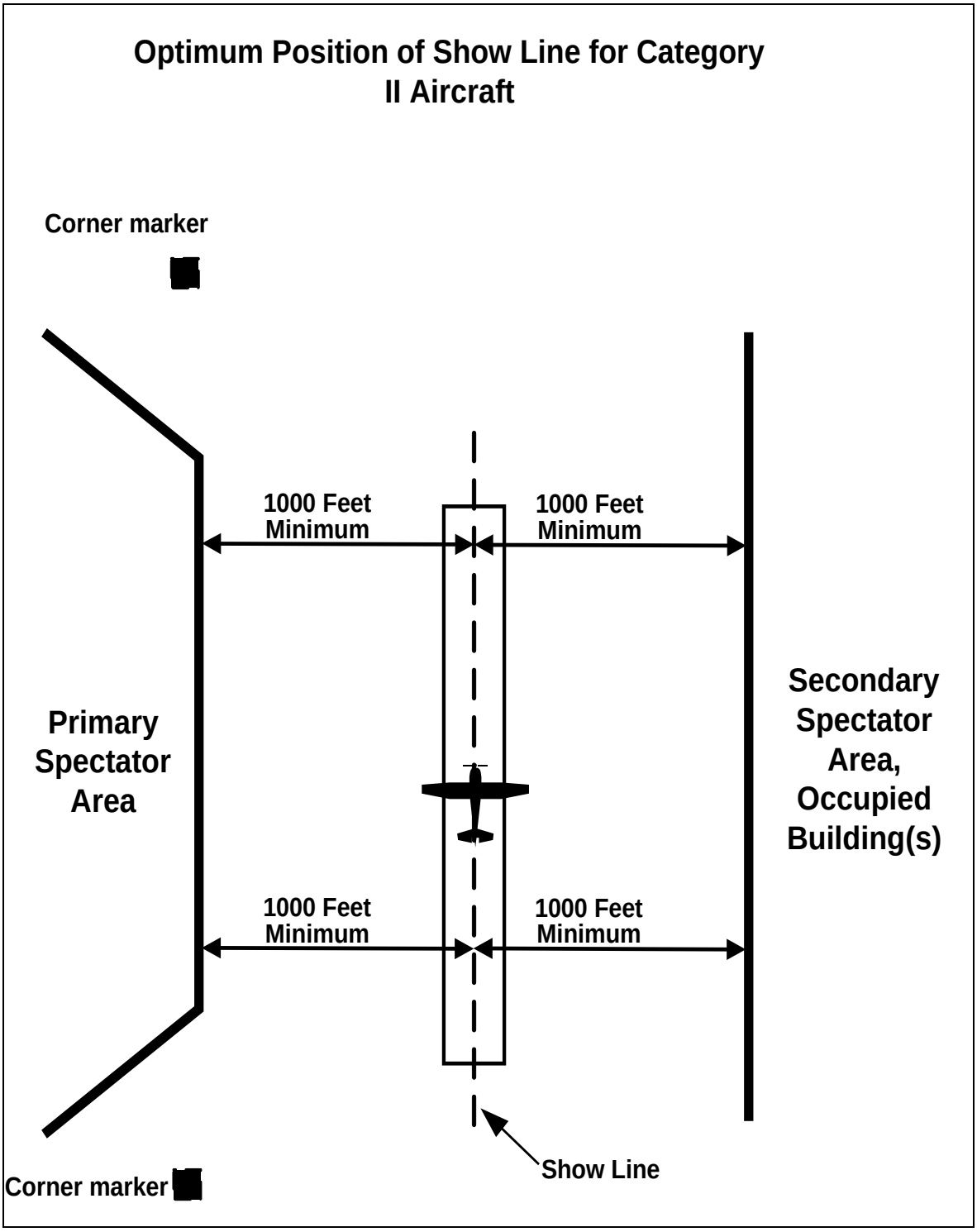

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Figure 3-26D. Example of Category II Aircraft Formation on Show Line

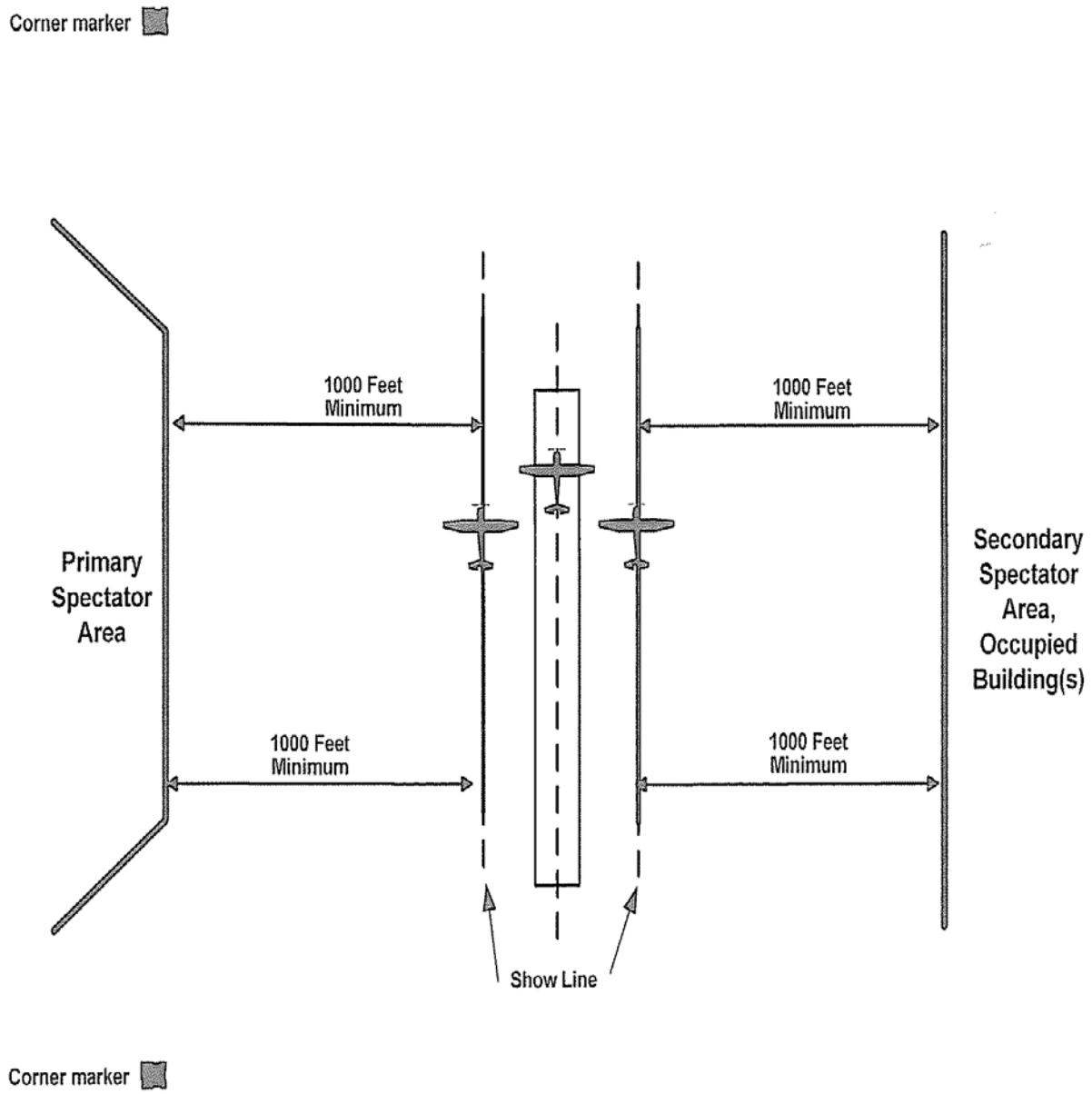

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Figure 3-27. Single Category III Aircraft in Minimum Width Flying Display Area

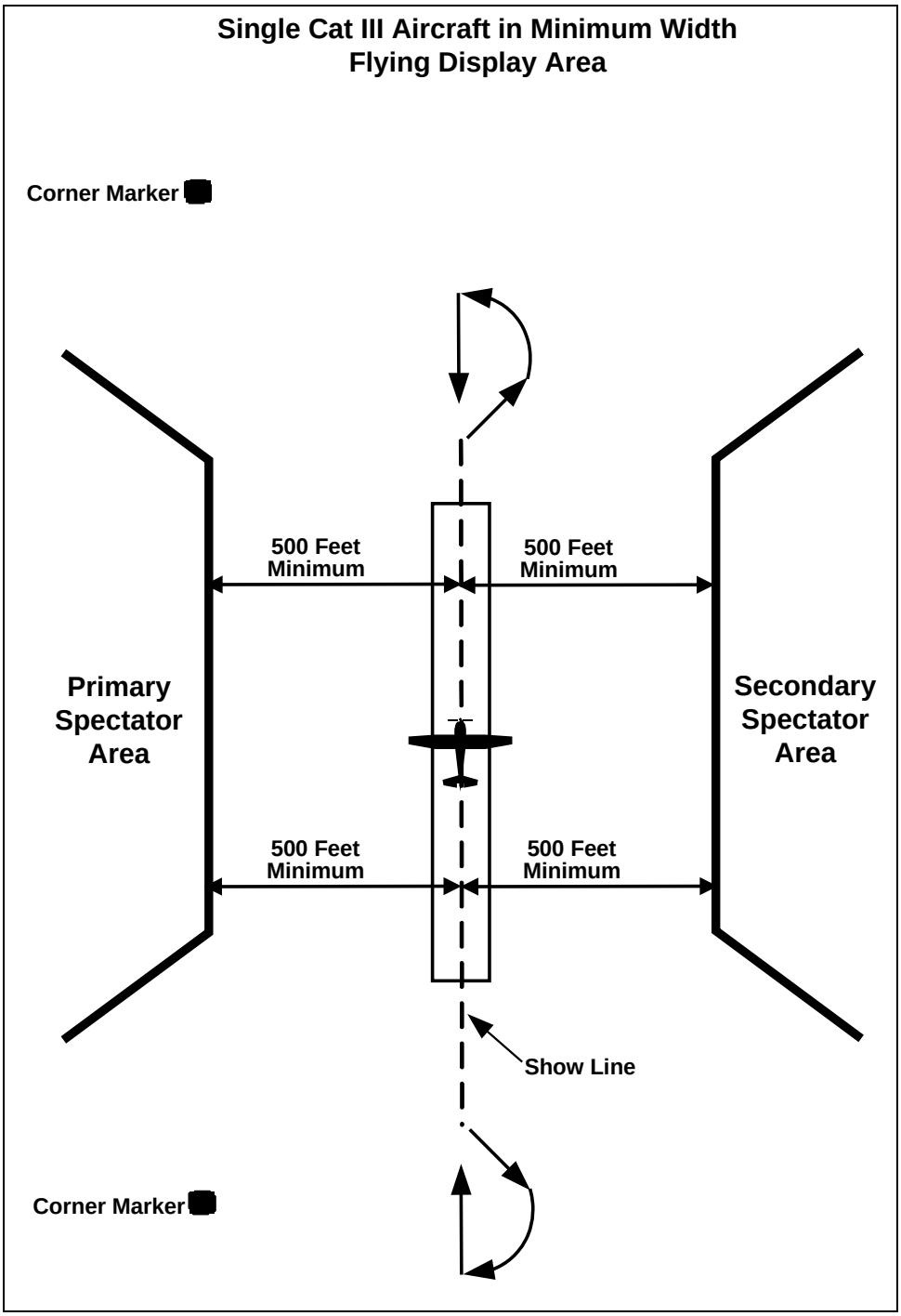

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Figure 3-27A. Minimum Width of a Flying Display Area for Category III Aircraft Performing Lateral and/or Turning Maneuvers

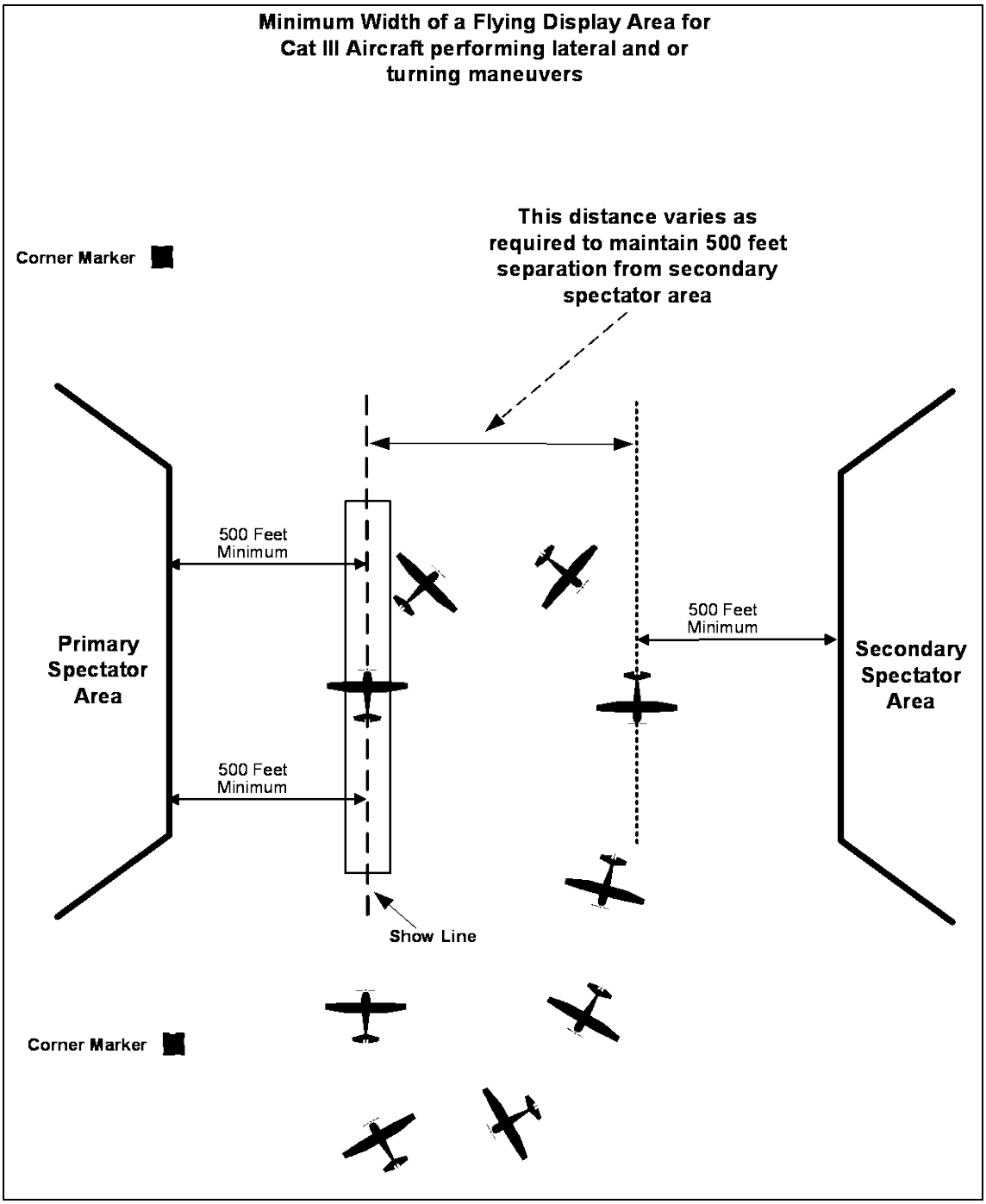

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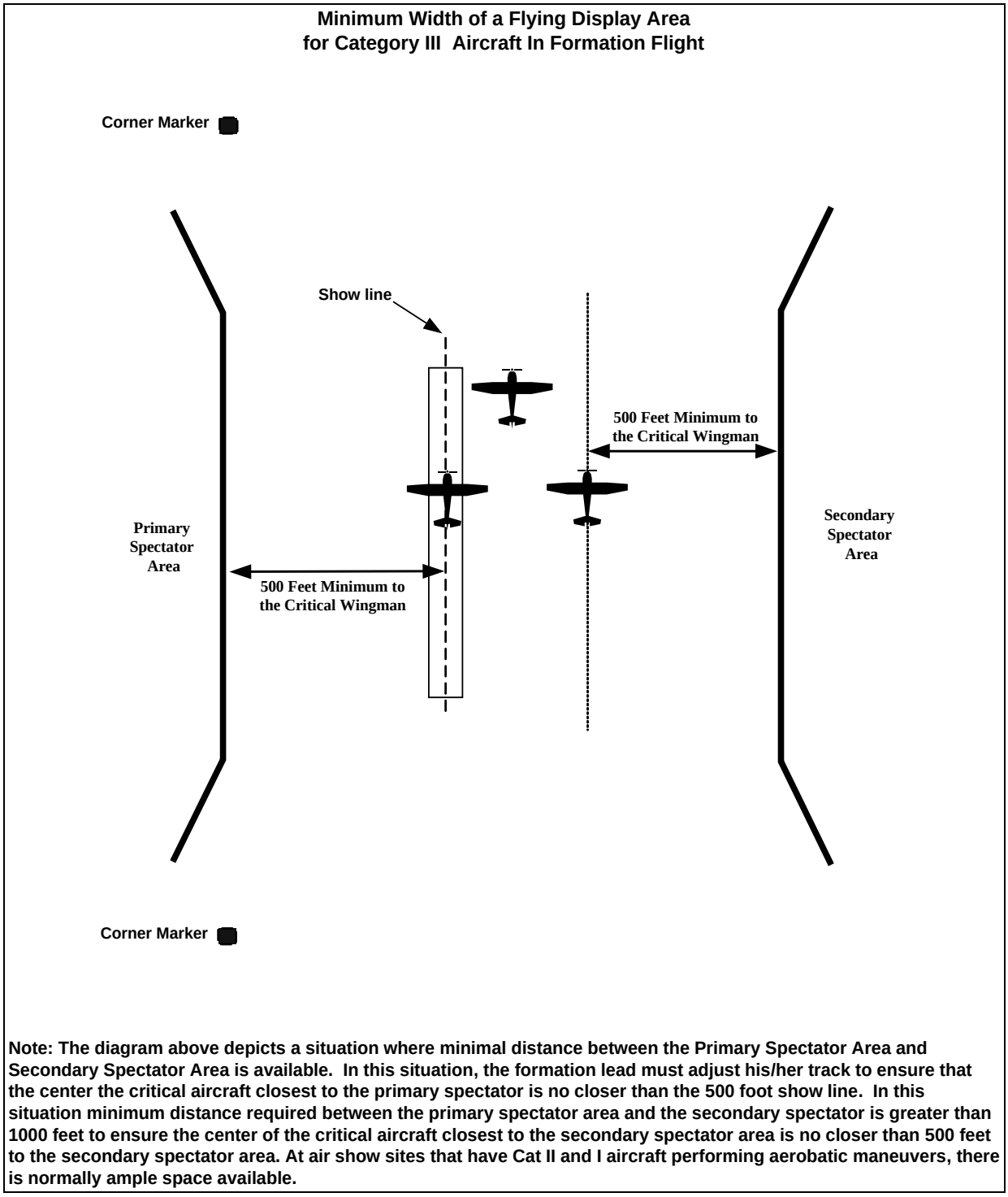
Figure 3-27B. Minimum Width of a Flying Display Area for Category III Aircraft in Formation Flight



Note: The diagram above depicts a situation where minimal distance between the Primary Spectator Area and Secondary Spectator Area is available. In this situation, the formation lead must adjust his/her track to ensure that the center the critical aircraft closest to the primary spectator is no closer than the 500 foot show line. In this situation minimum distance required between the primary spectator area and the secondary spectator is greater than 1000 feet to ensure the center of the critical aircraft closest to the secondary spectator area is no closer than 500 feet to the secondary spectator area. At air show sites that have Cat II and I aircraft performing aerobatic maneuvers, there is normally ample space available.

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Figure 3-27C. Example of the Minimum Width of a Flying Display Area for Multiple Category II Aircraft Performing Lateral and/or Turning Maneuvers

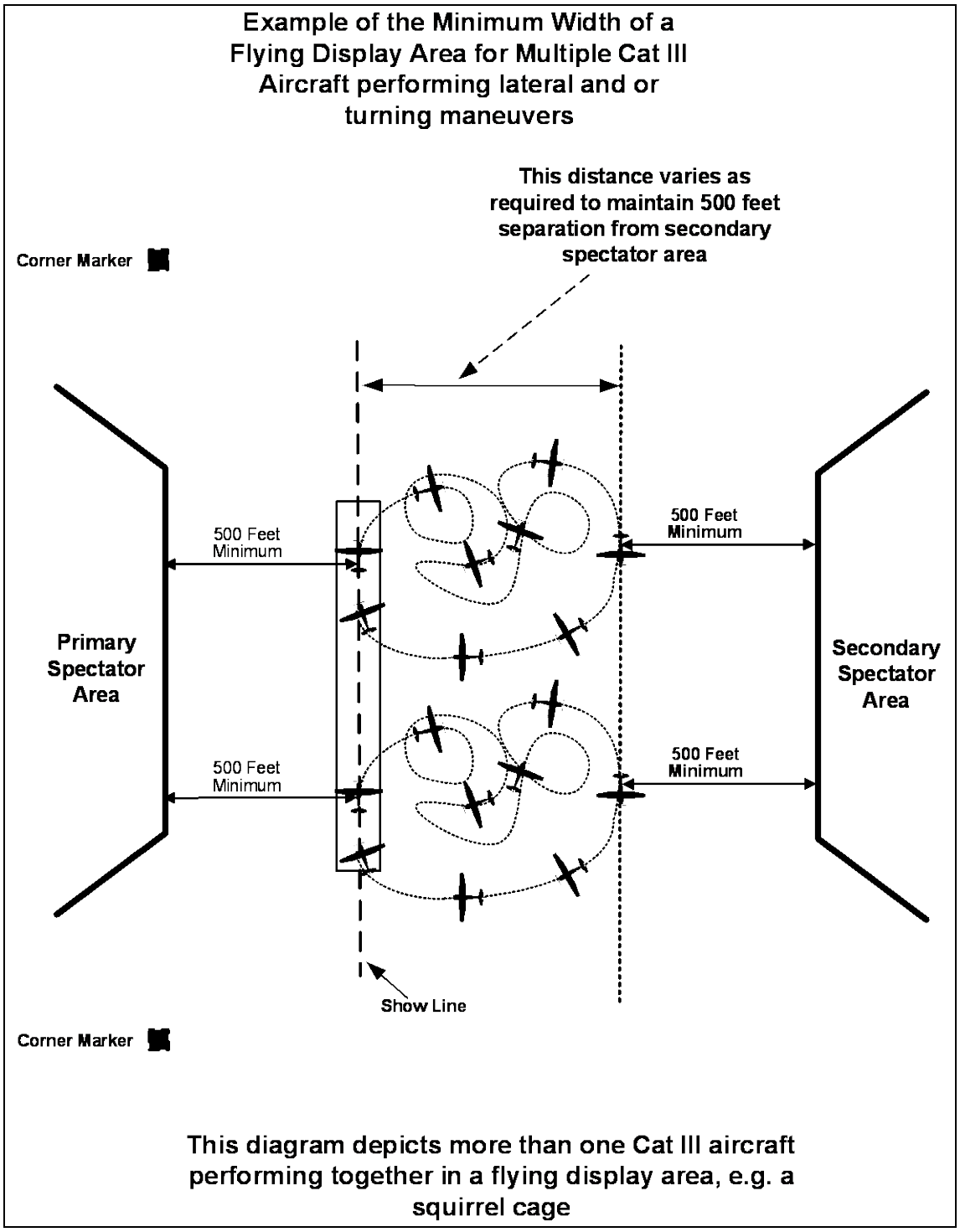

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Figure 3-28. Aerobatic Maneuvers Performed After Aircraft Beyond Spectator Area

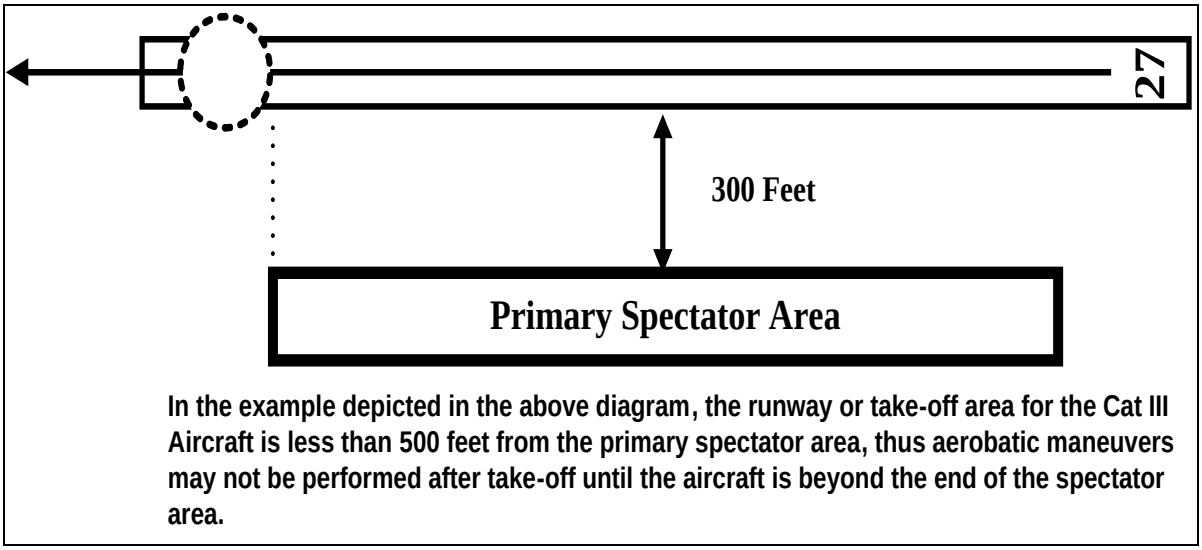

Figure 3-28A. Aerobatic Maneuvers Performed After Turn Away Performed

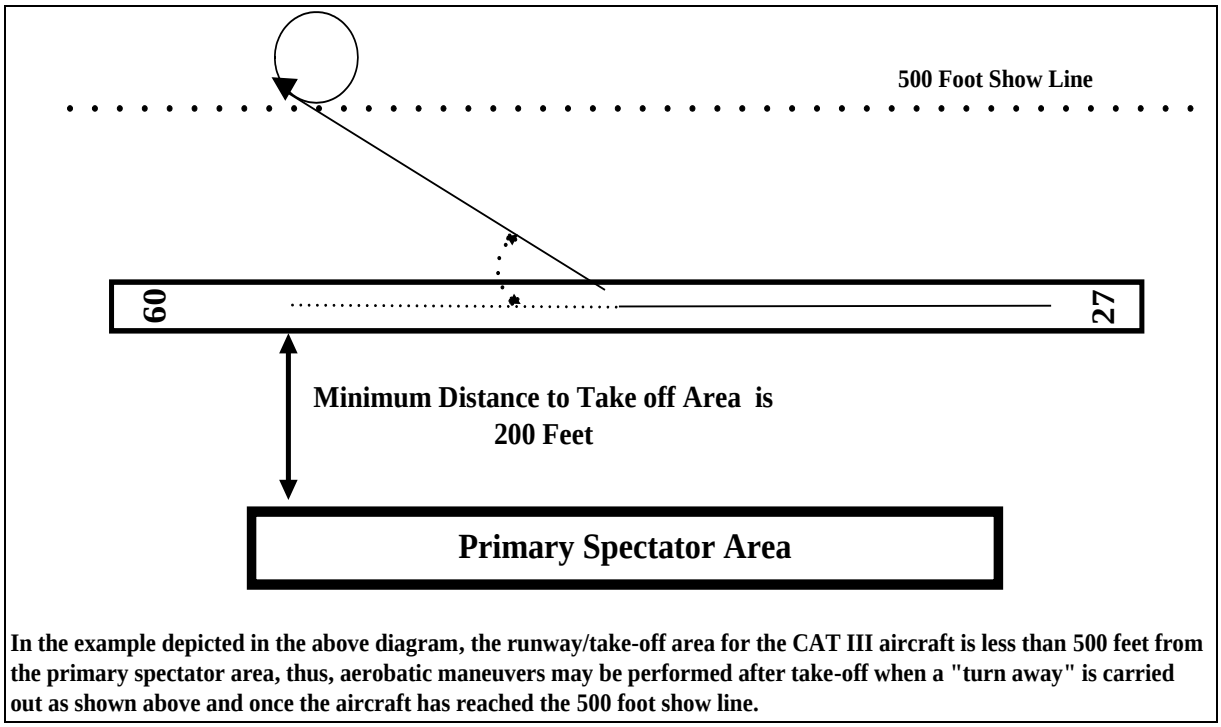

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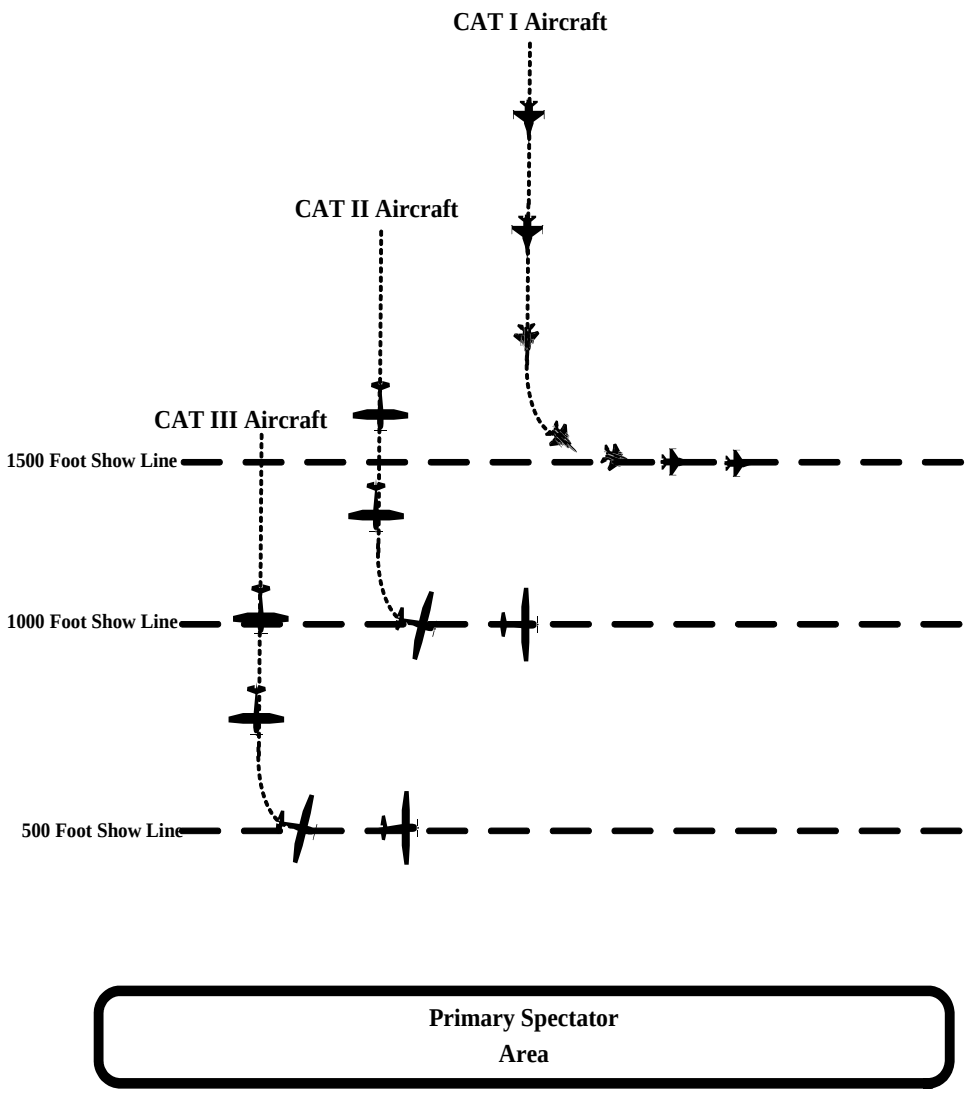
Figure 3-28B. Nonaerobatic Maneuvers by a Single Aircraft with an Energy Vector Directed Towards the Primary Spectator Area

Non-aerobatic maneuvers by a single aircraft with an energy vector directed towards the primary spectator area



In the above diagram, as an example, in order to have all energy directed away from the primary spectator area, a CAT I aircraft flying at 350kts. and using a 75 degree bank would have to initiate the turn a minimum of 2915 feet prior to the 1500 foot show line

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Figure 3-29. Typical Arc-in Review or Banana Pass

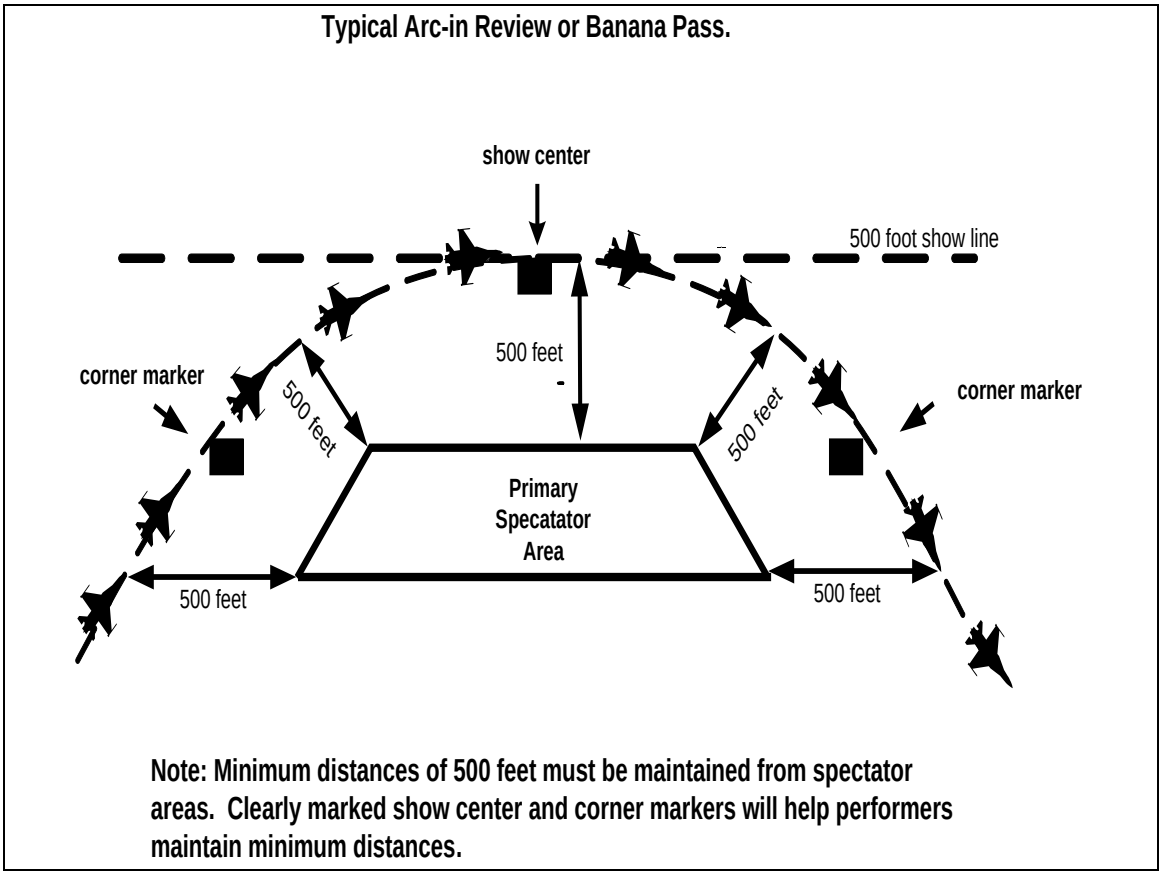

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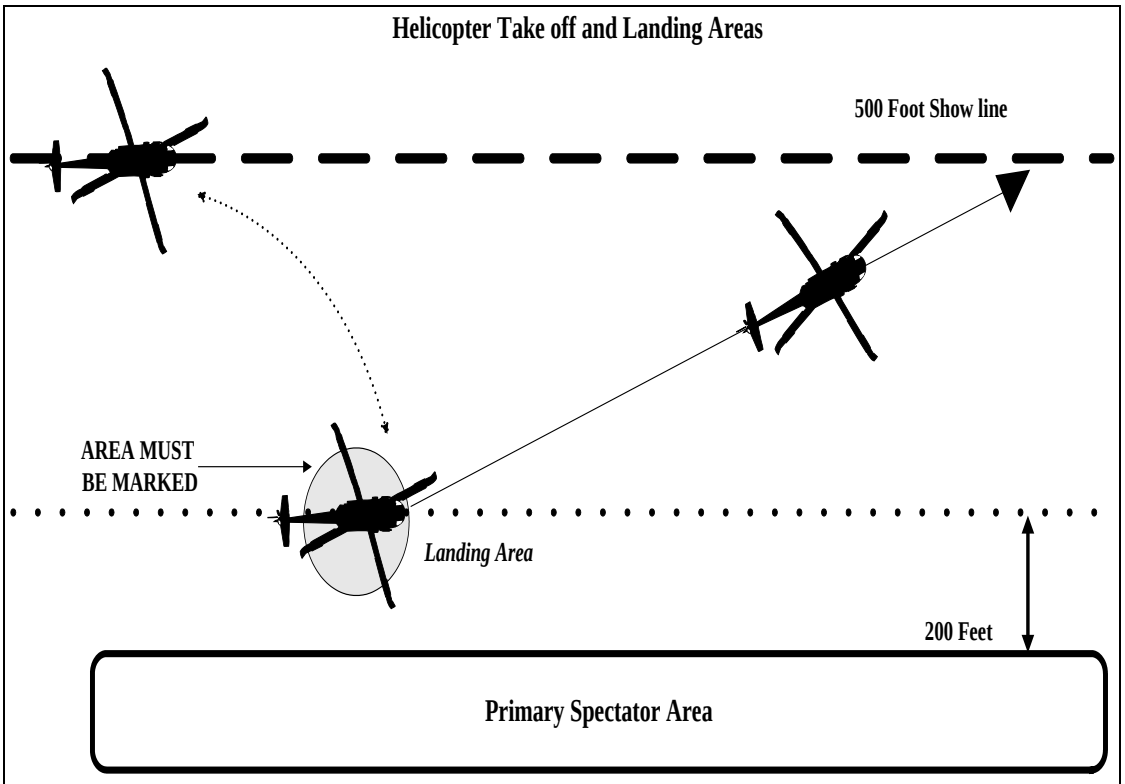
Figure 3-30. Helicopter Takeoff and Landing Areas



(a) Helicopters may, following the completion of a landing or coming to a stable hover, no closer than 500 feet from spectators, hover taxi to a clearly marked landing area, no closer than 200 feet from a spectator enclosure.

(b) Hover Taxi means helicopter movement conducted above the surface and in ground effect at airspeeds less than 20 knots.

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Figure 3-30A. Maneuvers Toward the Primary Spectator Area-360 Degree Turns Using Bank Angles of Less Than 90 Degrees

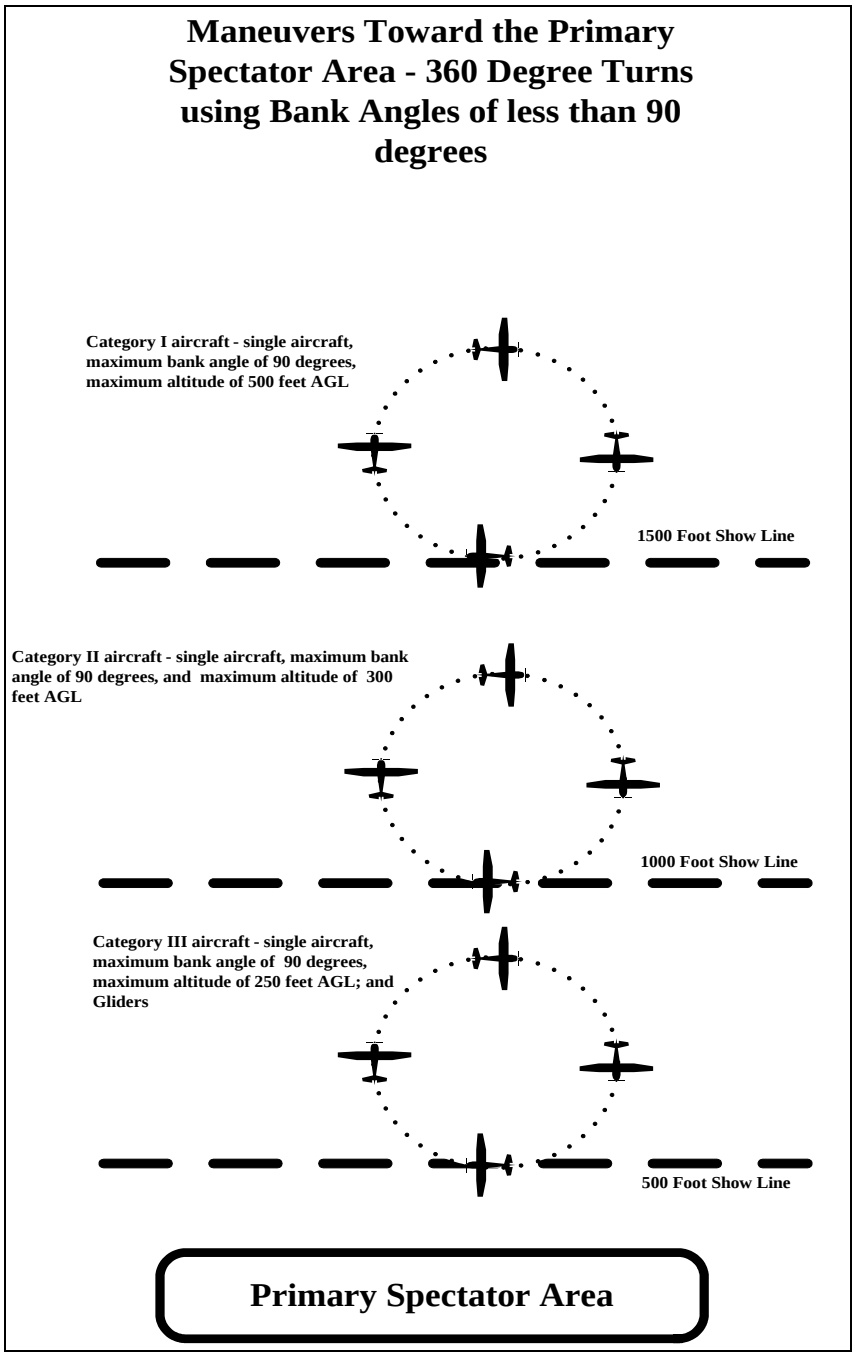

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Figure 3-31. Aircraft Approach and Exit to and from a Flying Display Area Bordered by Congested Areas

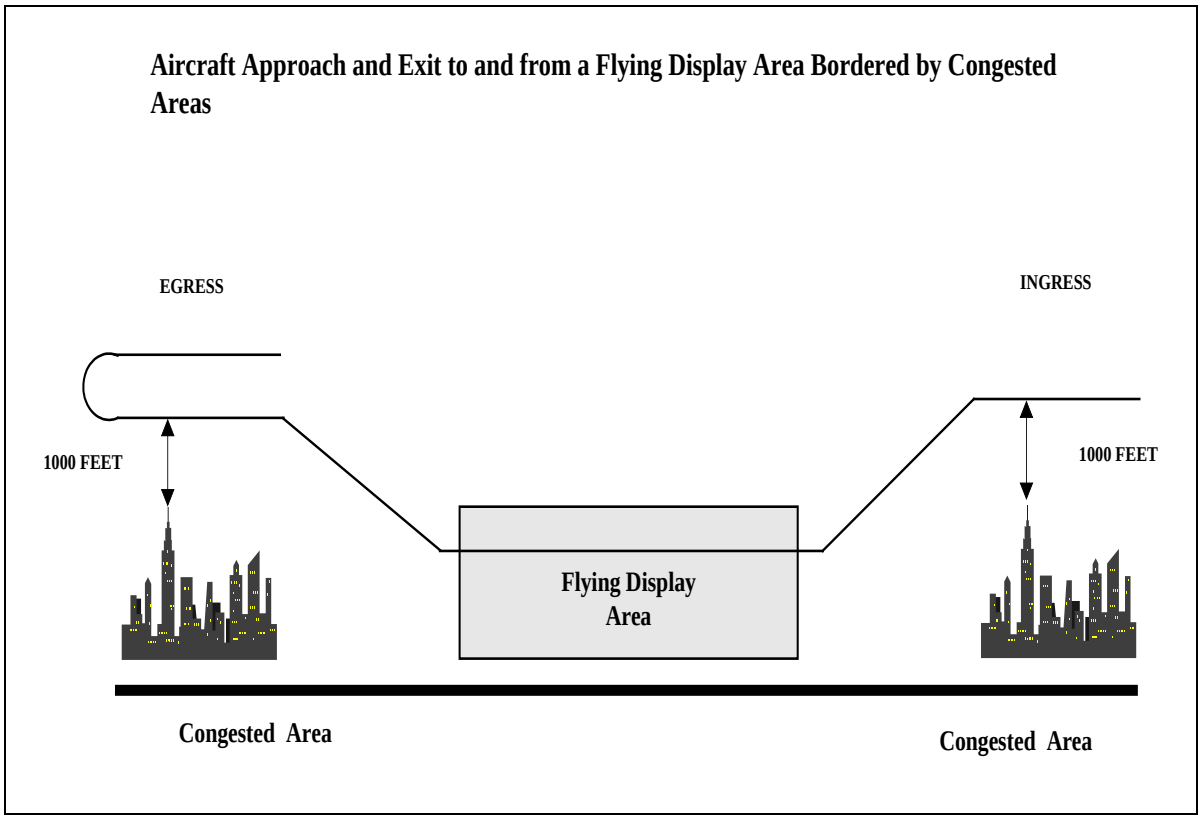

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Figure 3-32. Sample FAA Form 7711-2, Certificate of Waiver Application

No certificate may be issued unless a completed application form has been received (14 C.F.R. 91, 101, and 105).

US Department of Transportation
Federal Aviation Administration

APPLICATION FOR CERTIFICATE OF WAIVER OR AUTHORIZATION

From Approved: O.M.B. No.2120-0027 08/31/2008

APPLICANTS - DO NOT USE THESE SPACES

Region	Date
AWP	03/14/2008

Action
☐ Approved ☐ Disapproved – *"Explain under "Remarks"*

Signature of authorized FAA representative

INSTRUCTIONS

Submit this application in triplicate (3) to any FAA Flight Standards district office.

Applicants requesting a Certificate of Waiver or Authorization for an aviation event must complete all the applicable items on this form and attach a properly marked 7.5 series Topographic Quadrangle Map(s), published by the U.S. Geological Survey (scale 1:24,000), of the proposed operating area. The map(s) must include scale depictions of the flightlines, showlines, race courses, and the location of the air event control point, Police dispatch, ambulance, and fire fighting equipment. The applicant may also wish to submit photographs and scale diagrams as supplemental material to assist in the FAA's evaluation of a particular site. Application for a Certificate of Waiver or Authorization must be submitted 45 days prior to the requested date of the event.

Applicants requesting a Certificate of Waiver or Authorization for activities other than an aviation event will complete items 1 through 10 only and the certification, item 17, on the reverse.

1. Name of organization	2. Name of responsible person
Hayward Air Fair	Peter B. Pilot

3. Permanent mailing address	House number and street or route number	City	State and ZIP code	Telephone No.
	100 Hesperian Blvd	Hayward	CA 94545	510-555-1212

4. State whether the applicant or any of its principal officers/owners has an application for waiver pending at any other office of the FAA.
N/A

5. State whether the applicant or any of its principal officers owners has ever had its application for waiver denied, or whether the FAA has ever withdrawn a waiver from the applicant or any of its principal officers/owners.
N/A

6. FAR section and number to be waived
91.107, 91.117, 91.119(b) and (c), 91.121, 91.155 and 91.303

7. Detailed description of proposed operation *(Attach supplement if needed)*

Air Show with Category I, II and III show lines for aerobatic aircraft and parachuting demonstration (See Certificate of Authorization). Fly-bys of aircraft in all threee categories.

8. Area of operation *(Location, altitudes, etc.)*
Hayward Airport from surface to 8,000 ft. MSL within 5 Nm.

9a. Beginning *(Date and hour)*		b. Ending *(Date and hour)*	
06/27/2008	13:00:00	06/27/2008	17:30:00

10. Aircraft make and model (a)	Pilot's Name (b)	Certificate number and rating (c)	Home address (Street, City, State) (d)
Pitts S2A	Harry Actor	1234567 ATP	123 Main Street, Hayward, CA 94545
PT-17	Gene Smith	123654 CPL	10 10th Avenue, Deca City, TN 10101
SK-51	Chuck Aileron	777777 CPL	1 Last Street, Nowhere, CA 45459
BL-66	John Jay	111 ATP	25 House St., Freemont, CA 94544
(Additional information to be submitted when available)			

FAA Form 7711 -2 (9-08) Supersedes Previous Edition

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Check with FSIMS to verify current version before using

Figure 3-32A. Sample FAA Form 7711-2, Certificate of Waiver Application (Back)

▶ *ITEMS 11 THROUGH 16 TO BE FILLED OUT FOR AIR SHOW/AIR RACE WAIVER REQUESTS ONLY.*

11. The air event will be sponsored by:

Hayward Air Fair

12. Permanent mailing address	House number and street or route number	City	State and ZIP code	Telephone No.
	100 Hesperian Blvd	Hayward	CA 94545	510-555-1212

13. Policing *(Describe provisions to be made for policing the event.)*

Hayward Police Dept., Civil Air Patrol and Girl Scouts

14. Emergency facilities *(Mark all that will be available at time and place of air event.)*

☐ Physician ☒ Fire truck ☒ Other - Specify Medical Evacuation Helicopter

☒ Ambulance ☒ Crash wagon

15. Air Traffic control *(Describe method of controlling traffic, including provision for arrival and departure of scheduled aircraft.)*

Hayward Air Traffic Control Tower and Air Boss. No scheduled air carrier flights at this airport

16. Schedule of Events *(include arrival and departure of scheduled aircraft and other periods the airport maybe open.)*

Hour (a)	Date (b)	Event (c)
1300	06/27/2008	Opening ceremonies with three airplanes circling six jumpers exiting at 7,500 feet. (See jump Authorization)
1315		Harry Actor in Pitts S2
1325		Gene Smith in Stearman with a wing walker
1340		Air National Guard F-15 fly-by with four airplanes
1345		Aerobatic helicopter
1355		Canadian Snowbirds
1430		Air Guard fly-by with C-130 and two helicopters doing an air refueling demonstration
1440		Clown act by John Jay in an Intrastate (See attachment for remainder of show.

If sufficient space is not available, the entire schedule of events may be submitted on separate sheets, in the order and manner indicated above.

Please Read > The undersigned applicant accepts full responsibility for the strict observance of the terms of the Certificate of Waiver or Authorization, and understands that the authorization contained in such certificate will be strictly limited to the above described operation.

17. Certification - I CERTIFY that the foregoing statements are true.

Date	Signature of Applicant

Remarks

FAA Form 7711-2 (8-08) Supersedes Previous Edition

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Check with FSIMS to verify current version before using

Figure 3-33. FAA Form 7711-2, Application for Parachuting Authorization

No certificate may be issued unless a completed application form has been received (14 C.F.R. 91, 101, and 105).

US Department of Transportation
Federal Aviation Administration

APPLICATION FOR CERTIFICATE OF WAIVER OR AUTHORIZATION

From Approved: O.M.B. No.2120-0027 08/31/2008

APPLICANTS - DO NOT USE THESE SPACES

Region	Date
Western Pacific	06/09/2008

Action
☒ Approved ☐ Disapproved – *"Explain under "Remarks"*

Signature of authorized FAA representative
James D. Doty, POI

INSTRUCTIONS

Submit this application in triplicate (3) to any FAA Flight Standards district office.

Applicants requesting a Certificate of Waiver or Authorization for an aviation event must complete all the applicable items on this form and attach a properly marked 7.5 series Topographic Quadrangle Map(s), published by the U.S. Geological Survey (scale 1:24,000), of the proposed operating area. The map(s) must include scale depictions of the flightlines, showlines, race courses, and the location of the air event control point, Police dispatch, ambulance, and fire fighting equipment. The applicant may also wish to submit photographs and scale diagrams as supplemental material to assist in the FAA's evaluation of a particular site. Application for a Certificate of Waiver or Authorization must be submitted 45 days prior to the requested date of the event.

Applicants requesting a Certificate of Waiver or Authorization for activities other than an aviation event will complete items 1 through 10 only and the certification, item 17, on the reverse.

1. Name of organization	2. Name of responsible person
Big Time Skydivers	Allen Gold

3. Permanent mailing address	House number and street or route number	City	State and ZIP code	Telephone No.
	456 Hesperian Blve	Hayward	CA 94545	866-111-222

4. State whether the applicant or any of its principal officers/owners has an application for waiver pending at any other office of the FAA.
N/A

5. State whether the applicant or any of its principal officers owners has ever had its application for waiver denied, or whether the FAA has ever withdrawn a waiver from the applicant or any of its principal officers/owners.
N/A

6. FAR section and number to be waived
None

7. Detailed description of proposed operation *(Attach supplement if needed)*
Sky diving exhibition for Hayward Air Fair. Three (3) jumpers with smoke, pyrotechnics, flags and streamers. One jump for opening ceremony, all out on one pass.

8. Area of operation *(Location, altitudes, etc.)*
Hayward Airport, 6.7 Nautical miles on the 114 degree radial.

9a. Beginning *(Date and hour)*		b. Ending *(Date and hour)*	
06/27/2008	13:00:00	06/29/2008	13:30:00

10. Aircraft make and model (a)	Pilot's Name (b)	Certificate number and rating (c)	Home address (Street, City, State) (d)
Cessna 182	Charles B. Lindburg	1630988	240240 Park Stree, Hayward, CA 94545
List of Jumpers attached			

FAA Form 7711 -2 (8-08) Supersedes Previous Edition

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Figure 3-33A. FAA Form 7711-2, Request for Parachuting Authorization (Back)

ITEMS 11 THROUGH 16 TO BE FILLED OUT FOR AIR SHOW/AIR RACE WAIVER REQUESTS ONLY.

11. The air event will be sponsored by:

XYZ Charity

12. Permanent mailing address	House number and street or route number	City	State and ZIP code	Telephone No.
	1234 Anystreet Drive	Anycity	AA 12345	515-555-1212

13. Policing *(Describe provisions to be made for policing the event.)*

14. Emergency facilities *(Mark all that will be available at time and place of air event.)*

☐ Physician ☐ Fire truck ☒ Other - Specify EMS team

☐ Ambulance ☐ Crash wagon

15. Air Traffic control *(Describe method of controlling traffic, including provision for arrival and departure of scheduled aircraft.)*

16. Schedule of Events *(include arrival and departure of scheduled aircraft and other periods the airport maybe open.)*

Hour (a)	Date (b)	Event (c)
1300	June 28, 2008	Three jumper skydiving exhibition with smoke, flags and streamers
1330		Jump exhibition completed
1300	June 29, 2008	Repeat same three jumper exhibition
1330		Jump exhibition completed

If sufficient space is not available, the entire schedule of events may be submitted on separate sheets, in the order and manner indicated above.

Please Read > The undersigned applicant accepts full responsibility for the strict observance of the terms of the Certificate of Waiver or Authorization, and understands that the authorization contained in such certificate will be strictly limited to the above described operation.

17. Certification - I CERTIFY that the foregoing statements are true.

Date	Signature of Applicant
06/24/2008	

Remarks

Jump rmaster Allen Gold USPA D Pro 12344 5,555 Pro

Joe Smith USPA D Pro 123456 2,345 jumps

Robert Jones USPA D 898990 644 jumps

FAA Form 7711-2 (8-08) Supersedes Previous Edition

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Figure 3-34. Sample FAA Form 7711-1, Certificate of Waiver

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

CERTIFICATE OF WAIVER OR AUTHORIZATION

ISSUED TO
City of Hayward

ADDRESS
100 Hesperian Blvd., Hayward, CA 94545

This certificate is issued for the operations specifically described hereinafter. No person shall conduct any operation pursuant to the authority of this certificate except in accordance with the standard and special provisions contained in this certificate, and such other requirements of the Federal Aviation Regulations not specifically waived by this certificate.

OPERATIONS AUTHORIZED
AEROBATIC DEMONSTRARTIONS AND FLY BYS AT THE HAYWARD AIRPORT, HAYWARD, CA, WITHIN FIVE (5) NAUTICAL MILE RADIUS OF THE CENTER OF THE AIRPORT FROM THE SURFACE TO 15,000 FEET MSL, EXCLUDING THE AIRSPACE ABOVE SPECTATORS OR OCCUPIED BUILDINGS.

LIST OF WAIVED REGULATIONS BY SECTION AND TITLE
91.117Aircraft Speed, 91.119 (b & c) Minimum Safe Altitude, 91.155 Distance from Clouds, 91.303 Aerobatics

STANDARD PROVISIONS

1. A copy of the application made for this certificate shall be attached to and become a part hereof.
2. This certificate shall be presented for inspection upon the request of any authorized representative of the Administrator of the Federal Aviation Administration, or of any State or municipal official charged with the duty of enforcing local laws or regulations.
3. The holder of this certificate shall be responsible for the strict observance of the terms and provisions contained herein.
4. This certificate is nontransferable.

NOTE.---This certificate constitutes a waiver of those Federal rules or regulations specifically referred to above. It does not constitute a waiver of any State law or local ordinance.

SPECIAL PROVISIONS

Special Provisions Nos. 1 to 38 inclusive, are set forth on the reverse side hereof. "See Attached" ☐

This certificate is effective from 06/27/2008 to 06/29/2008 1300 to 1700 daily, inclusive, and is subject to cancellation at any time upon notice by the Administrator or his authorized representative.

BY DIRECTION OF THE ADMINISTRATOR

Western Pacific	Mr. Fred A. Alverez
(Region)	(Signature)
June 27 2008	Hayward FSDO Manager
(Date)	(Title)

FAA Form 7711-1 (7-74) AFS Electronic Forms System - v2.2

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Figure 3-35. FAA Form 8710-7, Statement of Aerobatic Competency

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

STATEMENT OF ACROBATIC COMPETENCY

PILOT J. J. JONES	
TYPE CERTIFICATE/NUMBER COMMERCIAL 1234567	
ISSUANCE DATE 03-14-2008	EXPIRATION DATE 12-31-2009
GENERAL AVIATION OPERATIONS INSPECTOR *(Signature)* J. J. SMITH ANE-BED-FSDO	

FAA Form 8710-7 (5-78)

MANEUVER LIMITATIONS NONE	
ALTITUDE LIMITATIONS LEVEL II	AUTHORIZED AIRCRAFT PITTS SPECIAL
I understand that this statement of competency does not authorize deviation from FAR 91 except as defined by waiver thereto, or to the terms of Special Provisions contained in any waiver to FAR 91.	
PILOT *(Signature)*	

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Figure 3-36. Transport Canada Form 26-0307, Statement of Aerobatic Competency

TRANSPORT CANADA TRANSPORTS CANADA
STATEMENT OF AEROBATIC COMPETENCY
ATTESTATION DE COMPÉTENCE EN VOLTIGE AÉRIENNE

PILOT / PILOTE

JOHN DAVID UPWRIGHT

PILOT LICENCE / LICENCE

CA 123456789

DATE OF EVALUATION / DATE DE L'EVALUATION	EXPIRATION DATE / DATE D'EXPIRATION
FEBRUARY 01, 2008	DECEMBER 31, 2009

ISSUING INSPECTORS NAME AND SIGNATURE (PLEASE PRINT)
NOM ET SIGNATURE DE L'INSPECTEUR DE LA DÉLIVRANCE DE L'ATTESTATION (SVP LETTRES MOULÉES)

WAYNE HARPER W Harper

MANOEUVRE LIMITATION / LIMITES DES MANOEUVRES

SOLO AEROBATICS

ALTITUDE LIMITATIONS/LIMITES D'ALTITUDE	AUTHORIZED AIRCRAFT/AÉRONEF AUTORISÉ
LEVEL 3 500 FT	PITTS

PILOTS SIGNATURE / SIGNATURE DU PILOTE

J. Upwright

26-0307(96.04)

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Figure 3-37. Sample Endorsement for Increase Angle of Pitch and Bank

"I have observed Mr./Ms. [pilot's full name]_____, Certificate Number _____, execute maneuvers up to 90 degrees of pitch and bank and find him/her proficient and competent in those maneuvers in the following Make and Model of airplane: _____. "

This endorsement may be entered in the logbook or issued in the form of a letter. This endorsement may only be made by an FAA operations inspector, an ICAS aerobatic competence examiner or a designated pilot examiner authorized to administer a practical flight test in this make and model of airplane.

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Figure 3-38. Sample Aircraft Status and Inspection Form

Sample Aircraft Status and Inspection Form

N-_____ S/N_____ AC M/M_____

Inspection/Item Pending	Hours/Date:	Next Due
Annual or Progressive Inspection		
100 Hour (If required)		
Static System Check		
Altimeter Check		
Transponder Check		
ELT Battery		

AD Number	Description	Hours/Date Completed	Next Due

I certify this information accurately represents the applicable information from this aircrafts maintenance records and that this aircraft and the aircraft records were inspected on this day and determined to be in an airworthy condition.

A&P or IA Name:_____ Signature: _____

Certificate Number_____ Today's Date _____

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Figure 3-39. Pyrotechnic Briefing Checklist

The following briefing issues must be discussed and deconflict with all pilots during the general safety brief. Each item need only be covered by one person. Any general item covered by the briefer need not be covered by the pyrotechnic shooter in charge (PSIC).

Item	Conducted by Briefer	Conducted by PSIC
EXACT DIMENSIONS AND LOCATION OF THE PYROTECHNICS AREA *	☐	☐
MAGNITUDE OF EXPLOSIVES BEING USED*	☐	☐
AIRCRAFT/PYRO DECONFLICTION PLAN*	☐	☐
PYRO CREW AND CRASH/FIRE/RESCUE POSITIONS	☐	☐
COMMUNICATIONS FREQUENCY AND PROCEDURE*		
PRINCIPAL	☐	☐
SECONDARY	☐	☐
DISCRETE	☐	☐
EMERGENCY PROCEDURES*		
FIRE	☐	☐
ACCIDENT/INJURY	☐	☐
PYRO SEQUENCE BY ACT*		
LOCATION	☐	☐
STRAFE DIRECTION(S)	☐	☐
BOMB DIRECTION(S)	☐	☐
ALTITUDE AND FLYBY LINES*	☐	☐
FORECAST WINDS AND EFFECTS ON PYRO*	☐	☐
FOD POTENTIAL AND EFFECTS	☐	☐
KIO (KNOCK IT OFF) PROCEDURES*	☐	☐

*NOTE: These items comply with, and are required by "Addition to AFI 11-246 V1, ACC Sup 1."

Signatures: _____ Briefer _____ PSIC

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Figure 3-40. Typical Air Race Site

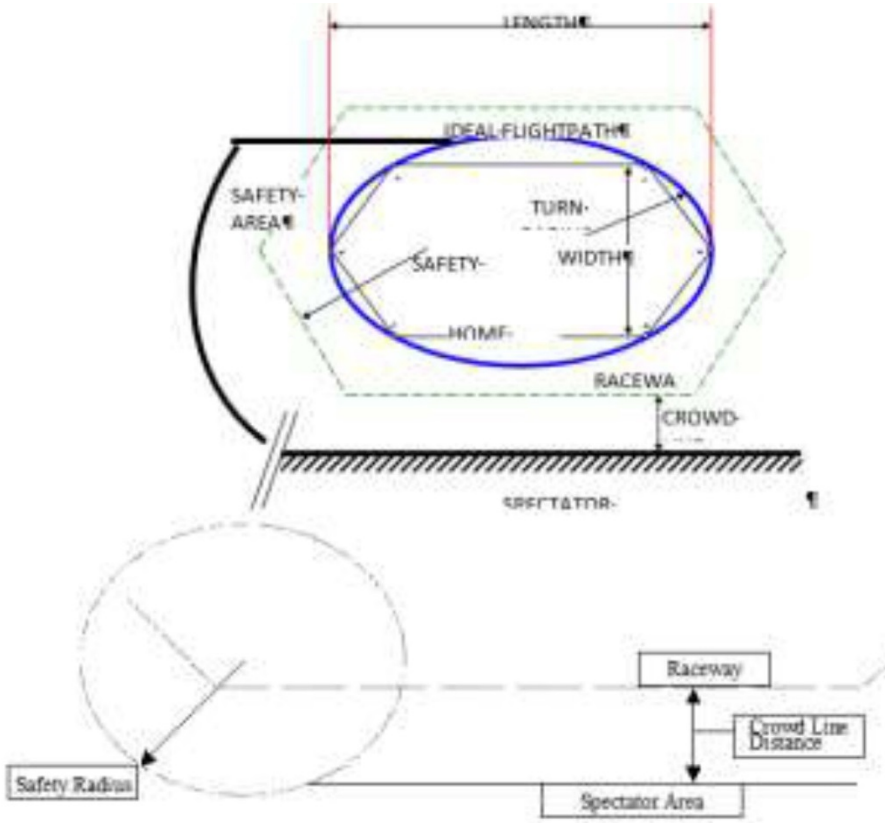

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Figure 3-40A. Typical Unlimited Racecourse Site

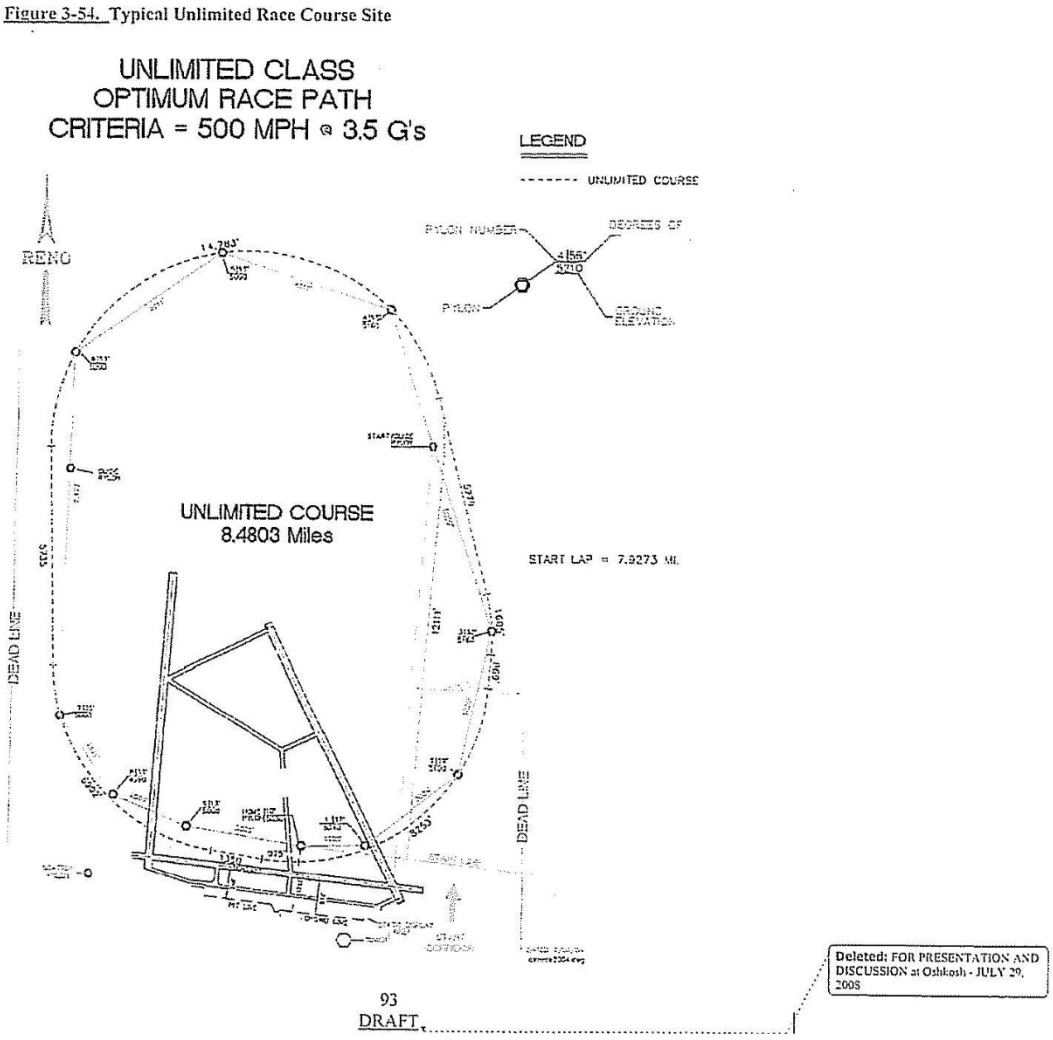

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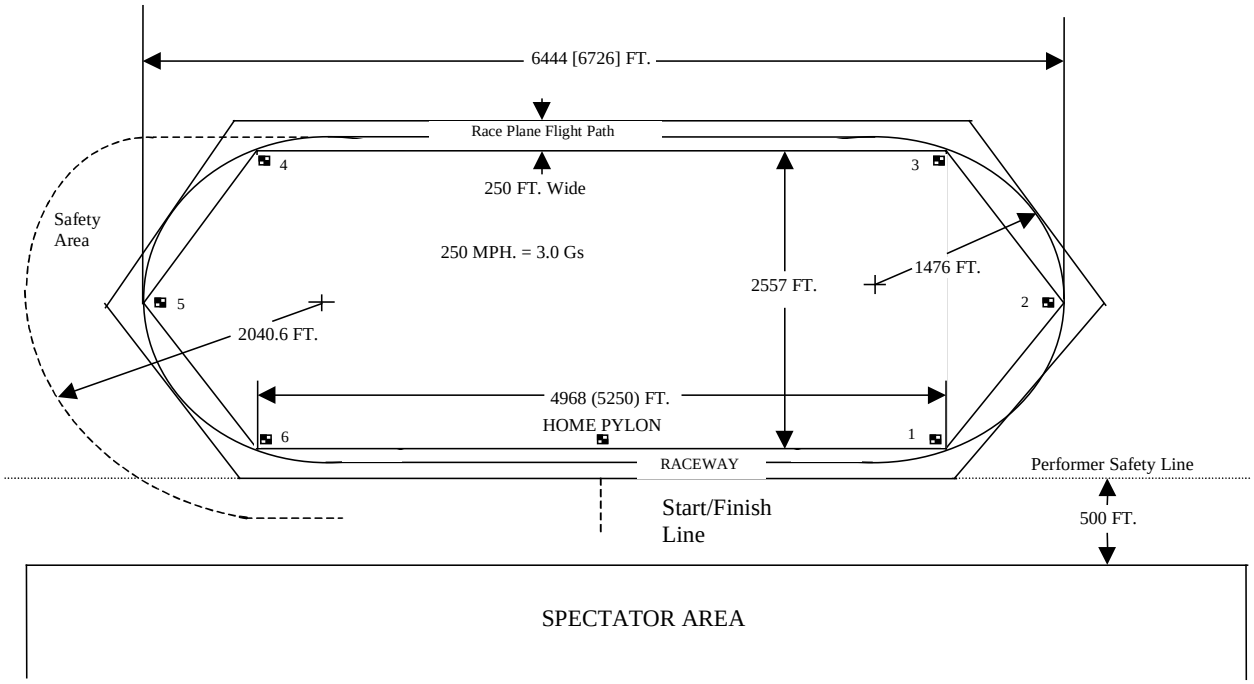
Figure 3-40B. Sample Racecourses

3.0 MILE [5.0 KM] FORMULA ONE AIR RACECOURSE



2.0 MILE FORMULA V AIR RACECOURSE

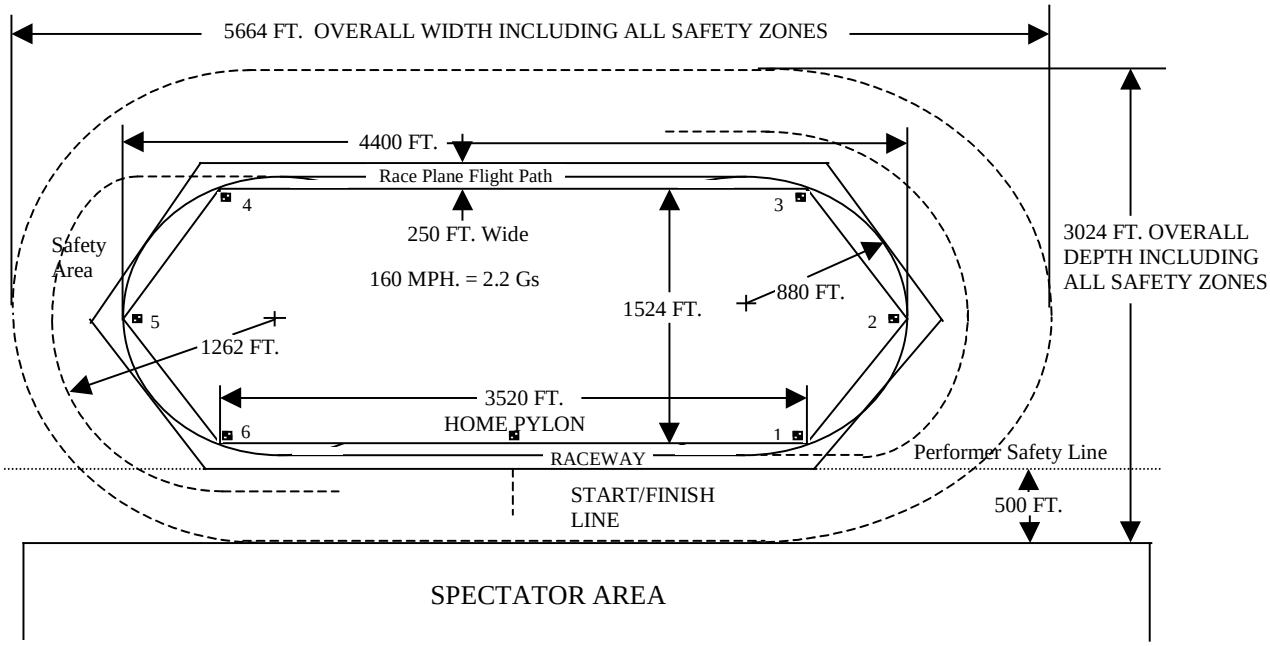


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Figure 3-41. Example of a Balloon Competition Manual

BALLOON COMPETITION MANUAL

This manual has been prepared as part of the application for the issuance of a Certificate of Waiver with attachments and special provisions for a Manned Free Balloon Competition on [insert date]. [Insert event name] BALLOON RACE.

Table of Contents

I. Purpose.

II. Responsibilities and Procedures.

a) Duties of Personnel.
b) Registration and Airworthiness Determination.
c) Pilot and Event Flight Crewmembers.
d) Pilot/Crew Briefing Responsibilities.
e) Letter of Agreement.
f) Event Documentation.

III. Ground Operations.

a) Clear Areas.
b) Spectator Areas.
c) Crowd Control Requirements.
d) Landowner Relations/Notification.

IV. Flight Operations.

a) Areas of Operations.
b) Types of Operations.
c) Altitudes.
d) Weather Requirements.
e) Communications Requirements.
f) Air Traffic Coordination.

Section I. Purpose.

This manual is submitted as a part of an application for a waiver of Title 14 of the Code of Federal Regulations (14 CFR) part 91, §§ 91.119(b) and 91.119(c), by the [insert name of organization] for the [insert name of event] Balloon Race. Specifically, the waiver will allow officially registered balloons to operate at an altitude of no less than [insert number] feet above the highest obstacle within a [insert number]-foot radius of the balloon en route to the target within a [insert number] nautical mile (or other specified distance) radius of the designated launch field or goal. It will also allow for officially registered balloons to operate at [insert number] feet AGL over spectators and to set goals and/or targets at a minimum distance of [insert number] feet from physical barriers provided for spectator control.

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No waiver is requested nor is a waiver required by 14 CFR for any mass ascensions or pilot choice launches.

Section II. Responsibilities and Procedures.

a) Duties of Personnel.

1) Event Director—[insert name].

2) Operations Director—[insert name].

3) FAA Liaison—[insert name].

4) Weather Officer—[insert name].

5) Safety Officer—[insert name].

b) Registration and Airworthiness Determination.

Balloons flown at the event must have current certificates of registration and airworthiness, or in place of the latter, an equivalent document from the Federal Aviation Administration. Chapter [insert number] of the competition rules cover procedures for balloons damaged or otherwise made unairworthy during the event. Throughout the event the Safety Officer or his designees; and appropriate FAA personnel will be consulted as necessary.

c) Pilot and Event Flight Crewmembers.

Each pilot must hold the appropriate pilot certificate (Private or Commercial) with Lighter-than-Air Category and Free Balloon Class Rating. Each pilot must show evidence of current Flight Review (14 CFR part 61, § 61.56) and must also show evidence of currency per § 61.57. Minimum hours as PIC per the organizers specified time must also be shown.

Event flight crewmembers carried on board a balloon during the event must have been briefed by the pilot of the balloon and must attend the pilot briefing for that flight. Each event flight crewmember must sign the waiver form supplied by the pilot. Each event flight crewmember must attest that they have attended the applicable pilot briefing(s) and have read and understand the conditions of the waiver. Only [insert number] event flight crewmember(s) may be carried in each balloon during the flight.

d) Pilot Crew Briefing Procedures.

All pilots are required to sign a statement indicating that they have read and understand the provisions of the waiver and the official [insert title] Competition Rules prior to any competitive flight.

Before each flight all pilots must attend the flight briefing. Chapter [insert number] of the competition rules provides details of all briefings.

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e) Letter of Agreement.

Letter of agreement will be issued and signed as required for the specific type of event.

f) Event Documentation.

All relevant registration files, task data sheets, pilot registration information etc., will be maintained by the organizer at least [insert number] days after the event and will be made available to the FAA Monitor upon request. Competition maps and task sheets will be made available to the FAA Monitor at the time of the pilot briefing.

Section III. Ground Operations.

a) Clear Areas.

Clear areas are established at each target site. These areas are kept clear of spectators and are usually fenced. [Insert type of officials] will police any area (such as the target area on the main launch field) to keep unauthorized persons out. In the Minimum Altitude Diagram, this is referred to as the "Target Area."

b) Spectator Areas.

The primary competitive spectator area is located at the main launch site. Crowd control is initiated by physical barriers around the launch site and target areas controlled by [insert type of officials]. Official and balloon recovery vehicles are parked in restricted areas. Traffic is controlled by local police as required. Use of existing and temporary barriers secure spectators from the briefing area and headquarters and from potential low level flight areas surrounding goals/targets (see additional remarks under "ALTITUDES").

Competitive goals/targets set outside of the primary launch area in remote areas attract few, if any, spectators beyond those involved in race operations (officials and crews). Scoring/measuring officials control these areas as determined by conditions, and will isolate the area surrounding the goal/target from any unauthorized personnel.

c) Crowd Control Requirements.

Crowd control will be provided by [enter law enforcement agency name(s)] agencies and officials of the balloon event under the direction of the Safety Officer.

d) Landowner Relations/Notification.

Positive landowner relations are vital to the continuance of sanctioned events. There is an ongoing effort by all involved persons to maintain good landowner relations for the event. Additionally, as per Rule [enter number] pilots must obtain permission for launch from private property; and per Rule [enter number] minimize disturbing landowners. Landowners may request that their property be indicated on the competition map as a Prohibited Zone (PZ) as per Rule [enter number].

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Section IV. Flight Operations.

a) Area of Operation.

The operations will occur in a [insert number] mile radius of the launch field located at [insert name] Airport as indicated on the official competition map (to be provided as requested). Final landings may occur beyond these boundaries, but no pilot choice takeoffs or mass ascensions will exceed these boundaries. Headquarters for the event operations will be located at the [insert name of location].

b) Types of Operations.

The event will consist of single and multiple tasks as called by the Director after consultation with other approved competition officials, as appropriate, considering the conditions at hand and forecast to develop during the anticipated flight times.

The tasks will include:

1) Pilot Declared Goal.

Each pilot will fly from a launch area and will attempt to drop a marker close to a goal selected by him/her. Pilots define goals by description and map reference. The goals are declared in writing and given to a timekeeper. Each pilot flies from the designated launch area and attempts to drop a marker close to the selected goal. The result is the distance from the declared goal to the observed mark. The shortest distance wins. The landing after dropping the marker cannot be less than 1,500 feet from the declared goal.

2) Judge Declared Goal.

Each pilot flies from the designated launch area and attempts to drop a marker as close as possible to a goal set by the officials. The result is the distance from the declared goal to the observed mark. The shortest distance wins. The landing after dropping the marker cannot be less than 1,500 feet from the declared goal.

3) Multiple Judge Declared Goal.

Each pilot flies from the launch area and chooses one of a number of goals set by the officials. The pilot attempts to drop a marker near the goal chosen. The result is the distance from the observed mark to the nearest goal. The shortest distance wins. The landing after dropping the marker cannot be less than 1,500 feet from the selected goal.

4) Hare and Hound.

A hare balloon will fly from the launch area and each pilot will attempt to fly near the final landing place of the hare and drop the marker. In the West, this may be referred to as the “Road Runner Race.” The lead balloon, “the hare,” takes off several minutes before the rest of the balloons and drops a marker at a designated point. The hare balloon deflates and is removed from the landing area. The marker dropped by the hare balloon becomes the target for the later

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balloons, “the hounds.” The hounds try to drop markers as close as possible to the hare balloon’s target. After dropping the marker from the hound balloon, landing is at the pilot’s discretion but cannot be less than 1,500 feet from the target.

5) Fly In Task.

Pilots find their own launch areas and attempt to reach a set goal or target.

6) Fly On Task.

A task where a pilot declares a goal to which he flies, after dropping his marker in another task.

7) Gordon Bennett Memorial.

The competitors will maneuver their balloons a prescribed distance from a target on the ground (scoring area). They will then attempt to maneuver back to the scoring area and drop markers on the target.

8) Max Distance—Minimum Distance.

Pilots will attempt to drop their markers in the Scoring Area a maximum or minimum distance from the launch point as specified on the task sheet.

9) Elbow (ELBO).

Each pilot flies from the launch area and attempts to achieve the greatest change of flight direction during the flight with the least angle of divergence. A 180-degree change in direction with a zero angle of divergence is best. Two concentric circles, specific distances apart, surround the launch point. The pilot drops two markers. The first marker must be dropped between the inner and outer circle. The second marker must be dropped within the outer circle. The second marker cannot be less than 5,000 feet from the first marker. Landing after dropping the marker is at the pilot’s discretion.

10) Convergent Navigational Task (CNT).

Officials establish a goal, but pilots find their own launch areas for the attempt to reach the goal. The boundary of the launch area declared by the pilot is the physical boundary of a field or a circle with a 300-foot radius from the inflation point, whichever is less. The officials place a target at the goal 30 minutes before the launch period. The pilot launches from a selected site, attempts to navigate to the target, and drops a marker. The result is the distance from the target to the marker. The shortest distance wins. The landing after dropping the marker is at the pilot’s discretion but cannot be less than 1,500 feet from the target.

11) Watership Down.

This is a two-part task. Pilots find their own launch sites and fly to a target established by the officials. At a specified time before the launch, a hare balloon takes off adjacent to the target and drops a marker at a designated point. This marker becomes the second target. The hare balloon

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deflates, and the envelope remains flattened on the ground to serve as a guide to the second target area. Each competing pilot drops a marker as close as possible to the first target, which was the launch site of the hare balloon. Pilots then fly-on to drop a second marker as close as possible to the target marker placed by the hare balloon.

12) Key Grab.

This event usually has a target (generally a tall pole with the keys to a new automobile affixed to the top) in a centralized location. The balloonist must depart a predetermined distance from the target. The object is to maneuver the balloons, one by one, over the target so the pilot can attempt to grab the keys as the balloon goes by the pole.

The area around the pole must be completely clear of spectators and under the control of the event officials. Event organizers should have portable bull horns or a public address system to control the crowd movements or to direct the balloonist away from the target area in an emergency. If these precautions are observed, a waiver of § 91.119(c) can be issued to allow operations closer than 500 feet to the crowd.

The event organizer must establish procedures to ensure that the balloonists will abort the key grab attempt if it becomes apparent that the balloons' ground tracks will not be within the operating area or when a realistic chance for the key is no longer possible. The landing areas must be segregated from the spectators; only bona fide recovery crews should be present in the landing area to assist the balloonist with recovery. All participants must be briefed before the operations.

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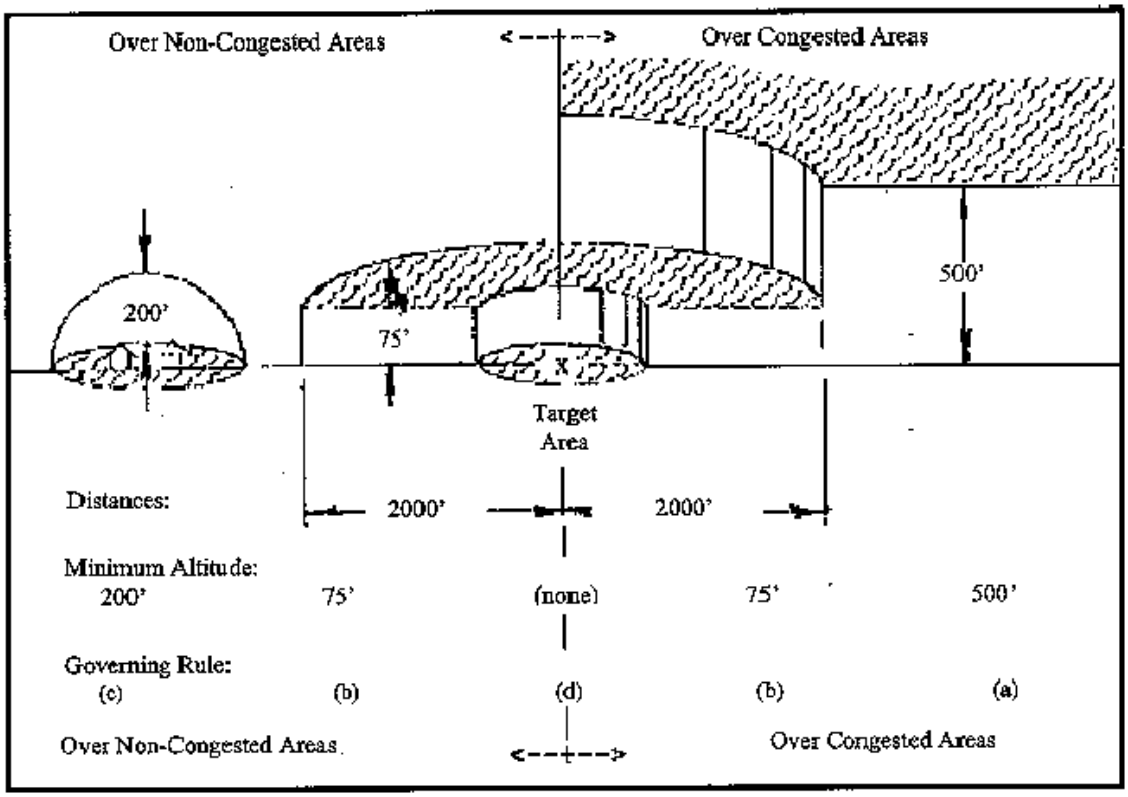
c) Minimum Altitude Diagram.



d) Altitudes.

The waiver provides that registered balloons will be allowed to make approaches to targets and/or goals within the designated areas. Balloons making these approaches will be permitted to fly over the designated spectator areas at an altitude of not less than [insert number] feet AGL. The balloons must have attained a state of altitude equilibrium at this [insert number]-foot minimum altitude and not be descending while passing over designated spectator areas. It is felt that this altitude is sufficient to allow for unusual circumstances with an adequate margin of safety for spectators.

In order to provide the highest possible level of safety for spectators, the scoring officials will cause scoring/measuring officials to be positioned among the spectators to allow crowds to be shifted as necessary and to provide warning regarding any markers that may be dropped in the spectator areas. Announcements over the public address systems will also advise the spectators of the possibilities of both low flying balloons over the area and of markers being dropped in this area.

e) Weather Requirements.

Flight operations will be conducted during the period from published sunrise to sunset, with the visual flight rules (VFR) and weather conditions as specified in § 91.155. Maximum demonstrated surface winds must be [insert number] or less.

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The decision for flight is the sole responsibility of the pilot and the decision of whether to hold a task is the sole responsibility of the director after consultation with appropriate safety officials.

f) Communications Requirements.

Primarily by required pilot briefing, however, supplementary information is also given on local radio stations and on the public address system. Most pilots carry either FM, CB, or aircraft radios, and some communication is possible by radio.

g) Air Traffic Coordination.

A NOTAM will be requested from the [insert name] FSS advising air traffic of numerous balloons in the [insert name] area at varying altitudes from [insert date] through [insert date] during the three hours immediately after sunrise and three hours prior to sunset.

This Operations Manual includes the information and requirements contained in the following attachments.

ATTACHMENTS:

Sectional of Area

List of Pilot Entries

Schedule of Events

Statement of Responsibility

Competition Rules

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Figure 3-41A. Preshow Briefing Guide

AVIATION EVENT PRESHOW BRIEFING GUIDE

WHO SHOULD ATTEND:

ALL PERFORMERS:

Airshow Pilots

Tow/Jump Aircraft Pilots

Skydivers

Military Flight Demo Pilots

Air and Ground Pyrotechnic Technicians

Jet Vehicle Drivers

Narrator(s)

Remotely Deployed Aircraft Pilots (via telecon)

At least one (1) representative pilot for each military team

KEY OPS/SUPPORT PERSONNEL:

Air Boss

Air Traffic Control

Fire Chief/CRS

EMS Helicopter

Smoke Oil/Refueling Chief

Aircraft Marshallers Chief

Maintenance Chief

Crowd Control Chief

FAA (or assigned) MONITOR:

WEATHER BRIEFER:

AIRSHOW DIRECTOR/EVENT SPONSOR:
(Including that person named on the waiver as being “responsible to ensure safety of the event”)

WHO SHOULD NOT ATTEND:

Pets

Individual Sponsors

Media Representatives

Spouses

Children

Relatives/Friends

Anyone not directly associated with the performance

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AVIATION EVENT PRESHOW BRIEFING GUIDE

BRIEFING:

ROLLCALL: Those not attending the briefing MAY NOT participate in this performance!

INTRODUCE KEY OFFICIALS:

TIME HACK:

CURRENT WEATHER AND FORECAST: (Include regional and national weather by quadrants on the last day, for departing aircraft)

REVIEW NOTAM(S)/TFR:

REVIEW WAIVER AND SPECIAL PROVISIONS:

REVIEW AREA MAP:

Hold Points/Turn Directions Altitudes

Noise Abatement Procedures

Sensitive Areas

Special Use Airspace

Remote Recovery Airports

Obstructions

Controlled/Emergency Bail Out/Ditching Procedures

AIRPORT STATUS:

Airspace

Runways In Use

Facilities

Arresting Cables

Traffic Patterns

AIRSHOW LAYOUT:

Sequence of acts and their cues for positioning

Show Lines

Spectator Areas (Primary/Secondary)

Ground Based Pyro

Hazards

Aircraft Parking

Taxi Routes

Crash Rescue Runway Watch Locations

Unique Local Items/Conditions

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Figure 3-42. Circling the Jumpers Briefing

NOTE: An endorsement of "Circling the Jumpers" on FAA Form 8710-7 is no longer required for the circling aircraft pilots.

In the event that a performance involves aircraft operating in the vicinity of parachutists, whether in free fall or under deployed canopies, all pilots and the jump master or team leader of the parachutists involved shall be present at the airshow briefing. The air boss or responsible person shall ensure that each participant understands the details of the performance which shall include, at the minimum, the following information:

a) The number of jumpers performing,

b) The types of and/or colors of parachutes,

c) The exit altitude and deployment altitude,

d) The planned flight path prior to exit, as well as, the descent area of the jump aircraft,

e) The number, make(s)/model(s) and color of the aircraft involved, and

f) Procedures to be used in the event of an unexpected occurrence.

If at any time the air boss determines that the circling the jumpers in not proceeding as briefed, the air boss must give a "Knock It OFF" to the circling aircraft. Upon receiving a "Knock It Off" the circling aircraft will make a cautious turn away from the jumpers and go to the previously determined holding area and wait for instructions from the air boss.

RESERVED. None.

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VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 18 OPERATIONS SPECIFICATIONS

Section 12 Part S—Voluntary Data Submission

3-18-12-1 GENERAL. Part S is issued to each certificate holder who conducts Title 14 of the Code of Federal Regulations (14 CFR) part 121 operations. The section is designed to collect information using the Web-based Operations Safety System (WebOPSS) format, but it is not an actual regulatory operations specification (OpSpec). Although this paragraph is required for all certificate holders per the WebOPSS guidelines, its completion by the certificate holders is completely voluntary. The Federal Aviation Administration (FAA) digital signature by the certificate holder's principal inspector (PI) only represents acceptance of the data and does not signify an authorization or approval. The information gathered here is intended only for use in evaluating industry-wide, safety-related issues and is not intended to reflect regulatory compliance.

NOTE: No answers to these questions should be construed as approval by the FAA. There will be several Part S Safety Enhancement (SE) templates for certificate holders to enter data for de-identified analysis.

3-18-12-3 S4XX—COMMERCIAL AVIATION SAFETY TEAM (CAST) SEs.

A. Collecting SE Data. In the wake of several accidents in the 1990s, the United States (U.S.) Government and key industry stakeholders established the joint government-industry CAST in 1998. To reduce the U.S. commercial aviation fatality rate, CAST uses an integrated, data-driven strategy that targets specific areas for improvement in both operations and airworthiness. Teams then develop SEs in these areas. By implementing the most promising SEs, CAST helped reduce the U.S. commercial air travel fatality rate by 83 percent. CAST has requested that part 121 certificate holders use WebOPSS to collect voluntary SE reporting. This system is normally used for operator authorizations, and, as such, those OpSpecs are considered regulatory documents. The Technical Programs Branch (AFS-260) has developed a new WebOPSS category, Part S, to collect selected CAST SE data. SE documents, which will be numbered S4XX, have boilerplate language clearly stating that the document is not an FAA OpSpec, that completion is voluntary, and that the FAA digital signature only represents acceptance of the data and not an authorization or approval. The "S" section is intended to gather critical information about the voluntary implementation of these SEs.

B. SE Implementation Status. All part 121 certificate holders will be asked to voluntarily provide their implementation status of these SEs, the method of implementation, the process to evaluate the implementation, and any other information, such as best practices and comments. The tracking of voluntary implementation of the CAST SEs will allow for accurate estimations of risk reduction. In addition, the S4XX tracking process will increase awareness of these enhancements to the certificate holders and FAA inspectors. PIs should include the appropriate CAST SEs in conversations with their assigned certificate holders and encourage certificate holder participation in applicable measures.

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NOTE: Since certificate holders voluntarily supply the information under the CAST provisions, PIs should not make safety or compliance assessments from these answers. Also, because the SEs are not required by FAA regulation, certificate holders, crewmembers, and manufacturers have wide discretion when they implement them. However, if the FAA and CAST do not receive the information, it will deprive CAST of the opportunity to gather data regarding the extent to which these SEs have been implemented by air carriers.

C. Work Instructions. Either the PI or the air carrier can move an S4XX document to the "Workspace" in WebOPSS. If the air carrier chooses to provide SE implementation information, the air carrier enters information to answer the questions in the document. The air carrier must select the "Certificate Holder applies..." option for the "Origin" when signing the document. The air carrier signature indicates that the information is complete and accurate. The PI then signs the document. The PI's signature is required only for the purpose of moving the completed S4XX to the "Issued" column for de-identified CAST reporting. The PI signature line for these documents states, "The Operator submits the status of Safety Enhancements contained in this document."

D. De-Identified SE Information. Title 49 of the United States Code (49 U.S.C.) § 40123 and 14 CFR part 193 protect the information provided by the certificate holders via S4XX in WebOPSS indefinitely. Withholding the information from disclosure is consistent with FAA safety responsibilities. To reach the FAA's safety goal, the FAA must be able to evaluate the implementation and effectiveness of SEs identified through CAST. Thus, unlike OpSpecs, these SE documents in WebOPSS are not releasable via the Freedom of Information Act (FOIA). The FAA may release de-identified S4XX aggregate data to the members of CAST to evaluate the effectiveness of SEs. The FAA will give de-identified information to CAST members who are government agencies only if each agency meets the requirements of part 193, § 193.7(e). The FAA will give de-identified information to CAST members that are not government agencies only if each member provides adequate assurance that it will protect the information from further release, and it will limit access to those with a need to know to carry out safety responsibilities.

1) Certificate holders, crewmembers, and manufacturers are encouraged to provide information related to the implementation of CAST SEs directly to the FAA inspectors or other FAA employees designated to receive such information. In this way, the information protected under this process will be easily identified and distinguished from information the FAA receives from other sources.

2) CAST has identified many air carrier-related SEs in its current plan; an initial set of S4XX SEs has been made available, with future SEs (e.g., S401) planned for later revisions. Because implementation is voluntary, and may be different at the various certificate holders or manufacturers, CAST members agree that it is important to collect information to evaluate the level of implementation. This information will be invaluable in measuring CAST's effectiveness in reducing the fatal accident rate and reducing future risk in civil aviation. The S4XX documents seek to collect data specific to SEs for part 121 operations and maintenance procedures, such as avoiding turbulence injuries and standard operating procedures (SOP).

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3) S4XX documents are not available through standard WebOPSS reports, such as National Paragraph Viewer. The certificate holder and their certificate management office (CMO) can access the specific responses to S4XX by the certificate holder.

E. More Information. Each SE has a Detailed Implementation Plan (DIP) outlining the elements of the SE. CAST SEs can be found at the following website: http://www.skybrary.aero/index.php/Category:CAST_SE_Plan. For questions regarding operations-related SEs, contact the Air Transportation Division (AFS-200); for airworthiness SEs, contact the Aircraft Maintenance Division (AFS-300).

3-18-12-5 through 3-18-12-19 RESERVED.

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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.

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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.

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.

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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.

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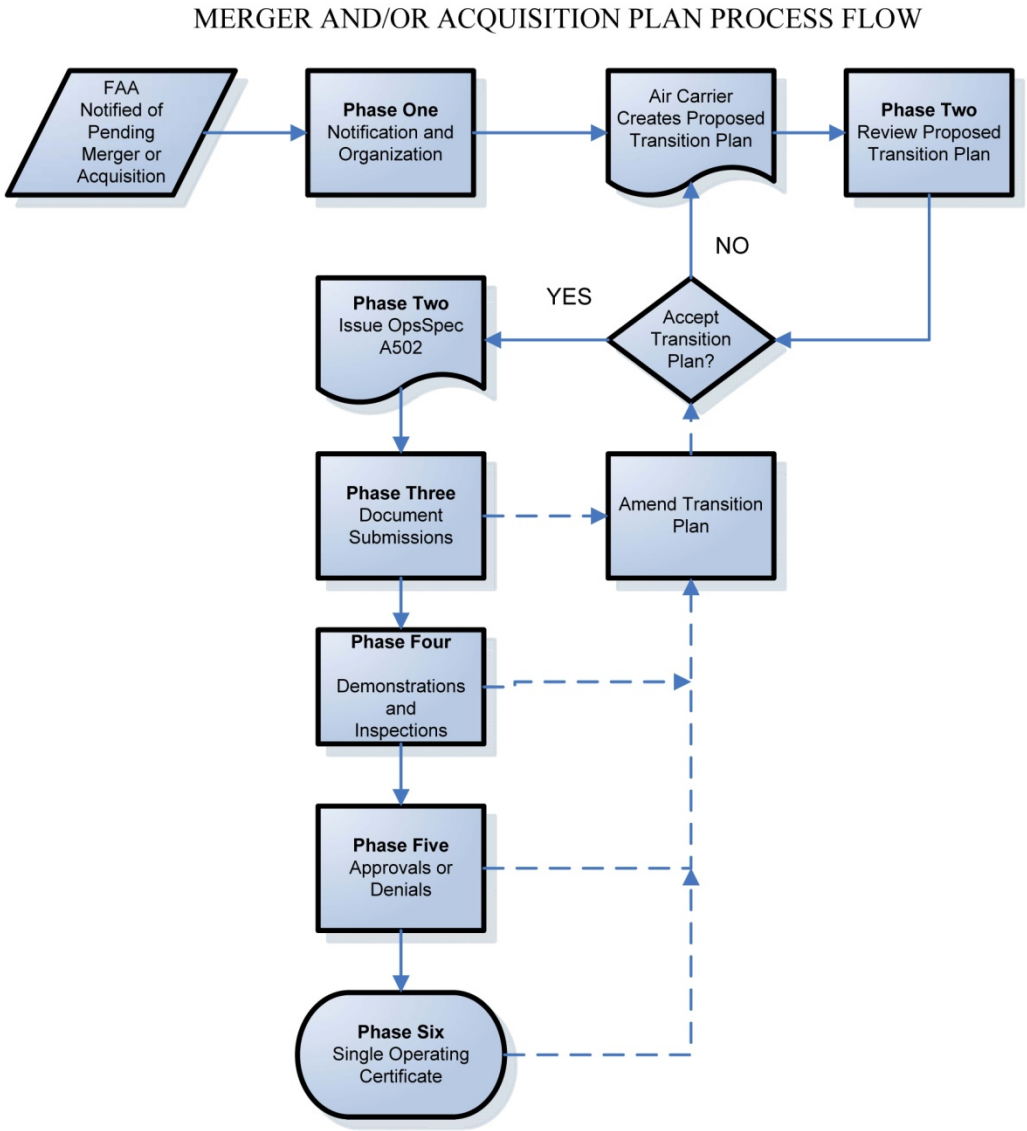
I. Documentation Tracking. Each aviation safety inspector (ASI) who reviews submitted programs will document each activity via Program Tracking and Reporting Subsystem (PTRS) codes 1236, 3236, 5236, or 8236 as appropriate after review and acceptance or approval of each submitted program. The CMT management 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



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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

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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.

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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.

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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.

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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).

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- 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;

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- 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

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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

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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

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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.

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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.

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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.

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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.

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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 3-3593E3)a) 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

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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

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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

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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.

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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/Servicing				
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				

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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				

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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				

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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.

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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

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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.

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VOLUME 3 TITLE GENERAL TECHNICAL ADMINISTRATION

CHAPTER 34 CHANGES TO AIR CARRIER, AIR OPERATOR, OR AIR AGENCY CERTIFICATE OR OPERATING AUTHORITY

Section 2 Major Changes in Operating Authority

3-3611 PURPOSE. This section contains direction and guidance for certificate managers and principal inspectors (PI) to use for processing an operator's application for a major change in its operating authority. There are three circumstances that constitute a major change in authority.

A. Transition to a Different Title 14 of the Code of Federal Regulations (14 CFR) Part. An operator may transition from one operating rule to another. For example, an air carrier conducting all-cargo operations in a Cessna Caravan (less than 7,500 pounds payload capacity) under 14 CFR part 135 transitions its entire fleet to B727 type airplanes (greater than 7,500 pounds payload capacity). This would require the air carrier to conduct those operations under 14 CFR part 121 due to the payload capacity of the new fleet.

B. Additional Operations Under a Different 14 CFR Part. An operator may request to conduct additional operations that another 14 CFR part governs. For example, an air carrier conducting all-cargo operations in a Cessna Caravan (less than 7,500 pounds payload capacity) under part 135 (on-demand) adds a B727 type airplane (greater than 7,500 pounds payload capacity) to its fleet. This would require the operator to operate the B727 under part 121 (supplemental) due to the payload capacity of the new airplane.

C. Additional Authority under the Same Part.

1) Change in Kind of Operation under the Same Part. An operator authorized to conduct any of these types of operations may request authority under the same part to conduct operations that were not previously authorized. Examples include:

- An air carrier with supplemental authority applying for domestic or flag authority.
- An air carrier with domestic authority applying for flag authority.
- An air carrier commercial operator with on-demand authority applying for commuter authority.

2) Request for Simultaneous Authority to Conduct Interstate Nonscheduled Operations and Intrastate Scheduled Operations.

a) Restrictions. Some operators that hold interstate on-demand authority have requested to add authority to engage in scheduled intrastate passenger-carrying operations. These intrastate operations are not under the jurisdiction of Department of Transportation (DOT) and do not require DOT economic authority. Intrastate operators cannot participate in interline agreements with air carrier certificate holders or carry mail. In addition, it is the DOT's position that an air carrier may not perform one kind of service under DOT authority while also performing another service outside of the DOT jurisdiction. Thus, an operator holding an air carrier certificate cannot conduct both interstate on-demand operations and intrastate scheduled

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passenger-carrying operations. If an operator requests certification for both interstate and intrastate scheduled operations as indicated in this subparagraph, notify the Air carrier Fitness Division of the DOT at 202-366-9721.

b) Options. An applicant that holds interstate on-demand authority requesting to add authority to engage in scheduled intrastate passenger-carrying operations has three options:

1. If the applicant wants to keep its existing air carrier certificate and on-demand interstate authority, then the applicant could fly less than five round trips per week on a published schedule under its existing on-demand authority. It does not need to complete any additional certification requirements, nor does it need any DOT economic authority.

2. If the applicant wants to keep its existing air carrier certificate and on-demand interstate authority, and the applicant intends to fly five or more round trips a week on a published schedule, it must complete the certification process to add commuter operating authority to its air carrier certificate and operations specifications (OpSpecs). The applicant would also have to receive a DOT fitness determination. This would allow it to conduct scheduled interstate operations in addition to scheduled intrastate operations.

3. If the applicant wants to limit its operations to scheduled intrastate only, then it must surrender its air carrier certificate and on-demand interstate authority. The applicant must be certificated as a commercial operator. The FAA will issue an operating certificate and OpSpecs with commuter and on-demand operating authority to the applicant. The applicant can conduct only scheduled and on-demand intrastate operations under this authority. It does not need DOT economic authority.

3) Request From an Existing Operator to Add a New Make and Model (Type) of Aircraft to its Operations. An operator who is authorized to fly certain make and model aircraft may request authority to add an additional make, model, and/or type to its fleet.

3-3612 APPLICATION AND APPROVAL PROCESS. Managers and PIs should view an operator's application for a major change in operating authority as a partial recertification of the operator. (The full approval process is described in Volume 2, Chapter 3, Section 1 (for part 121) and Volume 2, Chapter 4 (for part 135)). The certificate manager or the Flight Standards District Office (FSDO) having responsibility for the operator will form a certification team and appoint a team leader (TL), preferably one of the PIs. The certification team should follow all the guidance contained in Volume 2, Chapters 3 and 4 (as applicable), except that the certification process should be limited to the size and scope of the requested change. The certification team should follow the applicable guidance in the Major Change Process Document (MCPD) found in Volume 10, Chapter 7 when requests for major changes to part 121 operations occur.

RESERVED. Paragraphs 3-3613 through 3-3630.

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VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 34 CHANGES TO AIR CARRIER, AIR OPERATOR, OR AIR AGENCY CERTIFICATE OR OPERATING AUTHORITY

Section 3 Amendment, Surrender, Suspension, Revocation, and Replacement of Air Carrier, Operating, or Air Agency Certificates

3-3631 GENERAL. This section contains information, direction, and guidance for principal inspectors (PI)/Training Center Program Managers (TCPM) and other involved inspectors to use for accomplishing the amendment, surrender, suspension, revocation, and replacement of Air Carrier, Operating, or Air Agency Certificates.

NOTE: The term "operator" is used in this section to refer to the holder of an Air Carrier Certificate, Operating Certificate, or Air Agency Certificate.

3-3632 BACKGROUND.

A. Regulations. The basis for these various certificate actions is found in Title 49 of the United States Code (49 U.S.C.) § 44709 and in Title 14 of the Code of Federal Regulations (14 CFR) part 13, § 13.19; part 119, §§ 119.41 and 119.61(a); part 133, § 133.13; part 137, § 137.17; part 141, § 141.13; part 142, § 142.11; part 145, § 145.57; and part 147, § 147.7. These actions can proceed with a full agreement between the PI/TCPM and the operator, or they may be contested. The PI shall see Volume 14, Chapter 1, Section 1, Flight Standards Service Compliance Philosophy, and Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure, before any action described in this section is taken.

B. Transfer. A certificate issued under § 119.39 is not transferable and, unless sooner surrendered, suspended, or revoked, shall remain in effect indefinitely in accordance with § 119.61. However, when a person (as defined by 14 CFR part 1, § 1.1, which includes an individual and many types of organizations) holds a certificate, the person who owns or controls the organization may sell or transfer the organization to another person. Incident to such sale or transfer of the organization, the certificate becomes the property of the new owner.

C. Certificate Actions. Inspectors should have an understanding of the distinctions between the various certificate actions that can occur. A certificate is a document that contains the name of the operator, a broad statement of the operator's operating authority, and an effective date. An operator may not conduct operations without possession of a valid certificate.

D. Amendment of a Certificate. The amendment of a certificate is a change to the information on the face of the document, usually as the result of a name change or administrative change. Certificates rarely require an amendment because the details of operating authorizations are contained in the operations specifications (OpSpecs)/training specifications (TSpecs) or equivalent (i.e., authorizations).

E. Surrender of a Certificate. The surrender of a certificate occurs when an operator voluntarily gives up operating authority.

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F. Suspension of a Certificate. The suspension of a certificate is the temporary, involuntary removal of an operator's operating authority by the FAA using due process of law. Suspension usually results in the restoration, revocation, or surrender of the operator's operating authority.

G. Revocation of a Certificate. The revocation of a certificate is the permanent, involuntary removal of an operator's operating authority by the FAA using due process of law.

H. Replacement of a Certificate. The replacement of a certificate is the reissuance of a new certificate to an operator when the operator's original certificate has either been lost or destroyed.

3-3633 AMENDMENT OF A CERTIFICATE: OPERATOR-INITIATED AMENDMENT.

A. Name Change. A change of the certificate holder's legal name without a change of ownership requires a new certificate and updated OpSpecs under § 119.9, but may not require a new certificate number. To avoid administrative burdens and ensure consistency in historical records of an operator, PIs may permit a name change and change in ownership without issuing a new certificate number. However, PIs must ensure the certificate holder is not using the name change to circumvent initial certification requirements or conceal the past history of an operator. Air Carrier Certificates, Operating Certificates, and OpSpecs must accurately reflect the certificate holder's name.

B. Change in Ownership. When only the ownership of the organization to which the certificate is issued changes, PIs do not need to arrange for issuance of a new certificate number. Changes in ownership that also involve changes in economic authority, operating authority, required operating personnel, or changes in the principal base of operations may require additional certification. Volume 3, Chapter 34, Section 2 contains FAA policy governing major changes to air carrier operating authority. For information related to changes of ownership of repair stations, see Volume 2, Chapter 11, Section 2; and refer to § 145.57.

C. Notifications.

1) Aviation Data Systems Branch (AFS-620) must receive notification from PIs at 9-AMC-AFS620-Certinfo@faa.gov when either of the following circumstances occurs:

a) The name shown on the certificate changes, or

b) The PI determines a new certificate number should be issued.

2) OpSpecs, manuals, and FAA records will need to be amended where necessary to show any new information.

3) PIs should be aware that Department of Transportation (DOT) regulations, at 14 CFR part 215, require the certificate holder to submit information about changes in ownership and other changes to DOT.

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D. Changes in Ownership that are the Result of a Merger or Acquisition.

1) For air carriers operating under 14 CFR part 121, changes in ownership that are the result of a merger or acquisition of operational assets are governed by policy contained in Volume 3, Chapter 34, Section 1.

2) For air carriers operating under 14 CFR part 135:

a) Changes in ownership that are the result of a merger or acquisition of a company will require the same considerations if the conditions in Volume 3, Chapter 34, Section 1, subparagraph 3-3591A1) exist.

b) Absent the conditions listed in Volume 3, Chapter 34, Section 1, subparagraph 3-3591A1), and when neither major personnel changes nor changes in the capability or characteristics of an operation occur, the PI is not required to issue a new certificate number. However, the PI may elect to require a new certificate number if the PI determines safety in air commerce or the public interest require the amendment, pursuant to § 44709.

E. Verification of U.S. Citizenship. When a change of ownership occurs, the PI must ensure the certificate holder meets the requirements of § 119.33(a)(1) and (b)(1).

F. Partial Change of Certificate Number. There may be rare cases where AFS-620 elects not to change the entire certificate number. Instead, AFS-620 may leave the designator element intact, but change the numeric and alpha suffix code (e.g., a change from certificate number TWRA118A to TWRA119B). With partial certificate number changes, PIs must still update the Operating Certificate or the Air Carrier Certificate, and the appropriate certificate holder documents, to reflect the correct numeric and alpha suffix code. (See Volume 2, Chapter 1, Section 3 for more information on certificate number construction.)

G. Prepare the New Certificate. When the PI is ready to prepare the new certificate, contact AFS-620 via the email listed in subparagraph 3-3633C1) and AFS-620 will issue any new certificate number and update the database.

H. DOT Notification. Any operator required to have economic authority from the DOT must notify the DOT when there is a change in name or ownership. An air taxi operator must submit an amended Office of the Secretary of Transportation (OST) Form 4507, Air Taxi Operator Registration and Amendments Under Part 298 of the Regulations of the Department of Transportation, and file a new OST Form 6410, U.S. Air Carriers—Certificate of Insurance. These documents will be filed no later than 30 days after the change. The PI is not required to wait for DOT approval and may simultaneously issue a name change to the Operating Certificate and OpSpecs upon notification and verification of the DOT filing. (See Volume 2, Chapter 2, Section 2 for additional information relating to DOT economic authority.)

3-3634 REPLACEMENT OF A LOST OR DESTROYED CERTIFICATE. A lost or destroyed certificate may be replaced by the certificate-holding district office (CHDO) using the same information that was on the original certificate. The replacement certificate should have the word “Duplicate” annotated on the front of the certificate. A copy of the duplicate certificate should be retained in the CHDO’s files. In the case of a destroyed certificate, the operator must

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send any remains of the certificate to the PI with a written request that the certificate be replaced and a sworn statement (i.e., Affidavit of Loss) describing why the replacement is being requested. The operator, agent for service, or a court-appointed individual authorized to act for the operator must sign the request and statement.

3-3635 SURRENDER OF A CERTIFICATE. The FAA's regulations provide for the voluntary surrender of FAA-issued certificates for cancellation. Refer to, for example, 14 CFR part 61, § 61.27(a); part 63, § 63.15(c); part 65, § 65.15; § 119.61(a)(1); and § 145.55(a) and (b).

A. Voluntary Surrender. A PI/TCPM may request, but may not compel, operators to voluntarily surrender certificates. An operator may voluntarily surrender a certificate unless it is the subject of an enforcement investigation or enforcement action, as described in subparagraph 3-3635D). Refer to the current edition of FAA Order 2150.3, FAA Compliance and Enforcement Program, Chapter 5, paragraph 14(b), Surrender of FAA Certificate for Cancellation. To do so, the operator should send the certificate to the PI/TCPM with a written request that the certificate be canceled and a statement of why the certificate is being surrendered. The request must be signed by the operator, agent for service, or a court-appointed individual authorized to act for the operator.

B. Lost or Destroyed Certificates. This procedure also applies to certificates that have been lost or destroyed. Where the certificate has been lost or destroyed, the PI will obtain an Affidavit of Loss as described in paragraph 3-3634. The PI/TCPM will enter a brief statement of the circumstances surrounding the voluntary surrender of the certificate in the "Comments" section of the operator's enhanced Vital Information Database (eVID). A certificate that has been surrendered should be retained at the CHDO along with a copy of the operator's OpSpecs/TSpecs or equivalent (i.e., authorizations) and retained in accordance with FAA Order 1350.14, Records Management.

C. Reinstatement of Voluntarily Surrendered Certificate. A voluntarily surrendered certificate may not be reinstated. If the operator subsequently decides to reinstate operations, the operator must apply and qualify for a new certificate.

D. Surrendering an Operating Certificate in Lieu of an Enforcement Action. The PI/TCPM should be alert for indications that a certificate holder is attempting to avoid a certificate action through the voluntary surrender of a certificate, including whether the certificate holder is the subject of an enforcement investigation or enforcement action. Consequently, before determining whether to accept a certificate holder's voluntary surrender of a certificate, the PI/TCPM must review actions in the Enforcement Information System (EIS) and other databases showing investigative or enforcement activity. If the EIS or any other database reveals that the certificate holder is the subject of an enforcement investigation or enforcement action, the PI/TCPM must refuse the certificate holder's attempt to voluntarily surrender the certificate. If there is an ongoing investigation, it will continue, and enforcement action will be recommended if appropriate. Refer to Order 2150.3, chapter 5, paragraph 14, and appendix A for more information.

3-3636 ADVERSE ACTIONS. In accordance with § 13.19(b), the FAA may find it necessary to amend, suspend, or revoke all or part of a certificate without the operator's concurrence. In

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general, the PI should initiate an adverse action of this nature after an unsuccessful attempt has been made to negotiate with the operator concerning the voluntary amendment or surrender of the certificate. When an adverse action is appropriate, the Regional Flight Standards Division Manager (RFSDM) and the Assistant Chief Counsel for Enforcement (AGC-300) will confer and decide whether an order should be issued for the amendment, suspension, or revocation of the operator's certificate. The PI must prepare the enforcement package in accordance with Volume 14 and Order 2150.3. The order to amend, suspend, or revoke a certificate should be a mutual decision between the PI, the RFSDM, and the Office of the Chief Counsel (AGC).

A. Emergency Actions. Where an emergency exists, the order that amends, suspends, or revokes the certificate may be made effective immediately.

B. Appeals. The operator may appeal an order amending, suspending, or revoking its certificate to the National Transportation Safety Board (NTSB). Should the operator elect to appeal a certificate action to the NTSB, the effective date of the order is stayed until the NTSB acts on the appeal, unless it is an emergency order.

3-3637 SUSPENSION OF A CERTIFICATE. To suspend a certificate, AGC will issue the operator an order of suspension. Information concerning the disposition of a suspended certificate can be found in Order 2150.3. Operators must forward suspended certificates to the address contained in the order suspending the certificate. When a certificate has been suspended, the operator's eVID file should be amended to reflect the suspended status.

3-3638 REVOCATION OF A CERTIFICATE. To revoke a certificate, AGC will issue the operator an order of revocation. Operators must forward revoked certificates to the address contained in the order revoking the certificate. Additionally, the operator's eVID file should be amended to show that the certificate has been revoked and should contain a statement of the reasons for the action in the "Comments" section. Should revocation be appropriate, see paragraph 3-3636.

3-3639 TRANSPORTATION SECURITY ADMINISTRATION (TSA) NOTIFICATION. Any time an operator's certificate is amended, suspended, surrendered, or revoked, the CHDO will notify their TSA principal security inspector (PSI) at Charters-AirCargo-S@tsa.dhs.gov. Indicate the operator's name, certificate number, type of change in the certificate, and the effective date of the change. It is important to make this notification in order for the PSI to secure all security-sensitive documents from the operator.

RESERVED. Paragraphs 3-3640 through 3-3655.

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VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 2 TITLE 14 CFR PART 61 CERTIFICATION OF PILOTS AND FLIGHT INSTRUCTORS

Section 5 Miscellaneous Part 61 Certification Information

5-311 GENERAL. The information in this section is supplemental and does not always apply directly to the actual certification of airmen. Some of the information is safety-related. Aviation safety inspectors (ASI) should be aware of this information and relate it to examiners or flight instructors. Other information notes items to consider during surveillance of airmen, instructors, or examiners.

5-312 USE OF FLIGHT SIMULATION TRAINING DEVICE (FSTD) APPROVED TO CONDUCT § 61.58 PILOT-IN-COMMAND (PIC) PROFICIENCY CHECKS. Title 14 of the Code of Federal Regulations (14 CFR) part 61, § 61.58 requires that to serve as PIC of an aircraft certificated for more than one pilot, the PIC must have completed a proficiency check in the particular type aircraft since the beginning of the 24th calendar-month before the month in which the pilot acts as PIC. However, the PIC proficiency checks of § 61.58 may be performed in an FSTD in accordance with the applicable provisions set forth in § 61.58(g).

5-313 USE OF AN FSTD IN ACCORDANCE WITH § 61.45. Applicants are permitted to use an approved FSTD during the practical test.

5-314 COMPLIANCE WITH ENGLISH LANGUAGE REQUIREMENTS OF PART 61 FOR PILOT CERTIFICATION. Sections 61.65, 61.75, 61.83, 61.96, 61.103, 61.123, 61.153, and 61.183 have requirements governing competency in the English language as an eligibility requirement for all grades of pilot certificates issued under part 61. All applicants must be able to read, speak, write, and understand the English language. Only an applicant who is unable to meet one of these requirements due to medical reasons (e.g., hearing impaired) is permitted to be issued a pilot or flight instructor certificate. In this case, the Administrator may place such operating limitations on the applicant's certificate that are necessary for the safe operation of the aircraft. For example, the limitation, "NOT VALID FOR FLIGHTS REQUIRING THE USE OF RADIOS," may be placed on the applicant's certificate. Only a Federal Aviation Administration (FAA) ASI is authorized to remove the limitation from a certificate. Examiners may not do so unless specifically authorized by the supervising Flight Standards District Office (FSDO).

> NOTE: A limitation is given only if the inability to meet the requirements is due to a medical condition/disability. It does not apply to applicants unable to meet the requirements due to lack of fluency, inadequate articulation and/or comprehension of the English language, or accent to the degree that speech is not clearly understood; those applicants may not be issued a U.S. pilot certificate.

A. Standards and Testing. Several questions have been raised concerning the standards and the testing to determine whether an applicant can read, speak, write, and understand the English language (refer to the current edition of Advisory Circular (AC) 60-28, English Language Skill Standards Required by 14 CFR Parts 61, 63, and 65). While there are no

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practical test standards (PTS) established to ascertain the applicant's English language ability, the following examples may be used as guidelines in this evaluation:

1) An ASI may ask the applicant to listen to a tape recording of an air traffic control (ATC) clearance or instructions, then ask the applicant to speak and explain the clearance or instructions back to the examiner in the English language.

2) An applicant may be asked to write down in English the meaning of an ATC clearance, instructions, or a weather report, then asked to speak and explain the clearance, instructions, or weather report back to the ASI in the English language.

NOTE: The intent is not to require the applicant to read, speak, write, and understand the English language at college-level standards. A common sense approach should be used in evaluating an applicant for this requirement.

B. Aviation Standard. The English language has been accepted as the international standard by the International Civil Aviation Organization (ICAO). However, the effectiveness of part 61 regarding the English competency of pilots of all nationalities depends on compliance with, and enforcement of, the English language competency requirements. As specified in the Information for Operators (InFO) 08012 that addresses the FAA's stance on the "English Proficient" rule, ICAO requires airmen to meet at least a Level 4 standard. FAA certificate holders who have "English Proficient" on their airman certificates are said to hold at least the minimum Level 4 requirement. There are not specific levels listed in the airman documentation since a prerequisite requirement to obtaining an FAA certificate is the ability to read, speak, write, and understand English.

C. Information to Disseminate. ASIs should ensure that the following information is disseminated during contacts with flight and ground instructors, approved schools, the aviation community, and Designated Pilot Examiners (DPE).

1) ASIs should require positive personal identification from each applicant for a pilot certificate under the regulations as specified in § 61.3.

2) All applicants must be able to read, speak, write, and understand the English language. Only an applicant who is unable to meet these requirements due to medical reasons (e.g., hearing impairment and/or speech impairment due to medical reasons) is permitted to be issued a pilot or flight instructor certificate with the limitation specified in paragraph 5-326.

3) Under § 61.13, an ASI may not accept applications for a pilot certificate through the mail. An application presented in person at the FSDO may be processed and an appropriate certificate issued. The certificate will not bear an English language limitation only when the FAA has verified that the applicant is able to read, speak, write, and understand the English language sufficiently. An English language limitation may be removed when the person demonstrates competency in the English language (see Volume 5, Chapter 1, Section 5).

4) If the holder of a pilot certificate without an English language operating limitation cannot demonstrate compliance with the English language competency requirements for the grade of pilot certificate held, ASIs should initiate action in accordance with Volume 7 and the

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current edition of FAA Order 2150.3, FAA Compliance and Enforcement Program. Under Title 49 of the United States Code (49 U.S.C.), this could result in suspension, revocation, or reissuance of the pilot certificate with an appropriate operating limitation.

5-315 PILOT CERTIFICATE REQUIREMENTS AND THE LOGGING OF FLIGHT TIME IN HANG GLIDERS, ULTRALIGHTS, POWERED (MOTORIZED) GLIDERS, AND OTHER VEHICLES. The following guidance is designed to clarify issues concerning the logging of flight time and minimum pilot certificate requirements for hang gliders, ultralights, and similar vehicles.

A. Noncertificated Vehicles. Title 14 CFR part 103, § 103.7(b) does not require airman certification of operators of certain ultralight vehicles.

B. Logging Time. Unless the vehicle is type certificated (TC) as an aircraft in a category listed in § 61.5(b)(1) or as an experimental aircraft, or otherwise holds an airworthiness certificate, flight time acquired in such a vehicle may not be used to meet requirements of part 61 for a certificate or rating or to meet recency-of-experience requirements.

C. Minimum Certificate Requirements. To operate a small aircraft with an experimental airworthiness certificate, at least a student pilot certificate is required. The certificate must be properly endorsed in accordance with § 61.87, except in the case of an aircraft operating limitation that requires the PIC to hold an appropriate category/class rating. In that case, the pilot must hold at least a private pilot certificate.

D. Logging Time in Powered Gliders. Flight time in a powered glider cannot be logged as required airplane pilot flight time unless the aircraft is TC'd as an airplane. Flight time used to meet recency-of-experience requirements or the requirements for a certificate or rating may only be logged according to the category in which the aircraft is TC'd (airplane, glider, etc.). Powered gliders may be TC'd either as gliders or airplanes.

5-316 PILOT TYPE RATING REQUIREMENTS IN AIRCRAFT CERTIFICATED UNDER SPECIAL FEDERAL AVIATION REGULATION (SFAR) 41. SFAR 41 was adopted to allow certain small propeller-driven, multiengine airplanes originally TC'd in accordance with 14 CFR part 23 before October 17, 1979, to be operated at a maximum TC'd takeoff weight exceeding 12,500 pounds. These airplanes may also be configured with more than 10 passenger seats.

A. Commuter and On-Demand Operators. Requirements for commuter and on-demand operators under 14 CFR part 135 were amended to allow the operation of airplanes certificated under SFAR 41. Since the adoption of SFAR 41, operation of these airplanes is routinely conducted under 14 CFR parts 91 and 135. Among the first aircraft to be certificated under SFAR 41 were certain models of Swearingen turboprop airplanes, the first of which was certificated on September 25, 1980.

B. Type Ratings. Under § 61.31(a), a pilot may not act as PIC of a large airplane (more than 12,500 pounds maximum certificated takeoff weight) unless the pilot holds a type rating for that airplane. Section 61.63(d) provides the requirements for issuance of type ratings. The FAA, through its aircraft TC process, concluded that a type rating could be issued for the

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operation of Swearingen-Fairchild SA-226/SA-277 aircraft. Thus, a single-pilot type rating (SA-227) was established and listed in the current edition of AC 61-89, Pilot Certificates: Aircraft Type Ratings, for pilot type rating reference.

1) Because of the similarity of the SFAR 41 aircraft to the predecessor model aircraft, the unavailability of the SFAR 41 aircraft, the economic burden connected with placing these aircraft into service, and the sophistication of FAA-approved full flight simulators (FFS), which permit training and checking to be conducted simulating the more than 12,500-pound maximum gross takeoff weight (GTOW) version, the regulations permitted the type rating check for the Swearingen-Fairchild SFAR 41 aircraft to be given in the non-SFAR 41 aircraft, which required no type rating.

2) It is considered appropriate to allow pilots of part 135 operations who were fully qualified in the non-SFAR 41 version of this aircraft, and who had satisfactorily completed the FAA-approved differences ground training course and a knowledge or oral test for the SFAR 41 aircraft, to operate that aircraft in part 135 operations without a type rating until the pilot's next regularly scheduled instrument proficiency check (IPC). This action was accomplished by exemption. A continuation of the above procedure was also deemed appropriate in the case of the Embraer Bandieranti Model 110P1 and P2 aircraft subsequently approved for retrofit under SFAR 41.

C. Second in Command (SIC). Part 91, § 91.531(a)(1) provides that no person may operate a large airplane without a pilot who is designated as an SIC. However, under an amendment to part 91, this section was revised to allow SFAR 41 airplanes to be operated without a pilot who is designated as an SIC if that airplane is TC'd for operations with only one pilot crewmember.

D. ASI Information. Office managers should ensure that all FSDO certification personnel are informed of the above information and are guided by the following instructions concerning the operation of SFAR 41 aircraft.

1) The training, testing, and certification of pilots in a series of aircraft TC'd under SFAR 41 should be accomplished in accordance with the procedures described herein and with appropriate provisions of the operating rules under which the aircraft is to be placed in service. However, the Flight Standardization Board (FSB) responsible for a particular SFAR 41 aircraft may, through its evaluation, determine that a separate type rating is appropriate.

2) Because of increased availability of SFAR 41 aircraft, grants of exemption are no longer considered to be in the public interest for the identified aircraft and, when terminated, will not be reissued.

5-317 EXCHANGE OF VALID PILOT CERTIFICATES.

A. Field Reissuance. Valid pilot certificates and ratings may be reissued or exchanged by ASIs in the field. A certificate may be reissued by applying on FAA Form 8710-1, Airman Certificate and/or Rating Application. Sport pilot certificates may be reissued by applying on FAA Form 8710-11, Airman Certificate and/or Rating Application – Sport Pilot. The dates of valid pilot certificates are found in § 61.11.

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B. Pre-1945 Certificates. Private or commercial certificates issued before July 1, 1945, have expired and cannot be reissued. Certificates issued between January 1, 1942, and July 1, 1945, could have been exchanged without further showing of competence until August 23, 1956. A person who did not use the exchange privilege is considered to be the same as a person who has never held a certificate. That person must meet the requirements of part 61, including the need for knowledge and practical tests. Flight time accumulated with the previously held certificate can be credited toward the present requirements for a certificate or rating.

C. Changes to Personal Data. A person applying for any change to the personal data on their pilot certificate must present, to an FAA ASI, appropriate documentation acceptable to the Administrator which substantiates the validity of the requested change. The purpose of this documentation is to preclude reissuance of an invalid pilot certificate.

1) The following items typify the kind of changes that require such documentation:

- Change of name.
- Change of nationality (requires a passport or a copy of the naturalization document). (This includes dual citizenship.)
- Change of gender.
- Change in date of birth.

NOTE: For a change of nationality, if the applicant does not wish to have the naturalization document copied and included in the FAA file, then the applicant must sign a separate piece of paper that lists the petition number of the U.S. nationality document, name of the court and location where the hearing occurred, and the date of the nationality hearing. The ASI will review and sign for accuracy.

2) The applicant should fill out FAA Form 8710-1 for reissuance.

3) After examining and verifying the documentation, the ASI issues FAA Form 8060-4, Temporary Airman Certificate, reflecting the appropriate change. The ASI fills out the “Inspector’s Report” section on the application (FAA Form 8710-1) and forwards the application, the superseded certificate, and the original temporary certificate to the Airmen Certification Branch (AFS-760). The date of issuance on the Temporary Airman Certificate (FAA Form 8060-4) will match the date the inspector/aviation safety technician (AST) signed the report.

D. Change of Gender. For a change of gender on an airman certificate, the original copy of one of the two documents below must be provided to the certifying ASI. After examining and verifying these documents, the ASI photocopies the document and attaches the photocopy to FAA Form 8710-1. In Section I, under “Other,” the ASI notes gender change reissuance in the space provided. The file is then forwarded to AFS-760 for processing. The document must be one of the following:

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1) A court order, issued by a court of the United States or its territories, stating that the individual has changed his/her gender to ___, or a court order stating that the individual's gender is ___; or

2) A physician's statement clearly indicating that the individual has undergone, or is in the process of, gender reassignment.

NOTE: The applicant or inspector will not be able to utilize the Integrated Airman Certification and Rating Application (IACRA) for a reissue due to changes to personal data. Currently, there is not a working path for "Reissues," and there is not a process in place for electronic attachments in IACRA, so the application must be processed via a "paper" application form.

E. Lighter-Than-Air Category Ratings. On November 1, 1973, pilot certificates with a lighter-than-air category rating, which had no class rating, became obsolete (not expired). The same is true of pilot certificates showing a free balloon class rating, but not the lighter-than-air category rating. Holders of these certificates were originally qualified in the airship class. There was a time when anyone could walk into a FSDO and, by merely filling out an appropriate form, receive a private pilot certificate with "HOT-AIR BALLOON ONLY" shown in Section XII of the Temporary Airman Certificate (FAA Form 8060-4).

1) Until April 3, 1965, it was possible to obtain private pilot certificates with balloon class ratings and no category rating depicted on the certificate. Holders of these certificates had to qualify in gas balloons to be authorized to serve as PIC of any sort of free balloon. Individuals who qualified in hot-air balloons with airborne heaters received ratings which read, "FREE BALLOON, LIMITED TO HOT-AIR BALLOONS (WITH OR WITHOUT AIRBORNE HEATER)," and could fly any hot-air balloon, but not a gas balloon. Qualification in the carnival-type balloon without an airborne heater limited the certificate holder to these hot-air balloons only.

2) Before November 1, 1973, no provisions existed for issuing private pilot certificates for free balloons; consequently, until October 31, 1975, (when the "grandfather privileges" of part 61 expired), obsolete balloon pilot certificates were reissued as commercial pilot certificates with appropriate category and class rating.

3) Two conditions may be encountered in exchanging lighter-than-air pilot certificates:

a) If the certificate does not contain a class rating and was submitted for exchange before November 1, 1975, a new private or commercial pilot certificate, as appropriate, will be issued as, "LIGHTER-THAN-AIR-AIRSHIP AND FREE BALLOON."

b) If the certificate shows a lighter-than-air category and contains an airship class rating issued before October 31, 1973, and application was made for a free-balloon rating after November 1, 1975, the holder must pass the appropriate free-balloon flight test. To obtain an unlimited free-balloon class rating, the applicant would have to pass the gas balloon flight test.

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4) Several variations of balloon certificates may be presented for exchange.

a) If the obsolete certificate reads, “FREE BALLOON,” it will be reissued as, “LIGHTER-THAN-AIR-FREE BALLOON.”

b) If the certificate reads, “HOT-AIR BALLOONS ONLY” or “FREE BALLOON, LIMITED TO HOT-AIR BALLOONS (WITH OR WITHOUT AIRBORNE HEATER),” it will be reissued as, “LIGHTER-THAN-AIR-FREE BALLOON, LIMITED TO HOT-AIR BALLOONS WITH AIRBORNE HEATER.” The hot-air balloon limitation may be removed when the holder obtains the pilot experience required for a rating on a gas balloon. No flight test is required.

c) If the certificate reads, “HOT-AIR BALLOON WITHOUT AIRBORNE HEATER” or “FREE BALLOON, LIMITED TO HOT-AIR BALLOONS (WITHOUT AIRBORNE HEATER),” it will be reissued as, “LIGHTER-THAN-AIR-FREE BALLOON, LIMITED TO HOT-AIR BALLOONS WITHOUT AIRBORNE HEATER.” To have the airborne heater limitation removed, the holder must obtain the pilot experience and pass the flight test required for a hot-air balloon with an airborne heater rating. To have the hot-air balloon limitation removed completely, the pilot must obtain the experience and pass the flight test for free (gas) balloons.

5) If, after November 1, 1974, the applicant obtained the pilot experience (private or commercial) and successfully completed a flight test in a hot-air free balloon without an airborne heater, the limitation in Section XII should be, “LIGHTER-THAN-AIR-FREE BALLOON, LIMITED TO HOT-AIR BALLOONS WITHOUT AIRBORNE HEATER.” This limitation (without airborne heater) can be removed by obtaining the required experience and passing the flight test required in a free balloon with airborne heater. The limitation in Section XII would then read, “LIGHTER-THAN-AIR-FREE BALLOON, LIMITED TO HOT-AIR BALLOONS WITH AIRBORNE HEATER.”

6) If the applicant obtains the pilot experience (private or commercial) and successfully completes a flight test in a hot-air free balloon equipped with an airborne heater, the limitation in Section XII would read, “LIGHTER-THAN-AIR-FREE BALLOON, LIMITED TO HOT-AIR BALLOONS WITH AIRBORNE HEATER.” This limitation (with airborne heater) can be removed when the holder obtains the experience required for a rating in a gas balloon. This required experience must be obtained in a gas balloon and no flight test is required. Section XII would read, “LIGHTER-THAN-AIR-FREE BALLOON.”

7) When an applicant obtains the pilot experience (private or commercial) and successfully completes a flight test in a free gas balloon, the limitation in Section XII would read, “LIGHTER-THAN-AIR-FREE BALLOON.”

8) Unlike “old” part 61, the new rule does not automatically give the holder of a lighter-than-air category with an airship class rating the privilege to serve as PIC of a free balloon. Before the free balloon class rating can be added to the certificate, the experience and skill requirements for this rating must be met.

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9) Before adoption of part 61 (revised), there were several cases where a pilot held two certificates, one for heavier-than-air and one for a lighter-than-air class rating.

a) Holders of these certificates may exchange them for a single-pilot certificate bearing all appropriate ratings. Either certificate number may be used.

b) Holders of these pilot certificates should be encouraged to combine them into the one certificate at any time either is amended or reissued.

5-318 VOLUNTARY SURRENDER OF CERTIFICATE OR RATING. Application for voluntary surrender, or "downgrading," of a pilot certificate or rating may be accepted by an ASI only in accordance with § 61.27. No certificate or rating may be accepted for surrender or downgrading unless the applicant submits a request in writing and fully understands that he or she has no reinstatement rights.

A. Conditions for Surrender. There are four basic conditions for the surrender of an airman certificate or rating:

1) Voluntary surrender unrelated to an enforcement case;

2) Voluntary surrender in anticipation of FAA certificate action;

3) Voluntary, temporary deposit of an airman's certificate to the custody of the FSDO when an airman's competency has been questioned by the FAA and the enforcement action or reexamination is justifiably delayed; and

4) Surrender at Regional Counsel's request.

B. Reason for Surrender. No airman certificate may be accepted by an FAA ASI unless the reason for surrender is identified. Surrender of that certificate must be in accordance with procedures described in this handbook. Under no circumstance may a pilot certificate be accepted for voluntary surrender unless the ASI immediately contacts the Regional Counsel and explains the facts and circumstances concerning the surrender. The airman's certificate may be accepted only with the concurrence of, and in accordance with, directions of the Regional Counsel. Legal enforcement cases involving the surrender of an airman certificate must be forwarded to the Regional Office (RO) for processing no later than 5 days after the date of certificate surrender.

1) If no enforcement action is pending or being contemplated under § 61.27, an airman may, for personal reasons, voluntarily surrender the certificate to the FAA for the purpose of cancellation of the certificate, reissuance of the certificate at a lower grade, or reissuance of the certificate with specific ratings deleted.

a) An airman may have many reasons for voluntarily surrendering or exchanging a certificate. One reason could be that the FAA has questioned the pilot's competency, and the airman is to be reexamined under 49 U.S.C. § 44709. In this instance, the airman may elect to surrender the certificate or rating, in writing, in lieu of submitting to reexamination (see Figure 5-22, Letter of Surrender (In Lieu of a Reexamination)).

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b) When an airman elects to surrender the certificate as described above, the ASI may accept the certificate, along with a letter of surrender signed by the airman (see Figure 5-22A, Letter of Voluntary Surrender). The certificate, the original Temporary Airman Certificate (FAA Form 8060-4), the application for the issuance of a modified certificate (FAA Form 8710-1), and the letter of surrender should be forwarded to AFS-760.

c) The surrender letter must clearly spell out the incident or event and the airman's involvement. The letter should state that the airman has been apprised of his or her legal rights and clearly state the voluntary nature of the surrender in view of these rights. The letter may not be conditional and must be patterned after Figure 5-23, Letter of Surrender (Pending Enforcement Action).

2) An airman may surrender a pilot certificate to the FAA at any stage of an investigation (refer to Order 2150.3). Great care must be exercised when accepting an airman certificate for surrender when enforcement action is pending.

a) The eventual action of the FAA could possibly be other than certificate action. In addition, the Regional Counsel's office may be unable to provide priority handling of such cases (the failure to promptly issue an Order of Suspension or Order of Revocation may impose an undue sanction on the airman).

b) Not only must the surrender be voluntary, but it must also be documented as such. It must be absolutely clear that no FAA coercion was used. For example, if an FAA ASI, during an investigation, told an airman that the airman had violated a regulation, then accepted the certificate for surrender, the action would not appear voluntary. In a legal enforcement case, no FAA ASI has either the authority or responsibility to make such a statement; this is a function of the Regional Counsel.

c) The airman must be told that any statement the airman makes can and may be used against the airman in legal proceedings, and that the airman need not make any statement without being represented by legal counsel.

d) The airman must be apprised of FAA legal enforcement procedures, as described in 14 CFR part 13, §§ 13.15 and 13.19.

3) An airman may temporarily deposit an airman certificate voluntarily in the custody of a FSDO (for a maximum of 30 days at a time) while the airman is preparing for a reexamination of competence. The airman must be informed, in the presence of a third person, that the airman is not required to deposit the airman certificate with the FSDO or to sign any statement. This procedure can also be used for an airman convalescing from an accident or an illness, or for a person having the aircraft repaired that is intended to be used for the reexamination flight check.

a) Temporary deposit must never be used to resolve a violation of the regulations (i.e., reexamination is not used as a punishment or as a substitute for enforcement action). A Temporary Airman Certificate (FAA Form 8060-4) with the original certificate number affixed may be issued to the airman to allow solo practice to prepare for reexamination or to continue flying with limitations. In this case, "passenger carrying prohibited" or other

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appropriate limitations should be included (see Figure 5-24, FAA Form 8060-4, Showing Passenger Carry Limitation (Maintained at FSDO Level Only)). For example, if instrument competency is questioned, the Temporary Airman Certificate (FAA Form 8060-4) should omit the instrument rating. The same procedure could be used with any rating questioned. In no case should a student pilot certificate be issued to the holder of another student (or other) pilot certificate. The Temporary Airman Certificate (FAA Form 8060-4) issued and the letter of temporary deposit to the FSDO must have the same expiration date (see Figure 5-25, FAA Form 8060-4, Emergency Field Issuance (Maintained at FSDO Level Only) and Figure 5-26, Letter of Temporary Deposit). The ASI may issue a new Temporary Airman Certificate (FAA Form 8060-4) for an additional period of 30 days, provided the airman agrees to such action and submits a new letter of temporary deposit to the FSDO with the appropriate expiration date as described above.

b) If, at the end of the expiration date, the airman has not passed the reexamination test, fails to appear, or has not made other acceptable arrangements, immediate legal enforcement action (emergency suspension) must be taken to suspend the permanent airman certificate or rating in question until the airman demonstrates competency to hold that certificate.

4) Surrender at the request of Regional Counsel is an action taken as the result of an Order of Suspension or Order of Revocation issued by Regional Counsel. From time to time, the Regional Counsel requests the FSDO to pick up a certificate when an airman fails to surrender the certificate as a result of a Regional Counsel order. The following actions should be taken by the ASIs:

a) The specific Regional Counsel instructions should be followed. In most cases, it is requested that an ASI contact the airman to be sure the airman understands that the order demands the surrender of the certificate.

b) The ASI must review the Order of Suspension or Order of Revocation so that the ASI is familiar with the allegations. The ASI should then arrange a meeting with the airman. The ASI should take to the meeting a copy of the Order of Suspension or Order of Revocation, a Loss of Certificate Affidavit (see Figure 5-27, Loss of Certificate Affidavit), and a franked envelope addressed to Regional Counsel.

c) When meeting the airman, the ASI should present official identification and inquire if the airman has received the Order of Suspension or Order of Revocation. If the airman has not received a copy, present the airman with a copy. The ASI should point out the action taken in the order and offer to accept the certificate for surrender to the FAA. The ASI may not enter into a discussion as to the authenticity of the facts, evidence, or the propriety of the sanction. The ASI should advise the airman that failure to surrender the certificate within the period of time specified in the order would make the airman subject to additional action.

d) If the airman states that the certificate is lost, the ASI should give the airman the affidavit form and the franked envelope addressed to the Regional Counsel. The ASI should instruct the airman to complete the affidavit and forward it in lieu of the lost certificate.

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e) If the airman does not wish to surrender the certificate to the ASI, the ASI should give the airman the franked envelope addressed to the Regional Counsel so the airman can forward the certificate to the proper office.

f) If at any time the ASI has any reason to believe that a hostile or dangerous confrontation is likely, the matter must be discussed with the Regional Counsel before taking the action. When a potentially hazardous confrontation is expected, the ASI can be accompanied to the meeting with the airman by a U.S. Marshal.

C. Issuing a Certificate or Rating to an Airman Who is Under an Order of Revocation.

1) For an airman making application for a certificate or rating while under an existing Order of Suspension or Revocation, the ASI should arrange a meeting with the airman and review Order 2150.3 for information on Orders of Suspension or Revocation. In addition, the ASI should review §§ 61.13(d)(2) and 61.19(f). At this meeting, the ASI will examine the Order of Revocation and become familiar with its contents to ensure that an application from the airman is not accepted prior to the expiration of the periods specified in the previously mentioned sections, or as authorized in the Order of Revocation. If found ineligible, the ASI will advise the airman of the reasons.

2) An ASI who receives an application for an airman certificate from an airman whose certificate has been revoked and who is found ineligible will disapprove the application and issue FAA Form 8060-5, Notice of Disapproval of Application, indicating the reasons for disapproval and using verbiage such as, “Applicant disapproved because.”

D. Voluntary Certificate Downgrade (See Figure 5-22B, Letter of Voluntary Downgrade).

1) When a person elects to voluntarily downgrade his or her pilot certificate to a lower certification level to avoid submitting to a 49 U.S.C. § 44709 reexamination practical test, the ASI should consider if the person’s desire involves competency and proficiency in the common piloting tasks. For example, if the pilot is required to submit to a § 44709 reexamination practical test because of landing competency and proficiency, then he or she must accomplish that task at all levels of pilot certification. It is a requirement for the pilot to submit to a § 44709 reexamination practical test, and the ASI must advise him or her of this. However, the testing standard is at the downgraded level of pilot certification that the person has agreed to.

2) When a pilot elects to voluntarily downgrade his or her pilot certificate, the pilot must fill out FAA Form 8710-1. Ensure that the box for reissuance of the certificate has been checked. The ASI may accept the certificate along with a letter of voluntary downgrade signed by the airman. The ASI will forward the pilot certificate, the original Temporary Airman Certificate (FAA Form 8060-4), the application (FAA Form 8710-1) for issuance of the downgraded pilot certificate, and the letter of voluntary downgrade to AFS-760. The ASI should forward a copy of the complete file to the regional operations branch for review.

3) After examining and verifying the documentation, the ASI issues FAA Form 8060-4, reflecting the appropriate change. The ASI fills out the “Inspector’s Report”

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section on FAA Form 8710-1 and forwards the application, the superseded certificate, and the original temporary certificate to AFS-760.

5-319 EMERGENCY ISSUANCE OF REPLACEMENT CERTIFICATE. In an emergency, an ASI may issue a temporary pilot certificate to replace a lost or destroyed certificate.

A. Condition of Emergency Issuance.

1) The pilot must show that an immediate replacement of the lost certificate is necessary for either the return flight to base, to continue an extended flight, or to continue employment as a pilot.

2) The pilot must show that he or she is unable, or that it is not feasible, to obtain a facsimile or email in accordance with § 61.29(a).

3) The pilot must either be personally known to the ASI or must present, in person, acceptable evidence of identity.

4) The ASI must confirm the grade and ratings held of the lost certificate by telephoning AFS-760 or through the Safety Performance Analysis System (SPAS) at https://home.spas.faa.gov/splash/splash.asp and contact the Aviation Data Systems Branch (AFS-620) to confirm the certificate validity.

B. Temporary Certificate. The temporary certificate issued should be clearly marked "EMERGENCY FIELD ISSUANCE" (see Figure 5-25) and be limited to reasonable duration necessary for the pilot to obtain a duplicate certificate from AFS-760 by the most expeditious means. In no case may an ASI issue the temporary certificate for more than 60 days. This Temporary Airman Certificate (FAA Form 8060-4) will be maintained at the FSDO level. No "Emergency Field Issue" temporaries need to be mailed to AFS-760.

C. Reconstruction of a Lost Certification File.

1) Copy of FAA Application Form and FAA Form 8060-4. A copy of the original FAA application form and FAA Form 8060-4, with signatures on both forms, is required. If no copy exists, the information that appeared on the original application must be provided on a new FAA application form and FAA Form 8060-4, complete with signatures (applicant, examiner, and inspector).

2) Duplicate Reports. AFS-760 will furnish the duplicate test report(s), provided they are furnished with the approximate date(s) and location(s) of the computer knowledge test(s).

3) Reconstructed File. In the upper right hand block of the FAA application form, "RECONSTRUCTED FILE" must appear in red ink.

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4) Forward Certification File. All information regarding the certification file must be forwarded through the FSDO or International Field Office (IFO) to:

Federal Aviation Administration
Attn: Airmen Certification Branch (AFS-760)
P.O. Box 25082
Oklahoma City, OK 73125-0082

5-320 REPORT A DECEASED AIRMAN. Use one of the following methods to report a deceased airman.

NOTE: The public can visit the following FAA website for guidance on mailing a letter to report a deceased airman: http://www.faa.gov/licenses_certificates/airmen_certification/deceased_airmen.

NOTE: For either method, the FAA recommends, but does not require, that the inspector provide proof of death. This proof can be in the form of a death certificate, National Transportation Safety Board (NTSB) report listing the airman's name indicating death, or other documents confirming the individual's death acceptable to the Administrator. This information is recommended to ensure the correct changes are made to the airman records and to avoid inadvertent removal of a name and address from the Airman Directory, which is used to disseminate vital safety information.

NOTE: The deceased airman may continue to receive FAA mailings and publications for a few months after AFS-760 has updated the airman's record, but these mailings will eventually stop.

A. Reporting via Email. An inspector can send an email from an FAA email account to the AFS-760 email account, indicating the deceased airman's full name and date of birth or certificate number. The AFS-760 email account is 9-amc-afs760-airmen@faa.gov. Once AFS-760 receives this notification, they will update the airman's record to reflect the airman as deceased. The Multi-System Access Tool for Air Personnel (MSAT-A) in SPAS will then indicate the airman as deceased.

B. Reporting via Conventional Mail. You can also mail a letter/memo with the same information shown above to:

Federal Aviation Administration
Airmen Certification Branch, (AFS-760)
P.O. Box 25082
Oklahoma City, OK 73125-0082

5-321 LOST LOGBOOKS OR FLIGHT RECORDS. Aeronautical experience requirements must be shown for a person to be eligible for the issuance, or to exercise the privileges of, a pilot certificate. A pilot who has lost logbooks or flight time records should be reminded that any fraudulent or intentional false statements concerning aeronautical experience are a basis for suspension or revocation of any certificate or rating held. The pilot who has this problem may, at

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the discretion of the ASI accepting the application for a pilot certificate or rating, use a signed and notarized statement of previous flight time as the basis for starting a new flight time record. Such a statement should be substantiated by all available evidence, such as aircraft logbooks, receipts for aircraft rentals, FAA Form 8710-1 showing hours in Section III, and statements of flight operators, as specified in Volume 5, Chapter 1, Section 8. Please note, as long as Section III, "Record of Pilot Time," of the airman's last FAA Form 8710-1 was completed and verified by the ASI, these hours may be used for establishing previous logbook hours.

5-322 AUTHENTICATION OF OLD AND NEW AIRMAN CERTIFICATES TO IDENTIFY FORGERIES OR COUNTERFEITS. ASIs are occasionally required to determine the authenticity of an airman certificate. ASIs should be able to recognize legitimate certificates during surveillance or certification activities. Additionally, law enforcement officers or drug enforcement agents may ask for assistance in identifying counterfeit or forged certificates.

A. New Security-Enhanced Airman Certificates. On July 31, 2003, AFS-760 began issuing new, security-enhanced airman certificates.

1) The new, durable, credit card-sized certificates are made from high-quality composite polyvinyl chloride media card stock. They incorporate new security features, such as a hologram of the FAA seal, microprinting, and ultraviolet ink printing.

2) The certificate will be issued to all new and existing airmen as they achieve higher certificate levels or additional ratings, and will replace certificates that have been lost or damaged. It is expected that all active airmen will be able to replace their certificates over a 3- to 4-year period.

3) The new certificates feature graphics of the Wright Brothers, 1902 Wright Glider, 1903 Wright Flyer, a Boeing Jet aircraft, Department of Transportation (DOT) seal, and a hologram of the FAA seal.

4) The "old style" certificate (paper) is no longer valid, as of March 31, 2010, in accordance with § 61.19(g). The "new style" certificate will be issued to all airmen and will be issued with the appropriate seal color. A $2 fee is still required to receive a replacement certificate.

B. Suspected Counterfeiting. Any contact with suspected counterfeit or forged airman certificates should be reported immediately to the RO Civil Aviation Security Division, Investigations and Internal Security Branch. Under no circumstances should an ASI attempt to confiscate a suspected forged or counterfeit certificate.

5-323 CLASS B AIRSPACE ENDORSEMENTS FOR STUDENT PILOTS. Section 61.95 specifies certain requirements for student pilots operating in Class B airspace.

A. Solo Flight in Class B Airspace. Section 61.95(a) prohibits student pilots from operating on a solo flight in Class B airspace unless the requirements of § 61.95(a)(1) through (3) have been met.

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B. Solo Flight To, From, or At an Airport in Class B Airspace. Section 61.95(b) prohibits student pilots from operating on a solo flight to, from, or at an airport within Class B airspace unless the requirements of § 61.95(b)(1) through (3) have been met.

NOTE: Sample endorsements specifying that student pilots have received ground and flight instruction, and have been found competent to operate in Class B airspace, are in the current edition of AC 61-65, Certification: Pilots and Flight and Ground Instructors.

5-324 CONDUCT OF TRAINING AND TESTING, SFAR 41 AIRPLANES, BY PILOTS WITH A "SECOND-IN-COMMAND REQUIRED" LIMITATION ON THEIR TYPE RATING.

A. An SIC Required. The SA-227, EMB-110, BE-300/1900, and certain other SFAR 41 airplanes are TC'd for single-pilot operations. However, depending on the type of operation conducted (e.g., part 135 passenger service), an SIC may be required.

B. Limitation. Applicants for a type rating practical test in certain SFAR 41 airplanes may opt to complete the practical test as a single pilot or by using an SIC. If the single-pilot option is elected, the applicant will receive a type rating without limitation upon satisfactory completion of the practical test. When an applicant satisfactorily completes a practical test using an SIC, the applicant will be issued a type rating with the limitation "SECOND-IN-COMMAND REQUIRED." To enhance crew complement flexibility, there is a need to establish guidelines for the training and flight testing of applicants for type ratings in SFAR 41 aircraft. These guidelines are intended to apply to the following:

- Certificated flight instructors (CFI);
- Airline transport pilots (ATP) conducting instruction in air transportation service;
- Certificated ground instructors associated with a training center that holds exemption authority;
- ASIs;
- DPEs, aircraft and FFS only;
- Pilot Proficiency Examiners (PPE); and
- Part 135 air carrier check pilots and instructors.

C. Ground Instruction. The ground instruction required by § 61.63(d) may be given by an appropriately rated flight instructor who holds a type rating (with or without a "SECOND-IN-COMMAND REQUIRED" limitation) on his or her pilot certificate for the associated airplane. The ground instruction required by § 61.63(d)(6)(ii) for employees of a part 135 certificate holder may be given by an instructor authorized by a part 135-approved training program.

D. Flight Instruction. Instructors who conduct training toward the issuance of a type rating must be qualified in accordance with one of the following categories:

1) Hold a valid flight instructor certificate with airplane multiengine and instrument airplane ratings, and have a type rating for the airplane on his or her pilot certificate. A pilot who

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has the limitation, "SECOND-IN-COMMAND REQUIRED," on the type rating may only instruct an applicant seeking the same privileges and limitation. A pilot with an unrestricted type rating may conduct flight instruction for both limited and unrestricted ratings. For instruction in an airplane in-flight, § 61.55(f)(3) provides for an instructor to act as PIC with an SIC who is not qualified in accordance with § 61.55(a) and (b).

2) A flight instructor with a training center.

3) An ATP with the appropriate type rating on his or her pilot certificate, instructing in air transportation. The ATP can only instruct within the limitations of his or her pilot certificate, as defined in subparagraph 5-324B above.

E. Qualification to Conduct Flight Tests. ASIs and examiners who hold unrestricted type ratings in SFAR 41 airplanes may conduct practical tests in these aircraft leading to the issuance of type ratings with or without a "SECOND-IN-COMMAND REQUIRED" limitation, or operating privileges for single- or two-pilot operations, as appropriate. ASIs and examiners who hold a type rating with a "SECOND-IN-COMMAND REQUIRED" limitation may only conduct practical tests leading to the issuance of type ratings with a "SECOND-IN-COMMAND REQUIRED" limitation, or operating privileges for two-pilot operations, as appropriate. Oral testing may be conducted by an ASI or examiner who is rated in the aircraft, regardless of a "SECOND-IN-COMMAND REQUIRED" limitation.

F. Removal of the "Second-In-Command Required" Limitation from a Type Rating. To remove the limitation, it is not necessary to complete an entire practical test (oral and flight) as a single-pilot operation. All maneuvers approved for an FFS may be accomplished in that FFS for the purpose of removing this limitation. This does not change any FFS requirements for the original issuance of the type rating. A pilot who holds a type rating with a "SECOND-IN-COMMAND REQUIRED" limitation, or who wishes to upgrade a pilot certificate to authorize single-pilot privileges (CE-525 to CE-525S) and wishes to remove the limitation and have an unrestricted type rating or single-pilot privileges, must complete a practical test in accordance with the current edition of FAA-S-8081-5, Airline Transport Pilot and Aircraft Type Rating Practical Test Standards for Airplane, that satisfactorily demonstrates single-pilot competency, and must include testing on areas of operation and additional areas.

1) Topics for areas of operation include:

- Preflight preparation tasks: None;
- Preflight procedures tasks: All;
- Takeoff and departure phase tasks: All;
- In-flight maneuvers tasks: C, E, and F;
- Instrument procedures tasks: All;
- Landings and approaches to landing tasks: All;
- Normal and abnormal procedures;
- Emergency procedures; and
- Postflight procedures tasks: All.

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2) Topics for additional areas include:

- Collision avoidance;
- Communication management; and
- Instrument flight rules (IFR) cross-country flight plan avionics loading.

5-325 PROCEDURES FOR ISSUING AN SIC PILOT TYPE RATING. This section explains and discusses the procedures for completing the applications for SIC pilot type ratings which are used only for ICAO compliance on international flights. This section is only applicable for the issuance of an aircraft type rating that is limited to SIC privileges. This section is not applicable to a person who meets all requirements, including a practical test, for a type rating. Note that it is possible for a person who is assigned to an SIC duty position to receive a type rating that is not limited to SIC privileges (in which case this section would not apply). For considerations on the issuance of an aircraft type rating to a PIC or an SIC, see Volume 5, Chapter 2, Section 18, or Volume 5, Chapter 3, Section 3 or 4, as applicable.

A. Background.

1) Final Rule. The FAA issued the SIC pilot type rating final rule on August 4, 2005 (70 FR 45264). The rule establishes the issuance of an SIC pilot type rating on U.S. pilot certificates for flights in aircraft where the aircraft's type certification requires a minimum crew of at least two pilots and the flight will occur outside U.S. airspace involving a landing in a foreign country.

2) Requirements. The SIC pilot type rating requirement appears in §§ 61.5(b)(7)(iv) and 61.55(a)(3), (d), and (e), along with associated qualifying procedures. A pilot who serves as an SIC flightcrew member and holds the appropriate SIC pilot type rating for the aircraft being flown is in compliance with the ICAO pilot type rating standards.

NOTE: Section 61.55(e) has been revised to remove the ability for a pilot to receive an SIC pilot type rating through completion of a 14 CFR part 121 air carrier training program. For those pilots who are employed at an air carrier as of July 31, 2013, and have an SIC pilot type rating for the aircraft flown, those pilots may continue to use that SIC pilot type rating for international operations until January 1, 2016, when an aircraft type rating will be required for all part 121 SICs. Refer to part 121, § 121.436.

B. Procedures.

1) Application and Certification Process. AFS-760, in conjunction with Airmen Certification and Training Branch (AFS-810) and the Air Transportation Division (AFS-200), has developed procedures for the SIC pilot type rating application and certification process.

2) Program Tracking and Reporting Subsystem (PTRS) Code. The PTRS activity code 1517 is for an SIC pilot type rating.

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3) Examples. The following examples illustrate how the rule (i.e., § 61.55(d) and (e)) will apply to pilots who have completed SIC pilot training within 12 calendar-months before the month they apply and are now making applications for the SIC pilot type rating.

- EXAMPLE 1. A pilot last completed a part 135 recurrent SIC training program in a Cessna 500 on October 6, 2006. It is now December 30, 2007, and the pilot wants to apply for the SIC pilot type rating for the CE-500. This applicant is not eligible to apply for the SIC pilot type rating for the CE-500 type rating because the applicant did not complete a part 135 recurrent SIC training program in the Cessna 500 within the 12 calendar-months before the month he or she applied. If applying for the SIC pilot type rating on December 30, 2007, the applicant must have completed the recurrent SIC training between the months of November 1, 2006, and sometime during the month of December 2007. In order for the pilot to apply for the SIC pilot type rating, that pilot must have completed the SIC familiarization training in a CE-500 within the 12 calendar-months before the month of application.

- EXAMPLE 2. The pilot last completed SIC pilot familiarization training, per § 61.55(b), in a Lear 60 on November 30, 2006. The date is now January 1, 2008, and the pilot applicant wants to apply for the SIC pilot type rating for the LR-60. This applicant may not apply for an SIC pilot type rating for the Lear 60 because the SIC familiarization training was not completed within the 12 calendar-months before the month the applicant applied. In order for the pilot to apply for the SIC pilot type rating, that pilot must have completed the SIC familiarization training within 12 calendar-months before the month of application.

C. Questions about the Issuance of the SIC Pilot Type Rating. The question and answer format examples below provide information about the issuance of the SIC pilot type rating.

1) Who Needs an SIC Pilot Type Rating?

- QUESTION 1: Who is required to have an SIC pilot type rating?

- ANSWER 1: Refer to §§ 61.5(b)(7)(iv) and 61.55(a)(3). This rule requires that any pilot who plans to fly outside domestic U.S. airspace and land in a foreign country to obtain the appropriate pilot type rating (i.e., the appropriate type rating for PIC privileges or SIC privileges). However, any pilot who applies and meets the requirements of § 61.55(d) or (e), as appropriate, may be issued an SIC pilot type rating whether that pilot plans to fly outside U.S. airspace and land in a foreign country or not.

- QUESTION 2: Is an SIC pilot type rating required to serve as an SIC when an SIC is required by an operating rule? For example, an SIC pilot is flying a Beech 200 for a part 135 air carrier operator, because the autopilot is out of service (OTS), and the aircraft is being flown under IFR with passengers

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under part 135. The Beech 200 is TC'd as a single-piloted airplane. The operating rule (part 135, § 135.101) requires two pilots. Does the SIC need an SIC pilot type rating to serve as an SIC in a Beech 200 when the operating rule (§ 135.101) requires an SIC pilot?

- ANSWER 2: No. Refer to § 61.5(b)(7)(iv). Since the Beech 200 is an airplane that does not require the PIC to hold a pilot type rating to fly it (the pilot only needs to hold an Airplane Multiengine Land (AMEL) rating), then the SIC pilot would not need to hold an SIC pilot type rating for the Beech 200. As per § 61.5(b)(7)(iv), "Second-in-command pilot type rating for aircraft that is certificated for operations with a minimum crew of at least two pilots." Otherwise, an SIC pilot type rating is only required for an aircraft that is certificated for operations with a minimum crew of at least two pilots. Section 135.101 does not require the issuance of an SIC pilot type rating. That rule only states, "Except as provided in § 135.105, no person may operate an aircraft carrying passengers under IFR unless there is a second in command in the aircraft." Therefore, the Beech 200 is a single-piloted airplane and no pilot type rating is required.

- QUESTION 3: If a person already holds an aircraft type rating for a particular type of aircraft that authorizes PIC privileges, would that person also need to hold a pilot type rating issued under § 61.55 for that type of aircraft that authorizes SIC pilot privileges? For example, if a person holds a B-737 aircraft type rating that authorizes PIC privileges, would that person also need to hold the same B-737 pilot type rating that authorizes SIC pilot privileges?

- ANSWER 3: No. Refer to § 61.55(a)(3). The person only needs to hold the B-737 aircraft type rating that authorizes PIC privileges, and that will suffice for SIC pilot privileges.

- QUESTION 4: Can you have more than one SIC pilot type rating on a pilot certificate?

- ANSWER 4: Yes. Refer to § 61.55(d) or (e). It is permissible to hold more than one SIC pilot type rating on a pilot certificate. A pilot would need to meet the eligibility prerequisite requirements to qualify for the SIC pilot type ratings.

2) What are the Requirements for an SIC Pilot Type Rating?

- QUESTION 1: Who is eligible for the SIC pilot type rating under part 135?

- ANSWER 1: Refer to § 61.55(e). A pilot who has successfully accomplished either an initial SIC pilot qualification under part 135 training or part 135 competency check in that type of aircraft within the preceding 12 calendar-months from the month of application for the SIC pilot type rating is eligible for the appropriate SIC pilot type rating.

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- QUESTION 2: What are the application and certification procedures for a pilot applying for an SIC pilot type rating on the basis of having qualified for the rating using the completion of an air carrier training program?

- ANSWER 2: Refer to § 61.55(e). An aircrew program designee (APD), Chief Pilot, Director of Training, Director of Operations (DO), or another comparable management official within the air carrier must endorse the applicant's training record. The endorsement should state, "[Applicant's name and pilot certificate number] has demonstrated the skill and knowledge required for the safe operation of the [type of aircraft], relevant to the duties and responsibilities of a second in command." The applicant must complete and sign an FAA Form 8710-1 application and bring the completed application and a copy of his or her training record endorsement, in person, to an APD or FSDO. The APD or FAA official will complete FAA Form 8710-1 and will issue the applicant a Temporary Airman Certificate (FAA Form 8060-4) with the appropriate SIC pilot type rating (e.g., "B-777" and the limitation listed as, "B-777 SIC Privileges Only").

3) How Do I Apply for an SIC Pilot Type Rating?

- QUESTION 1: I fly as an SIC pilot for a part 91 operator. What is the process for obtaining an SIC pilot type rating?

- ANSWER 1: Refer to § 61.55(d). As a pilot serving as an SIC for a part 91 operator, the process for you to obtain the SIC pilot type rating is established in § 61.55(d). You are required to have completed the SIC pilot familiarization training (refer to § 61.55(b)) within the preceding 12 calendar-months before the month of application, complete an FAA Form 8710-1 application, receive a logbook endorsement from the PIC who provided you the familiarization training, and then present your FAA Form 8710-1 application to a FSDO or to an examiner.

- QUESTION 2: Who can be the FAA certifying officer for issuing the SIC pilot type rating? May any of the following sign the Temporary Airman Certificate (FAA Form 8060-4) and FAA Form 8710-1 application for issuance of the SIC pilot type rating: an FAA AST, an FAA ASI (Operations), a DPE, an APD, or a Training Center Evaluator (TCE) at a 14 CFR part 142 training center?

- ANSWER 2: Yes, an AST, ASI, DPE, APD, or TCE may sign the Temporary Airman Certificate (FAA Form 8060-4) and FAA Form 8710-1 application for issuance of the SIC pilot type rating. However, see the next question for conditions under which a TCE at a part 142 training center may do this. Neither the Certificate of Authorization (COA) letters issued to a DPE nor the letters of authorization (LOA) issued to a TCE or APD need to be revised to issue this SIC pilot type rating. It was stated in the final rule, "The Examiner must have the authority to conduct practical tests for pilot

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certification. However, because this process is purely an administrative action and no practical test is required, the Examiner need not hold authorization in the type of aircraft in which the pilot is applying for SIC pilot type rating privileges." Therefore, examiners (meaning DPEs, TCEs, and APDs) do not need their COA letter or LOA (as applicable) reissued to permit them to issue the SIC pilot type rating.

NOTE: This note pertains to a part 135 pilot type rating applicant (i.e., an SIC pilot type rating applicant who qualifies for the SIC pilot type rating by having complied with § 61.55(e)). The FAA's policy regarding SIC pilot type rating applicants who complete an air carrier training program, as given in § 61.55(e)(3) and subsequent subparagraphs, appears to permit any examiner or APD to be the FAA certifying officer for signing an SIC pilot type rating certificate. However, the FAA's position is to limit such signing privileges to examiners and APDs actively engaged in the training programs of an air carrier certificate holder and SIC pilot type rating applicants in those training programs. An APD's authority extends only to those applicants employed by the specific air carrier certificate holder. Similarly, the FAA limits the signing authority of any other designee (other than an APD), such as a TCE, to designees or TCEs actively engaged as authorized check pilots in the training programs of an air carrier certificate holder, and to SIC pilot type rating applicants in those training programs, respectively.

- QUESTION 3: Does the Director of Training's signature have to be an original or can it be copied for thousands of applicants?

- ANSWER 3: Refer to § 61.55(e)(1). The rule is permissive in respect to who can sign the SIC pilot's training record. It does not necessarily have to be the Director of Training. However, the signature appearing on the training record must be an original signature of one of the air carrier's management officials who is eligible to sign in accordance with the rule.

4) How Do I Process an Application for an SIC Pilot Type Rating?

- QUESTION 1: On a pilot certificate, should the limitation of SIC pilot privileges be placed on line XII of FAA Form 8060-4 with the SIC pilot type rating, or by itself on line XIII?

- ANSWER 1: The type rating should be listed on line XII on FAA Form 8060-4, and the SIC pilot limitation should be on line XIII. For example:

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RATINGS AND LIMITATIONS

XII. Airplane Single Engine Land & Multiengine Engine Land

Instrument Airplane

LR-55

XIII. LR-55 SIC Privileges Only

- QUESTION 2: If an applicant completes an approved SIC pilot training program for initial qualification in a particular type of airplane, and all training and testing was accomplished in an FFS, may the TCE issue the SIC pilot type rating to the applicant, or must the applicant accomplish at least one takeoff and one landing in the airplane type before the type rating may be issued? Once an SIC applicant completes the approved part 142 training and testing in a level C or D FFS at a part 142 training center, is the applicant considered to have met the requirements for the SIC pilot type rating? For example, when the PIC type rating is issued, a Supervised Operating Experience (SOE) limitation is placed on the applicant's pilot certificate for the type of aircraft the applicant completed the training and practical test.

- ANSWER 2: Refer to § 61.55(j). Before the SIC pilot type rating may be issued for the initial qualification in that type of aircraft for which all of the training was performed in an FFS, the pilot must have logged at least one takeoff and one landing in the actual aircraft. As a matter of discussion, an applicant could show up for training at the part 142 training center already having logged the one takeoff and landing in the actual aircraft. Then, once the training testing is completed at the training center, a TCE could issue the SIC pilot type rating. As a suggestion, a part 142 training center may want to consider having an enrollment eligibility requirement that requires applicants to have logged at least one takeoff and one landing in the actual aircraft type prior to beginning the approved course of training. While the PIC type rating may be issued with an SOE limitation, § 61.55 does not allow a similar limitation for the SIC pilot type rating.

NOTE: However, there is an exception in § 61.55(j) for those applicants who have completed a competency check under part 91 subpart K (part 91K), part 125, or part 135. Applicants who have completed a competency check under part 91K, 125, or 135 are not required to have logged one takeoff and one landing in the actual aircraft. For those applicants, they may apply for and be issued the SIC pilot type rating on the basis of having completed a competency check under part 91K, 125, or 135, even when all the training was accomplished in an FFS.

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- QUESTION 3: A pilot completes CL-600 first officer training and receives a CL-600 type rating with the limitation, "CL-600 SIC Privileges only." Two months later, the pilot changes aircraft and completes G-IV first officer training. On the FAA Form 8060-4, does the pilot now have two limitations, "CL-600 SIC Privileges only" and "G-IV SIC Privileges only," or is the "CL-600 SIC privileges only" removed and "G-IV SIC Privileges" takes its place?

- ANSWER 3: Refer to § 61.55(e). Unless there are legal reasons (or 49 U.S.C., § 44709 pilot reexamination action) to suspend or revoke a type rating, you would never delete a type rating/SIC privilege. Below is how the SIC privileges should be listed on a pilot certificate in the "Ratings and Limitations" section involving multiple type ratings for SIC pilot privileges:

RATINGS AND LIMITATIONS

XII. Airplane Multiengine Land

Instrument Airplane

CL-600, G-IV

XIII. CL-600 and G-IV SIC Privileges Only

- QUESTION 4: How would the "Ratings and Limitations" section of a pilot certificate look if the person held PIC privileges for a CL-600 and SIC privileges in a G-IV and CE-680?

- ANSWER 4: Refer to § 61.55(e). In this scenario, the "Ratings and Limitations" section of a pilot certificate would look like this:

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RATINGS AND LIMITATIONS

XII. Airplane Multiengine Land

Instrument Airplane

CL-600, G-IV, CE-680

XIII. G-IV and CE-680 SIC Privileges Only

- QUESTION 5: I have just reviewed an SIC pilot type rating application file from an applicant who completed an air carrier SIC recurrent competency check. The competency check was not recorded in the person's logbook, but was a computer-generated letter that merely shows the name of the air carrier and the date the competency check was completed, and was signed by an air carrier management official. The applicant stated this is a copy of his training record. The letter/training record does not show how much time the competency check took or who conducted the competency check. The preamble discussion in the Second-in-Command Pilot Type Rating, Final Rule (70 FR 45266, August 4, 2005) states, "For instance, the logbook or training record must specify the type and amount of training given." Is this letter/training record adequate for meeting the intent of § 61.55(e)(1)?

- ANSWER 5: Refer to § 61.55(e)(1). Yes, that letter/training record would meet the intent of § 61.55(e)(1). The actual rule language (70 FR 45272, August 4, 2005) of § 61.55(e)(1) states, "In lieu of the trainer, it is permissible for a qualified management official within the organization to sign the applicant's training records or logbook and make the required endorsement. The qualified management official must hold the position of Chief Pilot, Director of Training, Director of Operations, or another comparable management position within the organization that provided the training and must be in a position to verify the applicant's training records and that the training was given." Therefore, if a training record shows the name of the air carrier and date the competency check was completed, and is signed by an air carrier management official, the record meets the intent of § 61.55(e)(1). The competency check must have been completed within the preceding 12 calendar-months before the month of application for the SIC pilot type rating.

- QUESTION 6: When a B-777 first officer upgrades to a captain, does the SIC pilot type rating limitation come off of his or her pilot certificate?

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- ANSWER 6: Refer to § 61.55(e). Yes, otherwise he or she would be limited to "SIC Privileges." However, when the pilot upgrades to the PIC position on the same airplane, he or she must have accomplished the appropriate aircraft type rating practical test for PIC privileges.

- QUESTION 7: A foreign pilot holds a foreign pilot license and PIC type rating on that foreign pilot license. Currently, has this situation been approved to add an SIC type rating for this foreign PIC type rating to an unrestricted FAA pilot certificate, as long as he accomplishes the following items?

    - A qualified management official (Chief Pilot, Director of Training, DO, or another comparable management position within the company) would need to stipulate that he or she has accomplished the required items in § 61.55(d).
    - The pilot would need to present him or herself to an FAA operations inspector or proper FAA designee who is authorized to add SIC type ratings.

- ANSWER 7: Refer to § 61.55(d) or (e). Yes, a foreign pilot who holds an unrestricted FAA pilot certificate may apply for an SIC pilot type rating by meeting the requirements in § 61.55(d). The person must have pilot records to substantiate having met the requirements of § 61.55(b).

    - A foreign pilot is not required to have their foreign license verified through AFS-760, if the foreign pilot is adding a type-rating limited to SIC Privileges Only to their unrestricted certificate.
    - If the foreign pilot is applying on the basis of being a pilot engaged in part 91K, 125, or 135 operations, then § 61.55(e) applies.

- QUESTION 8: A foreign pilot holds a foreign pilot license and SIC type rating on that foreign pilot license. Would it be approved to add this SIC type rating to his or her unrestricted FAA pilot certificate, as long as he or she accomplishes the following items?

    - A qualified management official (Chief Pilot, Director of Training, DO, or another comparable management position within the company) would need to stipulate that he or she has accomplished the required items in § 61.55(b).
    - The pilot would need to present him or herself to an FAA operations inspector or proper FAA designee who is authorized to add SIC type ratings.

- ANSWER 8: Refer to § 61.55(d) or (e). Yes, a foreign pilot who holds an unrestricted FAA pilot certificate may apply for an SIC pilot type rating by meeting the requirements in § 61.55(d). The person must have pilot records to substantiate having met the requirements of § 61.55(b).

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- A foreign pilot is not required to have their foreign license verified through AFS-760, if the foreign pilot is adding a type-rating limited to SIC Privileges Only to their unrestricted certificate.
- If the foreign pilot is applying on the basis of being a pilot engaged in part 91K, 125, or 135 operations, then § 61.55(e) applies.

- QUESTION 9: A foreign pilot holds an FAA pilot certificate and no foreign pilot license, and currently works for a foreign company. Currently, has this foreign pilot been approved to add an SIC type rating to an unrestricted FAA pilot certificate, as long as he or she accomplishes the following items?

  - A qualified management official (Chief Pilot, Director of Training, DO, or another comparable management position within the company) would need to stipulate that he or she has accomplished the required items in § 61.55(b).
  - The pilot would need to present him or herself to an FAA operations inspector or proper FAA designee who is authorized to add SIC type ratings.

- ANSWER 9: Refer to § 61.55(d) or (e). Yes, a foreign pilot who holds an unrestricted FAA pilot certificate may apply for an SIC pilot type rating by meeting the requirements in § 61.55(d).

  - The person must have pilot records to substantiate having met the requirements of § 61.55(b).
  - If the foreign pilot is applying on the basis of being a pilot engaged in part 91K, 125, or 135 operations, then § 61.55(e) applies.

- QUESTION 10: In any of the above three scenarios, if the pilot only held a restricted FAA pilot certificate (§ 61.75), could he or she add an SIC type rating to this restricted FAA pilot certificate?

- ANSWER 10: Refer to § 61.55(d). Yes, a foreign pilot who holds a restricted FAA pilot certificate may apply for an SIC pilot type rating by meeting the requirements in § 61.55(d).

  - The pilot would need his or her foreign pilot license verified through AFS-760 in Oklahoma City.
  - The person must have pilot records to substantiate having met the requirements of § 61.55(b).

5) General Questions about the SIC Pilot Type Rating.

- QUESTION 1: Under a part 135 air carrier training program, does an FAA Form 8060-5 (pink slip) get issued for an applicant who fails an SIC competency check for the SIC pilot type rating?

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- ANSWER 1: Refer to § 61.55(d) and (e). Issuance of a pink slip is not appropriate for failure of a part 135 SIC competency check for the SIC pilot type rating. This answer would be the same for those applicants for the SIC pilot type rating who perform unsatisfactorily on the SIC familiarization training under § 61.55(b).

- QUESTION 2: When must the SIC pilot type rating limitation be removed from the pilot certificate?

- ANSWER 2: Refer to § 61.55(e). It must be removed when the pilot accomplishes the appropriate type rating practical test for PIC privileges.

- QUESTION 3: How would a pilot who holds the appropriate SIC pilot type rating and is the sole manipulator of the controls log the flight time? The pilot holds a CE-500 SIC pilot type rating. This SIC pilot is the flying pilot (the sole manipulator of the controls) for this leg of the flight. Does the pilot log the flight time as PIC or SIC?

- ANSWER 3: Refer to § 61.51(f)(1), except as provided in § 61.51(e)(iv). The SIC pilot may only log the time as SIC flight time. The pilot is not qualified as a PIC in the CE-500 and may not log the time as PIC flight time.

5-326 OPERATING LIMITATIONS FOR HEARING AND/OR SPEECH IMPAIRED.

A. Operating Limitations on Pilot Certificate. This paragraph specifies the required operating limitations to be placed on the pilot certificate of persons who are hearing and/or speech impaired due to medical reasons. Persons who are unable to read, speak, write, and understand English because of inadequate fluency or comprehension for nonmedical reasons are not addressed in this paragraph and will not be issued a pilot or instructor certificate until the English fluency requirements are met.

B. Part 61 Specifications. Part 61 specifies that an applicant for pilot certification must be able to read, speak, write, and understand the English language.

1) Persons who are unable to meet the requirement to speak or understand the English language because of hearing and/or speech impairment due to medical reasons must have the medical reason confirmed and documented on the person's application for airman medical certification by the designated Aviation Medical Examiner (AME).

2) The designated AME will inform a person who is hearing and/or speech impaired that he or she must submit to a special medical flight test (see Volume 5, Chapter 8, Section 1). The special medical flight test will determine if an applicant is eligible for a medical certificate and Statement of Demonstrated Ability (SODA).

3) The following limitation will be placed by the Federal Air Surgeon, an authorized FAA medical representative, or a designated AME on a person's medical certificate where the

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person is hearing and/or speech impaired and on the SODA: "NOT VALID FOR FLYING WHERE RADIO USE IS REQUIRED."

C. Operating Limitations on Persons. This paragraph specifies the required operating limitations for persons who are unable to meet the part 61 requirement to speak or understand the English language because of a hearing and/or speech impairment due to medical reasons.

1) A person who is hearing and/or speech impaired may not serve as a PIC or as a required pilot crewmember for any flights requiring the use of a radio. For flights requiring radio use, an appropriately qualified pilot must act as the 14 CFR part 1, § 1.1 PIC for the flight. That PIC must meet all the part 61 pilot certification, medical certification, and recency-of-experience requirements. The PIC and any other required pilot crewmember must not be hearing or speech impaired.

a) Has final authority and responsibility for the operation and safety of the flight;

b) Has been designated as PIC before or during the flight; and

c) Holds the appropriate category, class, and type rating, if appropriate, for the conduct of the flight.

2) A person who is hearing and/or speech impaired may not serve as a required pilot crewmember aboard an aircraft that requires more than one pilot crewmember by the aircraft's type design or by the regulation, and may not serve as a safety pilot for the purpose of § 91.109(c).

D. Ratings and Limitations Section. Persons who are hearing and/or speech impaired must have the following operating limitations placed on their pilot certificate in the "Ratings and Limitations" section (i.e., XIII):

XIII.

MAY NOT SERVE AS A PILOT IN COMMAND OR A REQUIRED PILOT CREWMEMBER FOR FLIGHTS REQUIRING THE USE OF RADIO COMMUNICATIONS.

MAY NOT SERVE AS A REQUIRED PILOT CREWMEMBER IN AN AIRCRAFT THAT REQUIRES MORE THAN ONE PILOT CREWMEMBER BY THE AIRCRAFT TYPE CERTIFICATE OR BY REGULATION, NOR SERVE AS A SAFETY PILOT FOR THE PURPOSE OF § 91.109(c).

NOT VALID FOR FLIGHTS OUTSIDE THE UNITED STATES.

E. Flight Instructor Certificate. Per § 61.183(b), the rule requires that an applicant for a flight instructor certificate must be able to read, speak, write, and understand the English language.

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1) Persons who are unable to meet these requirements of § 61.183(b) because of a hearing and/or speech impairment due to medical reasons must have the operating limitation listed below placed on their flight instructor certificate. As previously stated in subparagraph 5-326B above, the Federal Air Surgeon, authorized FAA medical representative, or a designated AME will confirm and document the medical condition on the person's application for medical certification.

2) The following limitation must be placed on a flight instructor certificate when the FAA has determined that the person is hearing and/or speech impaired: "MAY NOT SERVE AS A FLIGHT INSTRUCTOR IN FLIGHT." However, a person who is hearing and/or speech impaired may be able to serve as a flight instructor in an FSTD or advanced aviation training device (AATD), or may serve as a ground instructor in a classroom setting.

F. Practical Test. As a special emphasis item during the practical test of persons who are hearing or speech impaired, the ASI must evaluate the person's ability to receive ATC instructions from the assigned PIC on the flight and comply with instructions in a timely manner and within the approved standards.

G. Hearing Enhancement Device. If a hearing-impaired person is able to demonstrate to the FAA that he or she can understand the English language through the use of some hearing enhancement device (e.g., a cochlear implant) and vocally respond in English sufficient to meet part 61 specifications without the use of American Sign Language or other aid, then the person may be eligible for removal of the:

1) "NOT VALID FOR FLYING WHERE RADIO USE IS REQUIRED" limitation on the person's medical certificate.

2) Operating limitations on the person's pilot certificate.

3) "MAY NOT SERVE AS A FLIGHT INSTRUCTOR IN FLIGHT" limitation on the person's flight instructor certificate.

H. Impairment after Medical Certificate Issuance. Per § 61.53, if a person becomes hearing and/or speech impaired after issuance of a medical certificate, and the impairment is verified, that person is considered to have a medical deficiency. Therefore, the person is prohibited from acting as a PIC or as a required pilot flightcrew member (in any capacity). That person must be instructed to inform the jurisdictional FAA Regional Flight Surgeon (RFS) or the Aerospace Medical Certification Division (AMCD) in Oklahoma City about his or her impairment. The RFS or AMCD will determine if the person is eligible to receive a medical certificate and SODA with the limitation, "NOT VALID FOR FLYING WHERE RADIO USE IS REQUIRED." In addition, a designated AME who finds that an airman is speech and/or hearing impaired should inform the person to contact his or her local jurisdictional FSDO to receive the appropriate operating limitations on the person's airman certificates.

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5-327 REMOVAL OF THE § 61.64(f)(2) SOE LIMITATION, "THE 'NAME OF TYPE RATING' IS SUBJECT TO PIC LIMITATIONS," FROM AN AIRCRAFT TYPE RATING ON A PILOT CERTIFICATE.

A. Actions Required. To remove the SOE limitation, the applicant must:

1) Perform 25 hours of flight time in an aircraft of the category, class, and type for which the limitation applies under the direct observation of the PIC who holds a category, class, and type rating, without limitations, for the aircraft;

NOTE: The PIC is not required to be a check pilot or flight instructor.

2) Log each flight and the PIC who observed the flight attests in writing to each flight;

3) Obtain the flight time while performing the duties of PIC; and

NOTE: The requirement in § 61.64(g)(3) that the flight time be obtained while "performing the duties of pilot in command" does not have the same intent as performing the duties of PIC under part 121. A legal interpretation clarified that in the context of part 61, "performing the duties of PIC" is equivalent to pilot flying (PF). This legal interpretation also clarified that a pilot may log PIC flight time when the pilot is the sole manipulator of the controls for which the pilot is rated. Refer to legal interpretation to John Duncan (April 13, 2012). Therefore, an SIC serving in part 121 operations may log PIC time when he or she is the sole manipulator of the controls. This time may also be used to meet the § 61.64(g)(3) requirement as long as the PIC attests to each flight in writing.

4) Present evidence of the SOE to any DPE or FAA FSDO to have the limitation removed. This would require the applicant to complete an FAA Form 8710-1 application form. This application process is purely an administrative action only.

NOTE: See Volume 13, Chapter 1, Section 1 for additional information regarding removal of a limitation by a TCE or APD.

B. Complete the Application. The application must identify the 25 hours that were performed to remove the limitation. These hours can be shown in either Section IIA, "Certificate or Rating Applied For on Basis Of," or Section III, "Record of Pilot Time." The "Other" box should be completed to show, "Removal of SOE." The inspector or examiner's report will also show, "Removal of SOE limitation from [insert name of type rating] with 25 hours," and mark "Approved" or "Disapproved," along with their signature and approval date. The date of the Temporary Airman Certificate (FAA Form 8060-4) will be the same date the inspector or examiner signed their report.

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Figure 5-20. Sample SIC Pilot Type Rating Temporary Airman Certificate

The following is a sample of a completed Temporary Airman Certificate (FAA Form 8060-4) for the SIC pilot type rating:

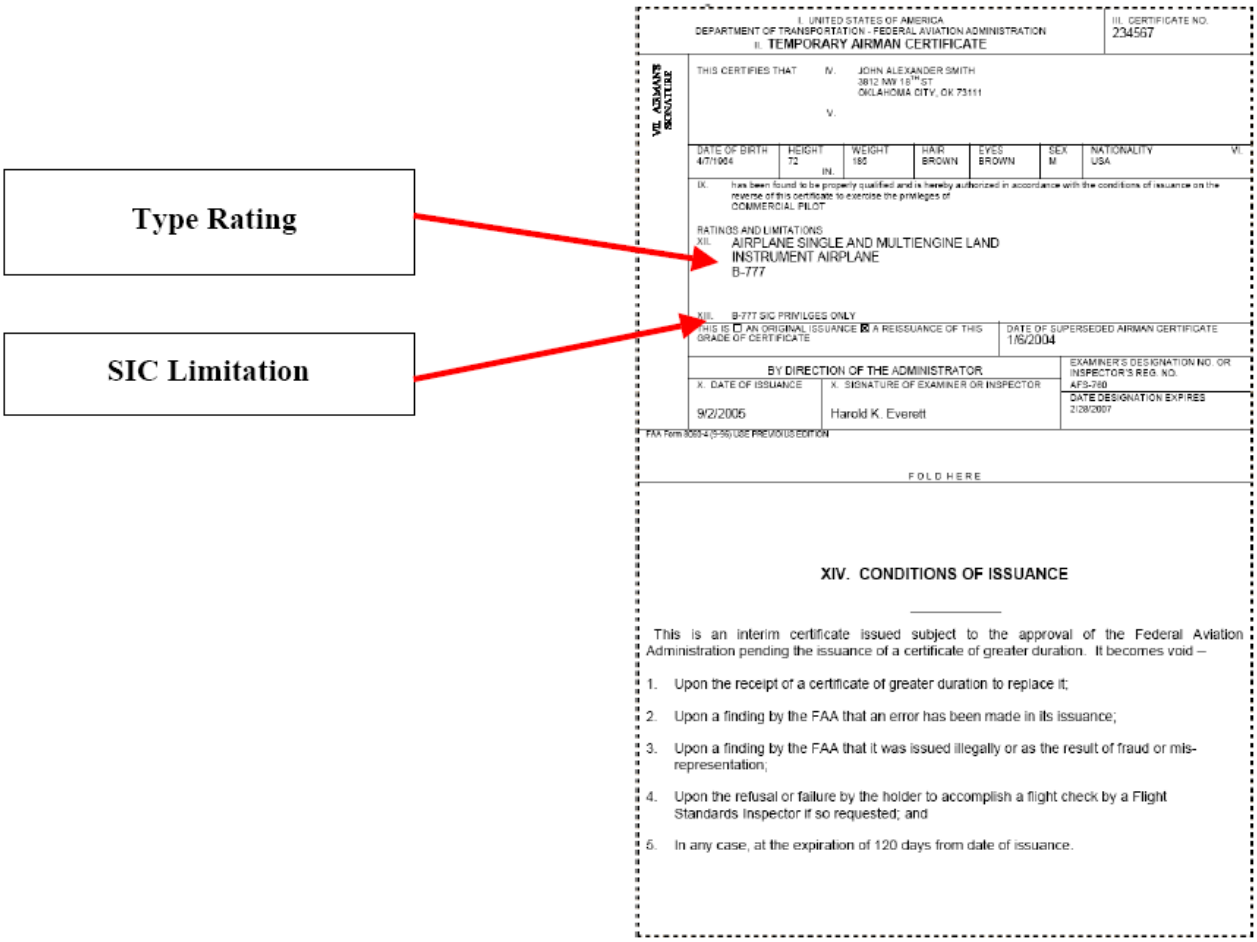

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Figure 5-22. Letter of Surrender (In Lieu of a Reexamination)

VOLUNTARY SURRENDER IN LIEU OF REEXAMINATION

[*Date*]

I hereby voluntarily surrender my [*type*] pilot certificate [*number*] to the FAA for [*reason, e.g., cancellation*]. I understand that this constitutes unequivocal abandonment of the certificate and that an FAA airman certificate or rating may not be reissued to me unless I again pass all the tests prescribed for its issue.

[*Signature*]

Figure 5-22A. Letter of Voluntary Surrender

VOLUNTARY SURRENDER OF CERTIFICATE

I, [*airman name*], the holder of a [*grade of*] certificate, No. [*number*], issued by the Federal Aviation Administration (FAA), request that the FAA accept the voluntary surrender of that certificate for [*reason, e.g., cancellation*]. This request is made for my own reasons, with full knowledge that my [*grade of*] certificate may not be reissued to me unless I again pass the tests prescribed for its issuance.

[*Airman name/signature*]

[*Date*]

ACKNOWLEDGEMENT OF ACCEPTANCE AND COORDINATION

I, [*FAA employee*], an [*title*], accept the specified certificate and acknowledge that [*airman name*] freely and voluntarily surrendered the specified FAA certificate to the FAA on [*date*]. I further acknowledge that this certificate holder's request for this voluntary surrender has been coordinated and concurred with by other FAA offices, as appropriate.

[*FAA employee*]

[*Date*]

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Figure 5-22B. Letter of Voluntary Downgrade

VOLUNTARY CERTIFICATE DOWNGRADE ACKNOWLEDGMENT OF ACCEPTANCE AND COORDINATION

I, [*pilot's name*], holder of [*grade/rating*] certificate No. [*number*], freely and voluntarily surrender my specified Federal Aviation Administration (FAA) certificate to the FAA on [*date of surrender*], for downgrade to a [*grade/rating*] certificate. I understand that I must take all knowledge and practical tests to requalify for the [*grade/rating*] Pilot Certificate. This request is made for my own reasons, with full knowledge that my [*grade/rating*] certificate may not be reissued to me unless I again pass the tests prescribed for its issuance.

[*Airman name/signature*]

[*Date*]

[*Inspector name/signature*], Aviation Safety Inspector

[*Date*]

Figure 5-23. Letter of Surrender (Pending Enforcement Action)

VOLUNTARY SURRENDER FOR DEPOSIT PENDING ENFORCEMENT

[*Date*]

As the result of the occurrence at _____ on _____, [*the airman must explain in full, in his or her own language, the occurrence and his or her involvement*].

I hereby voluntarily surrender my pilot certificate [*number*] for whatever action the FAA may deem necessary. My rights to be heard as to why my certificate should not be amended, suspended, or revoked have been fully explained to me and are hereby waived.

[*Signature*]

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Figure 5-24. FAA Form 8060-4, Showing Passenger Carry Limitation (Maintained at FSDO Level Only)

I. UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION – FEDERAL AVIATION ADMINISTRATION
ii. **TEMPORARY AIRMAN CERTIFICATE**

III. CERTIFICATE NO. 526032230

THIS CERTIFIES THAT IV. JOHN (NMN) DOE
175 SOUTH MAIN STREET
V. KEYWANA, NM 80010

DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY VI.
04-14-50	72 IN.	180	BROWN	GREEN	M	USA

IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of

PRIVATE PILOT

RATING AND LIMITATIONS
XII. AIRPLANE SINGLE-ENGINE LAND

XIII. PASSENGER CARRYING PROHIBITED EXPIRES 11/25/03

THIS IS ☐ AN ORIGINAL ISSUANCE ☒ A REISSUANCE OF THIS GRADE OF CERTIFICATE

DATE OF SUPERSEDED AIRMAN CERTIFICATE 07/15/02

BY DIRECTION OF THE ADMINISTRATOR

X. DATE OF ISSUANCE 10/25/03

X. SIGNATURE OF EXAMINER OR INSPECTOR
Wesley Crusher WP 07
WESLEY CRUSHER

EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO. 001234567

DATE DESIGNATION EXPIRES --

vii. AIRMAN'S SIGNATURE John Doe

FAA Form 8060-4 (8-79) USE PREVOUS EDITION

SAMPLE

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Figure 5-25. FAA Form 8060-4, Emergency Field Issuance (Maintained at FSDO Level Only)

I. UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION
ii. TEMPORARY AIRMAN CERTIFICATE

III. CERTIFICATE NO. 1234567

THIS CERTIFIES THAT IV. JOSEPH ALPHONSO SCHMIDLAP
V. 1234 MAIN ST
OKLAHOMA CITY, OK 73108

DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY VI.
01/01/1976	72 IN	175	BROWN	BLUE	M	USA

IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of

COMMERCIAL PILOT

RATINGS AND LIMITATIONS

XII. AIRPLANE SINGLE AND MULTIENGINE LAND
INSTRUMENT AIRPLANE

XIII. EMERGENCY FIELD ISSUANCE ENGLISH PROFICIENT EXPIRES 04/31/2016

THIS IS ☐ AN ORIGINAL ISSUANCE ☒ A REISSUANCE OF THIS GRADE OF CERTIFICATE

DATE OF SUPERSEDED AIRMAN CERTIFICATE 01/01/2011

BY DIRECTION OF THE ADMINISTRATOR

X. DATE OF ISSUANCE 03/31/2016

X. SIGNATURE OF EXAMINER OR INSPECTOR
WILLIAM SCHMUCKATELLI

EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO. 00123456

DATE DESIGNATION EXPIRES N/A

vii. AIRMAN'S SIGNATURE

FAA Form 8060-4 (8-79) USE PREVIOUS EDITION

AFS Electronic Forms System - v2.2

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Figure 5-26. Letter of Temporary Deposit

VOLUNTARY DEPOSIT OF CERTIFICATE

As a result of [*reason*] on [*date*], I hereby voluntarily surrender my [*pilot, mechanic, flight engineer, etc.*] certificate [*number*] for temporary deposit in the [*FSDO*] Flight Standards District Office of the FAA until [*date + up to 30 days*]. If, by that date, I have not demonstrated the airman competence to hold that/those rating(s) to the FAA or received an extension of time within which to take the reexamination, I understand that legal enforcement action will be taken to suspend the privileges of my [*grade of*] certificate until I demonstrate the competence prescribed in the Federal aviation regulations for its original issuance.

Signed,

[*Printed and signed name*]

on this [*date*].

[*Address*]

[*Witness A, date*]

[*Witness B, date*]

Attach Certificate

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Figure 5-27. Loss of Certificate Affidavit

STATE OF _____

COUNTY OF _____

Mr. _____, being duly sworn, says:

1. On _____, the only airman certificate held by me was No. _____, with _____ privileges and _____ ratings.

2. By Order of Suspension (or Revocation) dated _____, my airman certificate was suspended (or revoked) effective _____ for a period of _____ months (or days) (if revocation, leave period out).

3. I have made a thorough search of the places where my airman certificate could or might be found. Notwithstanding the search, I have not been able to find such certificate. I do not know where such certificate presently is nor where it may be found; I believe it to be lost.

4. For the above reason, I am unable to surrender my airman certificate number _____; however, if and when such certificate is found while suspended, I will surrender it to the FAA.

Airman's Signature

SUBSCRIBED AND SWORN TO before me this _____ day of _____, _____

[*Seal*]

Notary Public in and for

County

State of _____

My Commission expires on _____

Figure 5-28. Reserved

Figure 5-29. Reserved

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Figure 5-29A. Sample SIC Pilot Type Rating Application

This is a sample of a completed FAA Form 8710-1, Airman Certificate and/or Rating Application (front page), for the SIC pilot type rating:

TYPE OR PRINT ALL ENTRIES IN INK

Form approved OMB No:2120-0021
Exp. 04/30/2018

U.S. Department of Transportation
Federal Aviation Administration

Airman Certificate and/or Rating Application

I. APPLICATION INFORMATION (Mark 'X' in all the blocks applicable to the certificate or rating for which you are applying):

Certificates

Pilot: ☐ Student ☐ Recreational ☐ Private ☒ Commercial ☐ ATP-Restricted ☐ ATP

Instructor: ☐ Flight ☐ Ground

Ratings

Category and/or Class: ☐ ASE ☐ AME ☐ Land ☐ Sea ☐ Helicopter ☐ Balloon ☐ Glider ☐ Gyroplane ☐ Airship ☐ Powered-Lift

Instrument: ☐ Airplane ☐ Helicopter ☐ Powered-Lift

Ground Instructor: ☐ Basic ☐ Advanced ☐ Instrument

Type Rating: SIC Type Rating ☒ Added Rating

Other Information/Requests

☐ Initial ☐ Reexamination ☐ Instrument Proficiency Check
☐ Renewal ☐ Reissuance ☐ Medical Flight Test
☐ Reinstatement ☐ Flight Review ☐ Limitation Removal
Specify other: ☐ IPL

A. Name *(Last, First, Middle)* Buford, Ronald Rudyard	B. SSN *(U.S. Only)* Do Not Use	C. Date of Birth 02/14/1983 MM/DD/YYYY	D. Place of Birth *(City and State)* or *(City and Country)* Pittsburgh, PA
E1. Residential Address *(Including City, State, Zip Code, and Country)* 7375 Red Greenway Richmond, VA 23250	E2. Mailing Address *(This address will be printed on the permanent airman certificate, if different than block E1.)*	F. Citizenship / Nationality ☒ USA ☐ Other *specify:*	G. Do you read, speak, write, & understand the English language? ☒ Yes ☐ No

H. Height *(inches)*	I. Weight *(pounds)*	J. Hair Color	K. Eye Color	L. Sex
74	190	Blond	Blue	☒ Male ☐ Female

M. Do you hold, or have you ever held an FAA certificate? ☒ Yes ☐ No	M1. Grade of Certificate Commercial	M2. Certificate Number 1234567	M3. Date Issued 04/19/2013
N. Do you hold a Medical Certificate? ☒ Yes - FAA ☐ Yes - Foreign ☐ Yes-Military ☐ No	N1. Class of Medical Certificate Second Class	N2. Name of Medical Examiner John Smith, MD	N3. Date Issued 04/19/2013

O. Have you ever been convicted for violation of any Federal or State statutes relating to narcotic drugs, marijuana, or depressant or stimulant drugs or substances? ***Do not include alcohol offenses involving motor vehicle mode of transportation as those offenses are covered on the FAA Form 8500-8, Airman Medical Application Form.*** ☐ Yes ☒ No — O1. Date of Final Conviction

II. CERTIFICATE OR RATING APPLIED FOR ON BASIS OF:

☐ A. Completion of Test or Activity	1. Aircraft to be used *(If flight test required)*	2. Total time in this aircraft and/ or approved FFS or FTD *(hours)*	a. Flight Time	b. As Pilot-in-Command
☐ B. U.S. Military Competence or Experience	1. U.S. Military Service	2. Date Rated in U.S. Military		3. Rank or Grade
	4. List Military aircraft for which you have:	a. logged pilot time or provided flight instruction (IP) *(make and model)*	b. passed an Instrument Proficiency Check *(Pilot or CFI) - (make and model)*	
☐ C. Graduate of an Approved Course	1. Training Agency or Training Center:	1a. Name	1b. Location *(City and State)*	1c. Certification Number / 1d. Part 142? ☐ Yes ☐ No
	2. Curriculum From Which Graduated *(Level, Category, and Class and/or Type Rating)*			3. Date
☐ D. Holder of Foreign License	1. Country that Issued the Foreign Pilot License	2. Grade of Foreign Pilot License	3. Foreign Pilot License Number	
	4. Ratings Held on Foreign Pilot License *(FAA equivalent only – e.g. ASEL, AMEL, Type rating, etc.)*			
☒ E. Air Carrier Training Program	1. Name of Air Carrier 135 Commuter	2. Date Training Began 05/02/2013	3. Accomplished Training Program ☒ Initial ☐ Upgrade ☐ Transition ☐ Recurrent	

III. RECORD OF PILOT TIME ***(Do not write in the shaded areas)***

	Total	Instruction Received	Solo	PIC and SIC	Cross Country Instruction Received	Cross Country Solo	Cross Country PIC/SIC	Instrument	Night Instruction Received	Night Take-Off / Landing	Night PIC/SIC	Night Take-Off/Landing PIC/SIC	Class Totals	Number of: Flights	Aero-Tows	Ground Launches	Powered Launches
Airplanes				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC	SEL / MEL / SES / MES				
Rotorcraft				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC	Helicopter / Gyroplane				
Powered Lift				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC					
Gliders				PIC / SIC													
Lighter-Than-Air				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC	Balloon / Airship				
FFS																	
FTD																	
ATD																	

IV. Have you previously failed the practical test for the certificate or rating for which you are applying? ☐ Yes ☒ No If Yes, enter date of last disapproval

V. APPLICANT'S CERTIFICATION: I certify that all statements and answers provided by me on this application form are complete and true to the best of my knowledge and I agree that they are to be considered as part of the basis for issuance of any FAA certificate to me. I have received the Pilot's Bill of Rights Written Notification of Investigation that accompanies this form. I have also read and understand the Privacy Act statement that accompanies this form.

Signature of Applicant R. R. Buford — Date MM/DD/YYYY 09/01/2013

FAA Form 8710-1 (08-14) Supersedes Previous Edition — NSN: 0052-00-682-5007

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Figure 5-29B. Sample SIC Pilot Type Rating Application (For § 61.55(d) Applicants)

This is a sample of a completed FAA Form 8710-1, Airman Certificate and/or Rating Application (front page), for the SIC pilot type rating:

TYPE OR PRINT ALL ENTRIES IN INK

Form approved OMB No:2120-0021
Exp. 04/30/2018

U.S. Department of Transportation
Federal Aviation Administration

Airman Certificate and/or Rating Application

I. APPLICATION INFORMATION (Mark 'X' in all the blocks applicable to the certificate or rating for which you are applying):

Certificates

Pilot: ☐ Student ☐ Recreational ☐ Private ☒ Commercial ☐ ATP-Restricted ☐ ATP

Instructor: ☐ Flight ☐ Ground

Ratings

Category and/or Class: ☐ ASE ☐ AME ☐ Land ☐ Sea ☐ Helicopter ☐ Balloon ☐ Glider ☐ Gyroplane ☐ Airship ☐ Powered-Lift

Instrument: ☐ Airplane ☐ Helicopter ☐ Powered-Lift

Ground Instructor: ☐ Basic ☐ Advanced ☐ Instrument

Type Rating: SIC Type Rating ☒ Added Rating

Other Information/Requests

☐ Initial ☐ Reexamination ☐ Instrument Proficiency Check
☐ Renewal ☐ Reissuance ☐ Medical Flight Test
☐ Reinstatement ☐ Flight Review ☐ Limitation Removal
Specify other: ☐ IPL

A. Name (Last, First, Middle)	B. SSN (U.S. Only)	C. Date of Birth (MM/DD/YYYY)	D. Place of Birth (City and State) or (City and Country)
Buford, Ronald Rudyard	Do Not Use	02/14/1983	Pittsburgh, PA

E1. Residential Address (Including City, State, Zip Code, and Country)
7375 Red Greenway
Richmond, VA 23250

E2. Mailing Address (This address will be printed on the permanent airman certificate, if different than block E1.)

F. Citizenship / Nationality: ☒ USA ☐ Other specify:

G. Do you read, speak, write, & understand the English language? ☒ Yes ☐ No

H. Height (inches)	I. Weight (pounds)	J. Hair Color	K. Eye Color	L. Sex
74	190	Blond	Blue	☒ Male ☐ Female

M. Do you hold, or have you ever held an FAA certificate?	M1. Grade of Certificate	M2. Certificate Number	M3. Date Issued
☒ Yes ☐ No	Commercial	1234567	04/19/2013

N. Do you hold a Medical Certificate?	N1. Class of Medical Certificate	N2. Name of Medical Examiner	N3. Date Issued
☒ Yes - FAA ☐ Yes - Foreign ☐ Yes-Military ☐ No	Second Class	John Smith, MD	04/19/2013

O. Have you ever been convicted for violation of any Federal or State statutes relating to narcotic drugs, marijuana, or depressant or stimulant drugs or substances? ***Do not include alcohol offenses involving motor vehicle mode of transportation as those offenses are covered on the FAA Form 8500-8, Airman Medical Application Form.*** ☐ Yes ☒ No

O1. Date of Final Conviction

II. CERTIFICATE OR RATING APPLIED FOR ON BASIS OF:

☐ A. Completion of Test or Activity
1. Aircraft to be used (If flight test required)
2. Total time in this aircraft and/ or approved FFS or FTD (hours)
a. Flight Time
b. As Pilot-in-Command

☐ B. U.S. Military Competence or Experience
1. U.S. Military Service
2. Date Rated in U.S. Military
3. Rank or Grade
4. List Military aircraft for which you have:
a. logged pilot time or provided flight instruction (IP) (make and model)
b. passed an Instrument Proficiency Check (Pilot or CFI) - (make and model)

☐ C Graduate of an Approved Course
1. Training Agency or Training Center:
1a. Name
1b. Location (City and State)
1c. Certification Number
1d. Part 142? ☐ Yes ☐ No
2. Curriculum From Which Graduated (Level, Category, and Class and/or Type Rating)
3. Date

☐ D Holder of Foreign License
1. Country that Issued the Foreign Pilot License
2. Grade of Foreign Pilot License
3. Foreign Pilot License Number
4. Ratings Held on Foreign Pilot License (FAA equivalent only – e.g. ASEL, AMEL, Type rating, etc.)

☒ E. Air Carrier Training Program
1. Name of Air Carrier: 135 Commuter
2. Date Training Began: 05/02/2013
3. Accomplished Training Program: ☒ Initial ☐ Upgrade ☐ Transition ☐ Recurrent

III. RECORD OF PILOT TIME ***(Do not write in the shaded areas)***

	Total	Instruction Received	Solo	PIC and SIC	Cross Country Instruction Received	Cross Country Solo	Cross Country PIC/SIC	Instrument	Night Instruction Received	Night Take-Off / Landing	Night PIC/SIC	Night Take-Off/Landing PIC/SIC	Class Totals				Number of Flights	Aero-Tows	Ground Launches	Powered Launches
Airplanes				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC	SEL	MEL	SES	MES				
Rotorcraft				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC	Helicopter		Gyroplane					
Powered Lift				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC								
Gliders				PIC / SIC																
Lighter-Than-Air				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC	Balloon		Airship					
FFS																				
FTD																				
ATD																				

IV. Have you previously failed the practical test for the certificate or rating for which you are applying? ☐ Yes ☒ No If Yes, enter date of last disapproval

V. APPLICANT'S CERTIFICATION: I certify that all statements and answers provided by me on this application form are complete and true to the best of my knowledge and I agree that they are to be considered as part of the basis for issuance of any FAA certificate to me. I have received the Pilot's Bill of Rights Written Notification of Investigation that accompanies this form. I have also read and understand the Privacy Act statement that accompanies this form.

Signature of Applicant: R. R. Buford
Date (MM/DD/YYYY): 09/01/2013

FAA Form 8710-1 (08-14) Supersedes Previous Edition NSN: 0052-00-682-5007

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Figure 5-29C. FAA Form 8710-1 Completed by an FAA Inspector

This is a sample of a completed FAA Form 8710-1, Airman Certificate and/or Rating Application (back page) for the SIC pilot type rating:

Instructor Action

☐ Flight Review ☐ Instrument Proficiency Check ☒ Recommendation - *I have personally instructed the applicant and consider this person ready to take the test.*

Date	Certified Flight Instructor's Signature *(Print Name and Sign)*	Certificate Number	CFI Certificate Expires
06/30/2013	Jay Smith *Jay Smith*	2345678CFI	06/30/2014

Air Agency's Recommendation

The applicant has successfully completed our _____ course, and is recommended for certificate or rating without further practical test.

Date	Agency Name and Number	Official Signature

Designated Examiner or Airman Certification Representative Report

☐ Student Pilot Certificate Issued (Copy attached)
☐ I have personally reviewed this applicant's pilot logbook and/or training record, and I certify that the individual meets the applicable requirements of 14 CFR Part 61 for the certificate or rating sought.
☐ I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate.
☐ I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.
☐ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**
☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

Location of Test *(Name of Facility or Airport, City, State)*	Duration of Test: Ground / Oral	FFS / FTD	Flight

Certificate or Rating Being Applied For *(Grade, Category, Class and/or Type Rating)*	Type(s) of Aircraft Used	Registration Number(s)

Date	Examiner's Signature *(Print Name & Sign)*	Certificate Number	Designation Number	Designation Expires

Evaluator's Record (*Use for All ATP Certificate(s) and/or Type Rating(s)*)

	Inspector	Examiner	Signature and Certificate Number	Date
Ground / Oral	☐	☐	_____	_____
Approved FFS/FTD Check	☐	☐	_____	_____
Aircraft Flight Check	☐	☐	_____	_____
Advanced Qualification Program	☐	☐	_____	_____

Aviation Safety Inspector or Technician Report

I have personally tested this applicant in accordance with **or** have otherwise verified that this applicant complies with, pertinent procedures, standards, policies, and or necessary requirements with the result indicated below. (*The approved box need only checked if the Inspector is the one that issued the temporary airman certificate)*

☐ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**
☒ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

Location of Test *(Name of Facility or Airport, City, State)*	Duration of Practical Test: Ground / Oral	FFS / FTD	Flight

Certificate or Rating Being Applied For *(Grade, Category, Class and/or Type Rating)*	Type(s) of Aircraft Used	Registration No.(s)
B-777 SIC Privileges Only		

Certification Activities:
☐ Examiner's Recommendation Provided/Reviewed
☐ Accepted ☐ Rejected
☐ Student Pilot Certificate Issued
☐ Reissue or exchange of pilot, CFI, or G.I. certificate
☐ Change of name, nationality, gender or date of birth
☐ SIC Type Rating issued under § 61.55(b) (Part 91)

☐ Ground Instructor Certificate Issued
☐ Basic
☐ Advanced
☐ Instrument

☐ Flight Instructor Certificate Issued
☐ Initial ☐ Renewal ☐ Reinstatement
Instructor Renewal Based On:
☐ Activity ☐ Training Course
☐ Test ☐ Duties and Responsibilities
☐ Military Instructor Proficiency Check

Certificate or Rating Based on:
☒ Approved FAA Qualification ☐ Military Competency Criteria Not Identified on Page 1
☐ Foreign License
☐ Special medical test conducted – report forwarded to issuing medical office or AAM-300
☐ Special Test-Reexamination (44709) conducted
☐ Approved ☐ Disapproved

Training Course (FIRC) Name	Graduation Certificate Number	Date of FIRC Graduation Certificate

Date	Inspector's Signature *(Print Name & Sign)*	Certificate Number	FAA Office (e.g. SO-15, WP-19)
09/01/2013	John Jay *John Jay*	7654321	EA-21

Attachments:
☐ Student Pilot Certificate (Copy)
☐ College Transcript (Official)
☐ ATP CTP Graduation Certificate
☐ Knowledge Test Report
☒ Temporary Airman Certificate
☐ Notice of Disapproval
☒ Superseded Airman Certificate

Airman's Identification (ID) *(U.S. driver's license or passport recommended)*	**Applicant Information** *(required if printed on 2 pages)*
Form of ID: VA Driver's License	Name: Buford, Ronald Rudyard
ID Number *(If issued by State, include State)*: A1234567	Date of Birth: 02/14/1983
Expiration Date *(must be valid)*: 02/14/2019	Certificate Number: 1234567
Telephone Number: 555-555-555	E-Mail Address: rrbuford@yahoo.com
REMARKS from Inspector or Examiner: NONE	

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Figure 5-29D. FAA Form 8710-1 Completed by an Authorized Designated Examiner or an Aircrew Program Designee (APD)

This is a sample of a completed FAA Form 8710-1, Airman Certificate and/or Rating Application (back page), for the SIC pilot type rating:

Instructor Action

☐ Flight Review ☐ Instrument Proficiency Check ☒ Recommendation - *I have personally instructed the applicant and consider this person ready to take the test.*

Date	Certified Flight Instructor's Signature *(Print Name and Sign)*	Certificate Number	CFI Certificate Expires
06/30/2013	Jay Smith *Jay Smith*	2345678CFI	06/30/2014

Air Agency's Recommendation

The applicant has successfully completed our _____ course, and is recommended for certificate or rating without further practical test.

Date	Agency Name and Number	Official Signature

Designated Examiner or Airman Certification Representative Report

☐ Student Pilot Certificate Issued (Copy attached)
☒ I have personally reviewed this applicant's pilot logbook and/or training record, and I certify that the individual meets the applicable requirements of 14 CFR Part 61 for the certificate or rating sought.
☐ I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate.
☐ I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.
☐ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**
☒ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

Location of Test *(Name of Facility or Airport, City, State)*	Duration of Test: Ground / Oral	FFS / FTD	Flight

Certificate or Rating Being Applied For *(Grade, Category, Class and/or Type Rating)*	Type(s) of Aircraft Used	Registration Number(s)
B-777 SIC Privileges Only		

Date	Examiner's Signature *(Print Name & Sign)*	Certificate Number	Designation Number	Designation Expires
09/01/2013	William Roe *William Roe*	3456789	xxxxxxxxx	12/31/2014

Evaluator's Record (*Use for All ATP Certificate(s) and/or Type Rating(s)*)

	Inspector	Examiner	Signature and Certificate Number	Date
Ground / Oral	☐	☐		
Approved FFS/FTD Check	☐	☐		
Aircraft Flight Check	☐	☐		
Advanced Qualification Program	☐	☐		

Aviation Safety Inspector or Technician Report

I have personally tested this applicant in accordance with or have otherwise verified that this applicant complies with, pertinent procedures, standards, policies, and or necessary requirements with the result indicated below. (*The approved box need only checked if the Inspector is the one that issued the temporary airman certificate)*

☐ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**
☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

Location of Test *(Name of Facility or Airport, City, State)*	Duration of Practical Test: Ground / Oral	FFS / FTD	Flight

Certificate or Rating Being Applied For *(Grade, Category, Class and/or Type Rating)*	Type(s) of Aircraft Used	Registration No.(s)

Certification Activities:
☐ Examiner's Recommendation Provided/Reviewed
☐ Accepted ☐ Rejected
☐ Student Pilot Certificate Issued
☐ Reissue or exchange of pilot, CFI, or G.I. certificate
☐ Change of name, nationality, gender or date of birth
☐ SIC Type Rating issued under § 61.55(b) (Part 91)

☐ Ground Instructor Certificate Issued
☐ Basic
☐ Advanced
☐ Instrument

☐ Flight Instructor Certificate Issued
☐ Initial ☐ Renewal ☐ Reinstatement
Instructor Renewal Based On:
☐ Activity ☐ Training Course
☐ Test ☐ Duties and Responsibilities
☐ Military Instructor Proficiency Check

Certificate or Rating Based on:
☐ Approved FAA Qualification Criteria Not Identified on Page 1 ☐ Military Competency
☐ Foreign License
☐ Special medical test conducted – report forwarded to issuing medical office or AAM-300
☐ Special Test-Reexamination (44709) conducted
☐ Approved ☐ Disapproved

Training Course (FIRC) Name	Graduation Certificate Number	Date of FIRC Graduation Certificate

Date	Inspector's Signature *(Print Name & Sign)*	Certificate Number	FAA Office (e.g. SO-15, WF-19)

Attachments:
☐ Student Pilot Certificate (Copy)
☐ College Transcript (Official)
☐ ATP CTP Graduation Certificate
☐ Knowledge Test Report
☒ Temporary Airman Certificate
☐ Notice of Disapproval
☒ Superseded Airman Certificate

Airman's Identification (ID) *(U.S. driver's license or passport recommended)*	**Applicant Information** *(required if printed on 2 pages)*
Form of ID: VA Driver's License	Name: Buford, Ronald Rudyard
ID Number *(If issued by State, include State)*: A1234567	Date of Birth: 02/14/1983
Expiration Date *(must be valid)*: 02/14/2019	Certificate Number: 1234567
Telephone Number: 555-555-5555	E-Mail Address: rrbuford@yahoo.com
REMARKS from Inspector or Examiner: NONE	

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RESERVED. Paragraphs 5-328 through 5-340.

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VOLUME 6 SURVEILLANCE

CHAPTER 11 OTHER SURVEILLANCE

Section 5 Surveillance of Sport Parachute Activities

6-2246 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Operations: 1661, 1696.

B. Maintenance: 3627, 3628, 3631, 3676, 3678, 3694.

C. Avionics: 5627, 5677, 5681, 5694.

6-2247 OBJECTIVE. This section contains surveillance procedures conducted at Drop Zones (DZ) for inspectors when observing sport parachute operations. Sport parachute surveillance usually involves aircraft, pilots, parachute riggers, owners, operators, aircraft mechanics, and parachutists. This does not include surveillance of a parachute demonstration conducted under a Certificate of Authorization (COA) (i.e., sporting events, stadiums, over or into open-air assembly of persons or congested areas). See Volume 6, Chapter 11, Section 10, paragraph 6-2378 for surveillance procedures related to these activities.

A. Recommendations. The National Transportation Safety Board's (NTSB) findings have raised safety concerns regarding the sport parachute operations industry, which may increase Federal Aviation Administration (FAA) surveillance per current Federal regulations. Refer to Title 14 of the Code of Federal Regulations (14 CFR) parts 43, 61, 65, 91, and 105 for legal regulatory requirements.

B. Parachute Operations. Title 14 CFR parts noted in this section address issues such as aircraft maintenance, pilot certification, rigger certification, aircraft operations, and inspection recording requirements, including parachute operations. Additionally, aircraft may be subject to the applicability of 14 CFR part 125 (20-seat capacity or more, aircraft weight of 6,000 pounds or above, and performing operations when common carriage is not involved) when operations meet the requirements of part 125.

C. Code of Federal Regulations (CFR) Compliance. This increased surveillance and reporting of sport parachute operations will help determine compliance with the current 14 CFR parts that are applicable to sport parachute operations.

6-2248 GENERAL.

A. DZ. A DZ, by definition per part 105, § 105.3, is "any pre-determined area upon which parachutists or objects land after making an intentional parachute jump or drop. The center-point target of a drop zone is expressed in nautical miles from the nearest VOR facility when 30 nautical miles or less; or from the nearest airport, town, or city depicted on the appropriate Coast and Geodetic Survey World Aeronautical Chart or Sectional Aeronautical Chart, when the nearest VOR facility is more than 30 nautical miles from the drop zone."

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B. Parachute Operation. Parachute operation staff includes owners, operators, pilots, parachute instructors, aircraft mechanics, and parachute riggers.

C. Sport Parachutist Seatbelt Requirements. The FAA does not consider sport parachutists as passengers when evaluating the regulatory compliance status of such operations. However, this does not eliminate the requirement for the use of safety belts set forth in part 91, § 91.107. Parachutists may use the floor of the aircraft as a seat, provided that the person is on board for the purpose of engaging in sport parachuting and the aircraft is approved for and equipped with floor-mounted seatbelt installations adequate for all passengers.

D. United States Parachute Association (USPA). The sport parachute industry is largely self-regulated, with most sport parachute operators belonging to the USPA.

1) The USPA has established a group member program as a way for sport parachute schools, centers, and clubs to provide its affiliates with resources, such as recommended aircraft inspection programs, pilot safety information, and safety procedures.

2) The FAA recognizes the issuance of ratings and licenses by the USPA organization, meeting the requirements of § 105.45.

NOTE: It is not an FAA requirement for parachute operators or individual skydivers to affiliate with any groups or organizations.

E. Aircraft Accident Notification. Per Title 49 of the Code of Federal Regulations (49 CFR) part 800, the NTSB requires notification and reporting of aircraft accidents or incidents under 49 CFR part 830. NTSB investigations involving accident aircraft during sport parachute operations have uncovered numerous safety concerns. The safety concerns listed below include pilot operations, parachute riggers, and aircraft operation and maintenance:

- Lack of use of an approved restraint system by parachutists during flight.
- Inadequate aircraft maintenance and inspections.
- Contaminated fuel.
- Pilot inattention to aircraft Weight and Balance (W&B).
- Aircraft modifications without proper FAA approvals.
- Approved flight manual supplements.
- Pilot certification, flight currency, and training.
- Parachute airworthiness to include compliance with Technical Standard Order (TSO)-C23, Personnel Parachutes Assemblies.
- Aircraft operational placards installed at certification, if required (see Supplemental Type Certificate (STC), aircraft Type Certificate Data Sheet (TCDS), or pilot's operating handbook (POH)).

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6-2249 COORDINATION REQUIREMENTS.

A. Aviation Safety Inspector (ASI) Duties. When performing surveillance on parachute operations, it is helpful to coordinate the inspection with the operator.

B. District Surveillance. Each Flight Standards District Office (FSDO) should conduct sport parachute surveillance occurring within district boundaries as stipulated in FAA Order 1800.56, National Flight Standards Work Program Guidelines. ASIs can perform surveillance as a team, and an ASI experienced in sport parachute activities is recommended as a part of the inspection team when performing parachute operation surveillance.

6-2250 REFERENCES AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Part 65 Subpart F.
- Title 14 CFR Part 91, § 91.409.
- Title 14 CFR Part 105.
- TSO-C23, Personnel Parachute Assemblies and Components.
- Advisory Circular (AC) 105-2, Sport Parachuting.
- FAA-H-8083-17, Parachute Rigger Handbook.

B. Job Aids:

- TCDS of applicable aircraft.
- FAA Order 8130.2, Airworthiness Certification of Products and Articles.
- FAA Order 8900.1, Volume 4, Chapter 9, Section 1, Perform Field Approval of Major Repairs and Major Alterations.
- USPA website: http://www.USPA.org.
- AC 43.9-1, Instructions for Completion of FAA Form 337.
- AC 90-66, Recommended Standard Traffic Patterns and Practices for Aeronautical Operations at Airports Without Operating Control Towers.
- FAA Orders & Notices website: https://employees.faa.gov/tools_resources/orders_notices.

6-2251 PROCEDURES.

A. Preparation. Prior to performing the parachute operation inspection, the ASI or ASI teams should be familiar with the following five points as they apply to parachute operations.

1) Aircraft.

- Aircraft maintenance and inspection.
- Aircraft modifications for sport parachute operations in accordance with FAA certification procedures.

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NOTE: Modifications include type certificates (TC), STCs, amended TCs, alterations, and field approvals.

2) Pilots.

- Pilot certification—minimum commercial certificate, medical certification, and recent flight experience.
- Experience levels regarding parachute operations.
- Skydive aircraft formation flying (if applicable).

3) Parachute Harness and Container.

- Sport parachute harness and reserve parachutes (verify these are labeled per a TSO-C23 specification).
- TSO parachute pack date (refer to § 105.43(b)(1) and (2)).

4) Part 65 Parachute Rigger. Parachute riggers working with the operator: Verify compliance with part 65 subpart F, Parachute Riggers.

5) Parachute Operation. Section 105.3 defines parachute operations as "the performance of all activity for the purpose of, or in support of, a parachute jump or a parachute drop. This parachute operation can involve, but is not limited to, the following persons: parachutist, parachutist in command, and passenger in tandem parachute operations, drop zone or owner or operator, jump master, certificated parachute rigger, or pilot."

B. Inspection Guidance.

1) Aircraft Inspection Programs. Aircraft inspection programs may vary between piston- and turbine-powered aircraft. The inspection program must satisfy applicable requirements of § 91.409. For part 125 aircraft, refer to part 125, § 125.247(e)(1) through (3). A maintenance record review can verify the inspection program used.

2) Modified or Altered Aircraft. Modified or altered aircraft used for sport parachute operations may have an FAA-approved flight manual supplement in the Aircraft Flight Manual (AFM), and/or placarded instructions installed per the applicable TC, STC, or field approval. Some older aircraft using FAA Form 337, Major Repair and Alteration (Airframe, Powerplant, Propeller, or Appliance), field approvals may list only placarded instructions for speed and door operation and may include installed skydiver restraint systems.

3) Pilot in Command (PIC). The PIC of an aircraft performing sport parachute operations for hire must hold at least a commercial pilot's certificate and a second class medical certificate. They must also meet the recent flight experience for the category of aircraft being flown per part 61, § 61.57. Pilots may have received specialized training for sport parachute flight operations. The training experience should include aircraft-type-specific performance data training, skydive aircraft formation flying (if applicable), preflight performance, postflight inspections, W&B, airport and traffic pattern operations, specific airplane limitations needed to comply with as a result of STC changes or modifications, maintenance reporting procedures

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of discrepancies, and emergency procedures for each aircraft flown. Special attention should be given to ensure that the subject aircraft's W&B limitations are not exceeded under the loading conditions described in 14 CFR part 23, §§ 23.23 and 23.25, or equivalent standard under which the subject aircraft was certificated and a current and up-to-date equipment list is available. PICs should be familiar with the maintenance status and requirements of the aircraft.

4) Aircraft Operating with a Door Open or Removed. Aircraft may operate with a door opened or removed, in accordance with the AFM, a TC, amended TC, STC, or other FAA approvals. For instructions to attain a door open or removed FAA authorization, refer to Order 8130.2.

5) Single-Harness Dual-Parachute System. The sport skydiver single-harness dual-parachute system has one main parachute; one reserve parachute, approved per TSO-C23; and a single-person harness and container, TSO-C23 approved. The main parachute must have been packed within 180 days before the date of its use by a certificated parachute rigger, the person making the next jump with that parachute, or a noncertificated person under the direct supervision of a certificated parachute rigger, as required by § 105.43. Refer to § 105.45(a) for parachutist-in-command requirements and operations and § 105.45(b) for tandem parachute system requirements, which includes tandem parachute manufacturers' approved Automatic Activation Devices (AAD).

6) Parachute Rigger. A parachute rigger certificated through part 65, § 65.111 packs the TSO-C23-approved reserve or emergency parachute, and it must have been packed within 180 days of its use, if using synthetic material, or within 60 days if using organic materials. Check the reserve parachute packing card for pack date compliance. Refer to § 65.131 and § 105.43.

7) One-Time Demonstration Skydive Operation. A one-time demonstration skydive operation may have a FSDO (ASI-Operations)-issued COA to operate per § 105.21. For demonstration jumps located in certain Class B, C, or D airspaces, a COA may be required. The COA coordinates aircraft operations with the FAA air traffic control (ATC) facility having jurisdiction over the airspace. Refer to § 91.145, if applicable. Refer to § 105.23 for parachute operations into airports.

8) Observe Parachute Packing Operations. If you observe parachute packing operations by a parachute rigger, the person making the next jump, or a noncertificated person under the direct supervision of a certificated parachute rigger, confirm they are working per part 105 subpart C.

9) Aircraft Fuel Supply. Visually verify that the fuel supply used to fuel the operator's aircraft is filtered and changed within the manufacturers' recommended period. Also visually verify the pump or fuel truck can be operated safely, and is properly equipped for aircraft-to-fuel supply bonding.

10) AADs. AADs are used by parachutists for increased parachute operational safety. AADs must be maintained in accordance with the manufacturers' provided instructions for maintenance and inspection. For tandem parachute operations under § 105.45, AADs are

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mandatory equipment per 14 CFR, and are approved for use by the parachute manufacturer, not the FAA.

6-2252 OUTCOME OF THIS SURVEILLANCE.

A. PTRS Input. Inspectors will identify any surveillance and findings by entering "SPORTJUMP" in the "National Use" field of the PTRS record. Use the following PTRS codes, as they apply:

- Ramp (1661, 3627, or 5627);
- Parachute Jumps (1696);
- Spot (3628, 3631, or 5681);
- Aircraft Records (3694 or 5694); and
- Part 65 Rigger, Senior, or Master (3678 or 5677).

B. Inspections. In accordance with Order 1800.56, conduct inspections on each parachute operation/DZ located within the FSDO jurisdiction.

RESERVED. Paragraphs 6-2253 through 6-2265.

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VOLUME 6 SURVEILLANCE

CHAPTER 11 OTHER SURVEILLANCE

Section 10 Surveillance of an Aviation Event

6-2371 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Air Races. 1685

B. Aerobatic Air show. 1686

C. Parachute Jumps. 1696

D. Balloon Events. 1697

E. Aerobatic Competitions. 1698

6-2372 OBJECTIVE. The objective of this task is to determine if the holder of a Certificate of Waiver or Authorization is in compliance with the terms set forth in the waiver or authorization. Successful completion of this task results in the continuation or cancellation of an existing waiver or authorization.

6-2373 GENERAL.

A. Surveillance Policy. Air shows, fly-ins, and other gatherings of general aviation aircraft and airmen are opportunities for the Federal Aviation Administration (FAA) to present a positive image to the aviation community with whom we work and the general public. Many of the aircraft operators attending these aviation events are regular users of our air traffic and flight service facilities, but their contact with Flight Standards personnel may have been rare. Most of the people who fly their airplanes to fly-in events and air shows are aviation enthusiasts and hobbyists and are not employed in the aviation industry as pilots.

1) The FAA would like this important segment of airspace users to have a very positive image of inspectors and the safety activities inspectors perform. Therefore, the FAA encourages inspectors to establish early contact with sponsors and organizers of aviation events so that informational and FAA Safety Team activities can be planned to serve attendees.

2) Under no circumstances should these gatherings be targeted for a blanket sweep inspection of spectator airmen and aircraft.

3) The scope of surveillance conducted on aviation event performers and their aircraft will be determined by the Flight Standards District Office (FSDO) manager.

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4) Inspectors assigned work functions at aviation events should strive to earn the confidence of the attending and participating airmen. This can be accomplished by displaying expert technical knowledge as an aviation safety professional.

5) The guidance in this section does not preclude inspectors from taking appropriate action to resolve situations they observe that require immediate corrective action.

B. Aviation Event Surveillance. This section provides the surveillance procedures for evaluating an aviation event.

1) The procedures ensure that current programs, with an emphasis on safety, systems, and intended methods of compliance are thoroughly reviewed, evaluated, and tested.

2) The surveillance steps in paragraphs 6-2382 through 6-2386 encompass all types of aviation events. Portions can be eliminated when they are not applicable; for example, inspection of a balloon competition site is not required when no balloon events are scheduled at an air show location.

C. Issuance of Waiver or Authorization. FAA Form 7711-2, Certificate of Waiver or Authorization Application (Figure 6-100), is reviewed and approved or disapproved and FAA Form 7711-1 (Figure 6-101) issued before the aviation event. (See Volume 3, Chapter 6, Issue a Certificate of Waiver or Authorization for an Aviation Event.) Unless unusual circumstances warrant, the office manager assigns the surveillance of the aviation event to the same inspector who approved the Certificate of Waiver or Authorization.

D. Compliance with Waiver or Authorization. The performers and the holder of the Certificate of Waiver or Authorization are responsible for compliance with the terms of the waiver or authorization.

E. Weather Considerations. Often because of deteriorating weather conditions, participants cannot perform their normal routine. The inspector should cooperate with team leaders when they have to make alterations to their acts. Before canceling an act, the inspector should explain the reasons to the person in charge of the air show. Rather than canceling an entire act, it might be possible to eliminate certain maneuvers and still allow the demonstration in a modified form. The final decision to conduct a modified act is the responsibility of the performer. Performers must not feel pressured to conduct an act if they are not completely sure it can be performed safely.

F. Military Team Considerations. See Volume 3, Chapter 49, Section 1, subparagraph 3-149.

6-2374 AVIATION SAFETY INSPECTOR RESPONSIBILITIES. The inspector-in-charge (IIC), or other inspectors assisting the IIC, is *not responsible for the management, control, or direction of the aviation event*. Other inspectors may be assigned to assist in the surveillance;

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however, all coordination and communication with the waiver or authorization holder should be through the inspector who is primarily responsible for the surveillance, the IIC.

A. Surveillance Responsibilities. The inspector's responsibility is to provide adequate safety oversight of the aviation event and to ensure compliance with the provisions of the waiver or authorization. The inspector is also "on-hand" to provide guidance concerning the waiver or authorization's general and special provisions. Aviation events normally operate on very tight schedules; therefore, the inspector should not interrupt an event except to address safety-related issues requiring immediate attention.

B. Inspector Authority. Although authority is not limited to the following, generally, the inspector has the authority to:

- Change the effective time and date of the waiver or authorization after proper coordination with the appropriate Air Traffic facilities and flight service station;
- Add performers to the schedule of events if all terms of the Certificate of Waiver or Authorization can be met;
- Change the ceiling, visibility, and wind limitations contained in the special provisions, provided that there is no adverse effect on safety; and
- Cancel or delay any or all acts if it is deemed necessary in the interest of safety.

NOTE: FAA personnel will not manage, control, or direct any portion of the event when acting as IIC.

C. Exercising Inspector Authority.

1) Every year, FAA inspectors monitor hundreds of aviation events across the country. During that process, it is necessary to weave constantly through complex technicalities and interpersonal situations. In light of this overwhelming and on-going success story, we believe that all of those successful inspectors should be an example in relating to others.

2) Most FAA inspectors balance and exercise their authority with a demeanor that results in effective accomplishment of FAA safety objectives. When surveying an aviation event, where the inspector is likely to have public contact, the inspector should maintain a positive attitude toward the aviation and general public the inspector encounters. (See subparagraph 6-2373A above.)

a) Inspectors who conduct themselves with confidence will not be perceived as intimidating nor will this positive attitude be perceived as arrogance.

b) The inspector's job is to assure that the conditions of the waiver or authorization are followed. The sponsor or a representative is responsible for running the show in a safe manner.

c) Courtesy and respect must be displayed toward participants and attendees. Public criticism or condemnation of individuals degrades the FAA's image.

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d) An expression of sincere empathy toward sponsor problems assures the sponsors cooperation in safety matters. Consider each situation on a case-by-case basis and be sensitive to the situation without overreacting.

e) Inspectors should adopt an objective and credible philosophy and avoid being overly bureaucratic.

f) Prosecutorial discretion should be exercised concerning performers who find it difficult to carry their FAA airman and medical certificates on their person or in the aircraft while conducting a performance.

g) When it is necessary to act on a matter, inspectors must act in an effective, timely, and positive manner without making threats.

h) Inspectors should always be open and communicative and strive for win/win situations.

i) Inspectors must obtain the permission of the aircraft owner/operator before entering any aircraft.

6-2375 PRESHOW BRIEFING. Waiver and/or authorizations for aerial demonstrations must include the requirement for a preshow briefing of all performers.

A. Attendance.

1) For North American military flight teams, it is permissible for the team leader, or a team's representative, to attend in lieu of every member and assume the responsibility for briefing each member of the team.

2) If civil pilots' certificates are checked at some other time, only the team leader need attend the briefing.

B. Briefing Content. It is imperative that the briefing cover every aspect of the event. Figure 6-102 contains a general briefing outline.

C. Role of IIC. The IIC is not responsible for conducting the briefing, but he/she must be available at the briefing for any questions concerning the Certificate of Waiver or Authorization and its provisions.

D. Non-Airport Sites. If the event is to be conducted at a non-airport location, special procedures for the briefing of the performers must be established.

E. Remote Location. Performers who arrive from a remote location must be briefed by telephone.

6-2376 AEROBATIC COMPETENCY. In order for any pilot (other than pilots of military aircraft or operators of uncertificated ultralight vehicles) to perform aerobatic maneuvers at aviation events authorized by a Certificate of Waiver or Authorization, the pilot must have in

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his/her possession a valid FAA Form 8710-7, Statement of Acrobatic Competency (Figure 6-103). (See Volume 5, Chapter 9, Section 1, Issue/Renew/Rescind a Statement of Aerobatic Competency.)

A. Issue Date. The Statement of Acrobatic Competency must have been issued in accordance with industry programs or as directed by the Flight Standards General Aviation and Commercial Division, AFS-800. This authority is no longer valid after the expiration date annotated on the SAC.

B. Aerobatic Contests, Air Races, and Aerobatic Practice Areas. Pilots who are competing in an aerobatic contest (not associated with an air show), flying in an air race, or practicing in a prescribed aerobatic practice area (authorized by FAA Form 7711-1 for that specific purpose) do not have to have FAA Form 8710-7.

6-2377 OBSERVANCE OF AIR SHOWS, AIR RACES, AND AEROBATIC CONTESTS. Each district office manager who issues a Certificate of Waiver or Authorization for aviation events, such as air shows, air races, or aerobatic competitions, must determine the amount of surveillance that is required to ensure compliance with the terms of the waiver or authorization. District office managers should consider the extent of surveillance necessary with respect to the number of aircraft, type of activity, number of spectators, and the potential impact on aviation safety.

A. Surveillance Team. As a minimum, the district office manager should assign at least one qualified operations inspector to observe each air show and air race. Airworthiness, avionics, or other operations inspectors may be assigned as part of a team depending upon the size and complexity of the event. The IIC may also be responsible for providing on-the-job training (OJT) to another operations inspector in aviation event surveillance.

B. Surveillance Responsibilities. Although the agency recognizes the growth and maturity of the air show industry and applauds its conscientious effort to improve safety, the responsibility for assuring compliance with the regulations, and the terms and limitations of a Certificate of Waiver or Authorization, rests with the FAA.

C. Control Point. Experienced, successful sponsors have learned the value of establishing a control point where the sponsor or a designated representative, i.e., show manager, can control the event. Before the event, a control point site should be established, and the inspector should be familiar with the location of the control point. Since the control point is an ideal location for conducting a portion of the surveillance, the inspector shall be allowed full, easy access to and from the control point.

D. Showline Surveillance. If inspector resources allow, an inspector other than the IIC could monitor the adherence to showline restrictions by observing the showline(s) from a vantage point that will permit observation down the showline and that is well off the end of the showline toward the end of the aerobatic maneuver area. If this type of surveillance is to be conducted, performers should be advised in the preshow briefing.

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E. Sponsor Responsibilities. The sponsor's responsibilities include, but are not limited to:

- Assuring the event sponsor and participants comply with all terms and limitations of the waiver or authorization.
- Familiarity with the waiver or authorization, as well as being aware of other individuals assigned the responsibilities of crowd control, emergency facilities, transient aircraft lookouts, etc.
- In the event the crowd gets out of control, discontinuance of the aerial demonstrations until control is regained.
- If unauthorized transient aircraft enter the local area, advising pilots performing aerial demonstrations to discontinue their routines until the transient aircraft is clear.
- If spectators inadvertently enter unauthorized areas, stopping operations until the spectators are under control.

F. Effect of Weather on Aviation Events. To preclude cloud penetration during an aerial demonstration, it is important to point out that certain sections of the regulations are NOT waived for an air show.

1) Title 14 of the Code of Federal Regulations (14 CFR) part 91, § 91.155, prescribes the minimum visibility and distances from clouds necessary to maintain visual flight rules (VFR) conditions.

2) Section 91.173 requires an instrument flight rules (IFR) flight plan and an appropriate air traffic control (ATC) clearance in order to operate under IFR.

3) *Neither rule is waived*, and it cannot be assumed that a performer has an IFR clearance simply because a Notice to Airman (NOTAM) has been issued for the affected airspace. A NOTAM does not, in itself, necessarily exclude other aircraft from transiting the area. For this reason, the FAA is concerned about an aerobatic operation that would first penetrate a cloud layer (perhaps vertically) and come in proximity to another aircraft operating over-the-top, then descend back through the clouds without visual reference to the showline.

G. Unauthorized Military Demonstrations. When military aircraft conduct unauthorized aerobatic maneuvers—before, during, or after the waiver period—the inspector shall forward all pertinent information, including the call sign and type of aircraft, to the region at the earliest opportunity. The region shall transmit this information directly to AFS-800. AFS-800 will immediately notify the Pentagon of the occurrence. The district office should commence normal investigative procedures.

6-2378 OBSERVANCE OF PARACHUTE JUMPS.

A. Location of Surveillance. The inspector has a choice of conducting the parachute demonstration jump surveillance at either the airport from which the aircraft departs, the landing area, or both, if they are in proximity. This applies only to those events where the parachute

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demonstration jump is the only event. If the surveillance is conducted at the airport, the inspector should inspect both the aircraft and the parachutists' equipment.

B. Aircraft Used in Parachute Operations. Aircraft engaged in sport parachuting operations must be operated in accordance with the rules prescribed in part 91. In some cases, a large aircraft may be subject to the applicability of 14 CFR part 125. The operators of these aircraft must hold an operating certificate under part 125 or a letter of deviation authority permitting operation under part 91 for the purpose of intentional parachute jumping. (See Volume 2, Chapter 6, Section 3, Evaluate an Application for Deviation or Special Flight Authorization Under Part 125).

1) Many aircraft involved in parachute jumping operations have been modified to accommodate the jumpers. These modifications may involve seatbelt attachments and arrangements, attachments to the structure, emergency exits, or the removal of the exit door. All of these alterations not authorized by the FAA-approved airplane flight manual require documentation of field approval by the FAA or a Supplemental Type Certificate (STC).

2) Changes in the configuration of the aircraft must be reflected in the weight and balance documents.

C. Special Considerations.

1) Inspector contact with skydiving activities is generally limited to monitoring aviation events where skydiving is involved, issuing authorizations for jumps into congested areas, and, when requested by ATC, providing input as to the safety of jumps into controlled airspace. The FAA policies with respect to skydiving have, in the past, been to regulate where necessary for the safety of persons not participating in the sport and to encourage self-regulation as necessary for the safety of the participants.

2) It is important for inspectors to ensure that the actual jump reflects what has been authorized. Past accidents have brought to light incidents where events not enumerated in the authorization were a part of an approved jump. Because an authorization had been issued, tacit FAA approval was implied for areas that were not actually authorized.

3) Further, there is concern that some of the skydiving activities that are taking place involve the operation of aircraft in a manner not provided for in the aircraft type certification and with no evaluation of the possible ramifications.

4) Since the regulations involving aircraft modification are generally handled as airworthiness functions, and the majority of contacts with the skydiving community are made by operations inspectors, airworthiness inspectors should be involved where the proposed operations appear questionable.

5) Inspectors, when conducting surveillance of an aviation event involving skydiving, should review the regulatory requirements and authorizations associated with skydiving activities, including the following:

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- Aircraft modifications necessary to accommodate skydiving,
- Proper documentation of these modifications,
- Determination of approved number of occupants of a given model by type certificate or STC,
- Seatbelts and emergency exits, and
- Aircraft loading and weight and balance requirements.

6-2379 ALTIMETER SETTINGS.

A. "Zero" Altitude Reference. Pilots performing aerobatics generally set the aircraft's altimeter to zero before takeoff. This eliminates the need for the pilot to account for terrain altitude in determining the aircraft's height above the ground.

B. Section 91.121. In many cases, inspectors have erroneously informed air show performers that they must comply with § 91.121 (Altimeter Settings) while performing aerobatic routines.

1) Section 91.121 is designed to provide a standard altitude reference for the purpose of maintaining a flight level or cruising altitude.

2) Since aerobatic routines normally do not involve maintaining a flight level or a cruising altitude, operational safety is not compromised if local aerobatic flight is conducted under visual flight rules (VFR) using other than the altimeter references specified by § 91.121. However, the aircraft must depart from and land at the same airport.

C. Local Aerobatic Flights. Local aerobatic flights, as discussed above, should not be required to comply with the altimeter setting requirements for aircraft maintaining "flight levels" or "cruising altitudes" as per § 91.121.

6-2380 AIRCRAFT MARKINGS. Title 14 CFR part 45, § 45.22(b), permits small antique aircraft (with any type of airworthiness certificate), large antique aircraft (with an experimental certificate based on the amateur-built or exhibition nature of the aircraft), and all antique replicas (with experimental/exhibition or experimental/amateur-built certificates) to carry 2-inch N-numbers instead of 12-inch numbers. Section 45.22 also states that the N-numbers must be located on both sides of the fuselage or vertical tail surface. Section 45.25 requires placement of N-numbers on both sides of the fuselage between the trailing edge of the wing and the leading edge of the horizontal stabilizer.

A. Owner's Petition. Aircraft owners, who are seeking to preserve the authentic, antique, or military paint schemes by locating the N-numbers beneath the horizontal stabilizer, have petitioned to determine the applicability of § 45.25 to such aircraft.

1) The FAA Chief Counsel's office has reviewed the issue and has determined that the location requirements of § 45.25 do not apply to aircraft marked in accordance with § 45.22(b). That section specifically states that the aircraft described above do not have to comply with §§ 45.21 and 45.23 through 45.33.

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2) Under this interpretation, therefore, antique and antique replica aircraft which qualify to use two-inch numbers under § 45.22(b) may locate them anywhere on either side of the fuselage, including under the horizontal stabilizer.

3) This interpretation does not affect the requirement in § 45.22(c) that these aircraft must carry 12-inch numbers located in accordance with § 45.25 when in an Air Defense Identification Zone (ADIZ) or Distant Early Warning Identification Zone (DEWIZ).

B. Section 45.23 Requirement. Section 45.23 requires limited or restricted category aircraft or experimental certificated aircraft to display on the aircraft near each entrance to the cabin or cockpit, in letters not less than two inches or more than six inches in height, the words "limited," "restricted," or "experimental," as the case may be.

6-2381 U.S.-REGISTERED CIVIL AIRCRAFT.

A. Air Show Performance. To perform in an air show, a U.S. registered civil aircraft must hold an appropriate Certificate of Airworthiness issued by the FAA, be maintained in accordance with 14 CFR parts 21, 43, and 91, as required, and meet original type design or an approved altered condition that is safe for flight.

1) Additionally, in accordance with § 91.1, all maneuvers performed at air shows shall be conducted in accordance with any operating or special limitations issued as part of the aircraft's Certificate of Airworthiness, type certificate data sheet (TCDS), STC flight manual (FM), and/or letter of authorization (LOA).

2) Most of these limitations are developed during the type certification (TC) process and in many cases can be found in the FM.

3) Regarding some vintage, unique, replica, or foreign manufactured aircraft, information normally found in the FM may be minimal or nonexistent.

4) *It is incumbent upon aircraft owners and operators who conduct aerobatic flight operations to be knowledgeable about the certification basis of their aircraft, and how the certification basis defines which flight operations are authorized.* In some cases, this aircraft-specific information may only be available from the aircraft manufacturer. Aircraft type clubs and related organizations may be another source of this information, but their level of expertise may vary.

5) The Experimental Aircraft Association (EAA) maintains a list of these organizations. Their contact information is:

Antique/Classic Type Clubs
EAA Aviation Center
P.O. Box 3086
Oshkosh, WI 54903-3086
(414) 426-4800
Vintage@eaa.org; website http://www.eaa.org

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6) Another source of information on airplane certification regulatory requirements is the FAA's Small Airplane Directorate:

1201 Walnut, Suite 900
Kansas City, MO 64106
(816) 426-6937

B. Airplanes.

1) For the purpose of issuing a Certificate of Waiver or Authorization for an air show, the following aircraft attitudes will be considered aerobatic flight:

a) For civil turbojet/turbofan powered (primary power unit) airplanes, when the pitch angle exceeds a positive or negative 60° angle from the horizon, and/or when the bank angle diverges from level flight in excess of 60°.

b) For all other aircraft, when the pitch angle exceeds a positive or negative 90° angle from the horizon, and/or when the bank diverges from level flight in excess of 90°.

2) The regulations that set forth the certification basis for aircraft issued a standard U.S. Certificate of Airworthiness in the Normal, Utility, or Acrobatic Category have continually evolved and changed substantially from 1926 to today. Therefore, the need for aircraft owners and operators to understand the certification basis of their aircraft cannot be overly stressed.

3) For vintage airplanes, Civil Air Regulations (CAR) used as the certification basis for airplanes certificated by the Department of Commerce, Bureau of Air Commerce, were written in a different manner than the generally restrictive nature of the current 14 CFR.

a) CAR part 04 is the certification basis for airplanes receiving type-certification from November 7, 1937 to November 13, 1945.

b) Before November 1, 1937, the certification basis for airplanes was Aeronautical Bulletin 7A which was even less definitive than the CAR.

c) Certain vintage airplanes were type-certificated using CAR part 04 as the certification basis. At the time, the normal class was all that was available for airplanes over 1,000 pounds maximum weight. The classes in CAR part 04 are not comparable to categories described in 14 CFR part 23 today. These airplanes certificated in the normal class as defined in CAR section 04.01 may be authorized to conduct aerobatic flight operations. Airplanes certificated in the normal class under CAR part 04 were certificated to very nearly the same structural loads as Acrobatic Category aircraft type certificated under 14 CFR part 23 today.

d) CAR section 04.2, Structural Loading Conditions, found in the initial version of CAR part 04 dated November 11, 1937 provided all of the loading conditions for the airplane structure. As an example, CAR part 04, section 04.2131, Condition I (positive high angle of attack), states that the factors given in Table 04-1 and Figure 04-3 shall be used. For this condition, the limit load factor is 5.33. This load factor corresponds to the current limit load factor of 6 for Acrobatic Category aircraft as stated in 14 CFR § 23.337(a). These structural

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loading conditions found in the first version of CAR part 04 remained unchanged in all subsequent revisions until CAR part 04 was recodified into CAR part 03 on November 13, 1945.

e) Based on the above discussion, it would appear that unless specifically prohibited as indicated in the Aircraft Specification Sheet, TCDS, or STC the authorization to conduct aerobatic flight operations with airplanes certificated using Bulletin 7A or CAR part 04 as the certification basis is implied.

4) Currently, small present day airplanes that are issued a Standard U.S. Certificate of Airworthiness in the Normal, Utility, or Acrobatic Category are certificated in accordance with 14 CFR part 23 or CAR part 03, depending on the certification basis.

a) Airplanes in the Normal Category are limited to maneuvers that do not exceed 60° of bank.

b) Utility Category airplanes are authorized to conduct maneuvers that exceed 60° of bank, but may be approved to conduct spins.

c) Acrobatic Category aircraft are authorized to conduct maneuvers without any restrictions, except those shown necessary as a result of certification flight testing.

d) The FM of contemporary airplanes should contain sufficient information concerning authorized maneuvers and any limitations.

5) Currently, aircraft that are issued a Primary Category Certificate of Airworthiness must conform to an approved primary, normal, utility, or acrobatic aircraft type design, or conform to sport plane certification standards which are similar to Utility Category standards.

a) The certification basis for Primary Category aircraft can be 14 CFR part 23, CAR part 03, JAR Leave as is /VLA, Sportplane, or any other custom-developed certification basis accepted by the FAA under Primary Category. Therefore, operators who perform inverted flight or spin maneuvers in airplanes that are issued a special Certificate of Airworthiness in the Primary Category must determine the ability of the airplane to safely perform the intended flight operation and ensure that the operation is conducted in accordance with any operating limitations issued by the FAA as part of the Certificate of Airworthiness.

b) Additionally, any flight maneuver that exceeds the flight envelope demonstrated during TC flight testing may require the issuance of a special Certificate of Airworthiness in the Experimental Category or the issuance of an STC in accordance with part 21, subpart E. If these flight envelope limitations are not available in the FM or TCDS, information on these maneuver limitations can be obtained from the aircraft manufacturer.

6) A Restricted Category Certificate of Airworthiness is issued for certain special purpose operations as described in § 21.25. Generally, participating in public, sporting aviation events such as air shows or air races are not one of the special purpose operations authorized by this rule. However, there have been some performing helicopters that have been issued a Restricted Category Certificate of Airworthiness.

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7) Generally, a Limited Category Certificate of Airworthiness is issued to a surplus aircraft of the Armed Forces of the United States from the World War II era and certificated in accordance with § 21.189.

a) The FAA may include operating limitations as part of the certificate in addition to any operating limitations described in the original military FM. For example, the P-51 Army Technical Orders AN-01-60JD-1 and AN-01-60JE-1 prohibit the aircraft from performing aerobatic maneuvers with fuel in the fuselage fuel tank.

b) It is incumbent upon the owner/operator of the airplane to determine the ability of the airplane to safely perform any intended flight operation, to ensure the flight operation is conducted in accordance with any operating limitations described in the original military FM, and in accordance with any operating limitations issued by the FAA as part of the Certificate of Airworthiness.

8) Experimental Category Certificates of Airworthiness are issued for certain purposes as described in § 21.191.

a) To perform at air shows, an experimental Certificate of Airworthiness should be issued for the purpose of exhibition.

b) To participate in closed course air racing, an experimental Certificate of Airworthiness should be issued for the purpose of air racing.

c) The FAA may include operating limitations as part of the Certificate of Airworthiness in addition to any operating limitations described in the original military FM for surplus aircraft of the Armed Forces of the United States, if appropriate. For example, the P-51 Army Technical Orders AN-01-60JD-1 and AN-01-60JE-1 prohibit the aircraft from performing aerobatic maneuvers with fuel in the fuselage fuel tank.

d) It is incumbent upon the owner/operator of the airplane to determine the ability of the airplane to safely perform any intended flight operation, and to ensure the flight operation is consistent with the purpose for which the certificate was issued, and conducted in accordance with any operating limitations issued by the FAA as part of the Certificate of Airworthiness, and if appropriate, any operating limitation described in the original military FM.

C. Gliders.

1) For the purpose of issuing a Certificate of Waiver or Authorization for an air show, any inverted flight maneuver or pitch and/or bank angle greater than 90° conducted by a civil glider is considered aerobatic flight and must be addressed in the Certificate of Waiver or Authorization with appropriate special provisions.

2) In accordance with § 21.17(b), for special classes of aircraft for which airworthiness standards have not been issued in 14 CFR, the applicable TC requirements will be other airworthiness criteria as the FAA may find applicable to provide an equivalent level of safety.

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a) The current edition of AC 21.17-2, Type Certification-Fixed Wing Gliders (Sailplanes) Including Powered Gliders (current edition), defines gliders as just such an example of a special class of aircraft.

b) The FAA has determined that the criteria of Joint Airworthiness Requirements (JAR)-22 Leave as is. EASA is still using for Sailplanes and Powered Sailplanes (current edition) provides an acceptable level of safety and is appropriate for use as the certification basis for gliders.

c) JAR 22.3 sets forth two categories for gliders, Utility and Aerobatic. Gliders certificated in either category in accordance with JAR-22 will have information in the FM and cockpit placards that prescribe certain "permitted maneuvers" that were demonstrated during TC flight testing.

d) After TC, to conduct any maneuver that exceeds the flight envelope of these "permitted maneuvers" may require the issuance of a special Certificate of Airworthiness in the Experimental Category or the issuance of an STC in accordance with part 21, subpart E.

e) If these "permitted maneuvers" and/or other limitations on maneuvers are not available in the FM, cockpit placards, or TCDS, information on these maneuver limitations can be obtained from the aircraft manufacturer.

D. Small Agricultural Airplanes. Leave as is.

1) For the purpose of issuing a Certificate of Waiver or Authorization for an air show, any inverted flight maneuver or pitch and/or bank angle greater than 90° conducted by an agricultural aircraft is considered aerobatic flight and must be addressed in the Certificate of Waiver or Authorization with appropriate special provisions.

2) In accordance with § 21.25(a)(1), small agricultural airplanes are subject to the same TC requirements as a part 23 Normal Category airplane, except for those requirements that are found to be inappropriate for the special purpose operation. As an example, spin testing may not be required for certification of a small agricultural airplane.

a) Additionally, no U.S. registered small agricultural airplane with a Certificate of Airworthiness issued in the Restricted Category is authorized to conduct inverted flight. Therefore, small agricultural airplane operators who perform inverted flight or spin maneuvers shall ensure that the aircraft has a valid special Certificate of Airworthiness issued in the Experimental Category for the purpose of exhibition or an appropriate STC.

b) Additionally, any flight maneuver that exceeds the flight envelope demonstrated during TC flight testing may require the issuance of a special Certificate of Airworthiness in the Experimental Category or the issuance of an STC in accordance with part 21, subpart E.

c) If these flight envelope limitations are not available in the FM or TCDS, information on these maneuver limitations can be obtained from the aircraft manufacturer.

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E. Rotorcraft. The following guidance is applicable to both helicopters and gyroplanes.

1) For the purpose of issuing a Certificate of Waiver or Authorization for an air show, any inverted flight maneuver or pitch and/or bank angle greater than 90° conducted by a rotorcraft is considered aerobatic flight and must be addressed in the Certificate of Waiver or Authorization with appropriate special provisions.

a) Agility maneuvers (less than 90° of pitch and/or bank) performed by helicopters at air shows also require consideration in the Certificate of Waiver or Authorization.

b) Any civil rotorcraft act that includes a rotorcraft external-load as defined in 14 CFR part 1 will require certification in accordance with, and must meet the operating requirements of, part 133.

2) No U.S. registered civil rotorcraft with a Certificate of Airworthiness in the Standard Category is authorized to conduct inverted flight. Therefore, rotorcraft operators who perform inverted flight maneuvers shall ensure that the aircraft has a valid special Certificate of Airworthiness issued in the Experimental Category for the purpose of exhibition or an appropriate STC.

a) To conduct any flight maneuver that exceeds the flight envelope demonstrated during TC flight testing may require the issuance of a special Certificate of Airworthiness in the Experimental Category or the issuance of an STC in accordance with part 21, subpart E.

b) Some rotorcraft may have an FM that prescribes limitations on aircraft attitude. If these limitations are not available in the FM or TCDS, information on these maneuver limitations can be obtained from the aircraft manufacturer.

F. Foreign-Registered Civil Aircraft.

1) In accordance with 14 CFR part 375, subpart D, a foreign aircraft permit is not required for foreign aircraft entering the United States for the purpose of performing in an air show.

2) For the purpose of issuing a Certificate of Waiver or Authorization for an air show, any inverted flight maneuver or pitch and/or bank angle greater than 90°, 60° for jet powered airplanes, conducted by a foreign registered aircraft is considered aerobatic flight and must be addressed in the Certificate of Waiver or Authorization with appropriate special provisions.

3) In accordance with Chapter V of the Convention on International Civil Aviation, part 375, subpart B, and § 91.203(a)(1), no person may operate a civil aircraft of foreign registry unless it contains current certificates of registry and airworthiness (standard) issued or rendered valid by the country of registry, or a special flight authorization issued in accordance with § 91.715.

4) In accordance with § 91.9, all maneuvers performed at air shows shall be conducted in accordance with any operating or special limitations issued as part of the aircraft's

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Certificate of Airworthiness, or other certification and/or airworthiness documents issued or rendered valid by the country of registry.

G. Military Aircraft. State (military) aircraft from foreign countries that perform in air shows in the United States receive a diplomatic clearance from the U.S. Department of State to operate in the National Airspace System (NAS).

1) This clearance is obtained by applying to the appropriate military attaché in the U.S. Embassy in the country of origin. Generally, these authorizations are not subject to review by FAA personnel.

2) The airworthiness standards and operating limitations for both U.S. and foreign military aircraft are determined by the appropriate military command in the country of origin and generally are not subject to review by civil aviation authorities.

H. Ultralight Vehicles.

1) For the purpose of issuing a Certificate of Waiver or Authorization for an air show, any inverted flight maneuver or pitch and/or bank angle greater than 90° conducted by an ultralight vehicle that meets the applicability section of 14 CFR part 103, § 103.1 is considered aerobatic flight and be should addressed in the Certificate of Waiver or Authorization with appropriate special provisions. There are no certification or airworthiness standards for ultralight vehicles.

2) In accordance with FAA policy, the operator of the vehicle should provide the FAA with a statement of determination that the vehicle and operator are able to conduct the proposed demonstration without creating a hazard to persons and property on the surface. This statement should contain a summary of how the determination was made.

6-2382 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of regulatory requirements in 14 CFR parts 91 and 105, and Federal Aviation Administration (FAA) policies and qualification as an aviation safety inspector (operations).

1) The inspector-in-charge (IIC) of surveillance must have completed OJT and participated in the issuance of a certificate of waiver or authorization and the surveillance of three aviation events with a senior inspector.

2) For aviation events where a military jet aerobatic demonstration team will perform, the inspector must have satisfactorily completed OJT in the issuance of the waiver or authorization (including the site feasibility study and the preseason evaluation meeting) and surveillance of an air show in which a North American military jet aerobatic team performed.

B. Coordination. This task requires coordination with the airworthiness unit and air traffic.

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6-2383 REFERENCES, FORMS, AND JOB AIDS.

A. References.

- 14 CFR parts 1, 61, 91, 103, 105, and 125.
- Advisory Circular (AC) 91-45, Waivers: Aviation Events (current edition).
- AC 103-7, The Ultralight Vehicle.
- AC 105-2, Sport Parachute Jumping (current edition).
- AC 125-1, Operations of Large Airplanes Subject to Federal Aviation Regulations [14 CFR] Part 125.
- Volume 3 (this order), Chapter 6, Section 1, Issue a Certificate of Waiver or Authorization for an Aviation Event.

B. Forms.

- FAA Form 7711-1, Certificate of Waiver or Authorization.
- FAA Form 7711-2, Certificate of Waiver or Authorization Application.
- FAA Form 8000-36, PTRS Transmittal Form.

C. Job Aids. Sample letters and figures.

6-2384 PROCEDURES.

A. IIC Presurveillance Activities.

1) Review FAA Form 7711-1. Become familiar with the General and Special Provisions, the Schedule of Events, and the regulations that were waived. For balloon competitions, review the event manual.

2) Assemble at least the following information to bring along on surveillance:

- FAA Form 7711-1 issued for this aviation event,
- Information and documents for accident or incident investigation,
- Appropriate sections of the regulations, and
- Any other equipment or information considered necessary.

3) Determine the equipment required to conduct the surveillance; for example, VHF radio, FM radio, camera, etc.

4) If an FAA team is assigned for surveillance, brief each inspector on his/her duties and responsibilities. Emphasize that all contacts with the sponsor, problems with performers, etc., must be coordinated with the IIC.

5) No sooner than 48 hours before the event, contact the appropriate Flight Service Station to ensure that a NOTAM, if required by the Certificate of Waiver or Authorization, has been issued.

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B. PTRS. Open PTRS file.

C. FAA Introduction. At the site of the aviation event, introduce all members of the FAA team to the holder of the waiver or authorization, his/her representatives, and other key personnel.

D. Preshow Briefing. Attend and observe (all FAA surveillance personnel) the preshow briefing (see Figure 6-102).

1) Ensure that all performers sign the waiver or authorization on the sign-in sheet, attesting that they will comply with all the provisions of the waiver or authorization. (North American military team leaders/representatives may sign for the entire team.) (See Figure 6-104.)

2) If performers list credentials and aircraft information on a sign-in sheet, spot-check a sampling for accuracy, as required. Obtain the original copy of the sign-in sheet for the file.

NOTE: To facilitate the gathering of information, the event sponsor may send a copy of the sign-in sheet to performers in advance of the event.

E. Inspect Airman Certificates. As a minimum, ensure that the participating pilots have in their possession:

- A valid Pilot Certificate, except operators of ultralight vehicles.
- If required, a valid letter of authorization in lieu of type rating.
- A current medical certificate, except glider and balloon pilots and operators of ultralight vehicles.
- A current Statement of Acrobatic Competency, as required (see Figure 6-103).
- A valid letter of authorization to conduct maneuvers at the crowd, if required.
- Formation flying credentials, as required.

NOTE: Possession of such credentials does not require being carried on the persons during the performance.

F. Parachutist Qualifications. If last minute substitutions are made to the list of qualified parachutists provided in the application for the authorization, check the parachutists' qualifications.

G. Inspect Participating Aircraft. (See subparagraph 6-2374C2)i.) Inspect the following:

- The aircraft's general condition.
- The aircraft airworthiness and registration certificates.
- The operating limitations associated with Special Airworthiness Certificates.
- The Operating Certificate or Letter of Deviation Authority for large aircraft used in sport parachuting.

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- The modifications to aircraft that accommodate sport parachutists and documentation of field approval by the FAA, or an STC.
- Emergency parachute repack date, if installed within the previous 120 days (§ 91.307).

H. Inspect Parachutists' Equipment. Inspect parachutists' equipment for the following:

1) Determine if the main parachute has been packed, usually by the jumper, within the previous 120 days (§ 105.43(a)).

2) Determine that the auxiliary parachute was packed and sealed by a certificated and appropriately rated rigger (§ 105.43(b) and 14 CFR part 65, subpart F).

3) Determine that the equipment has been manufactured under a type certificate or technical standard order or is a personnel-carrying military parachute (§ 91.307(e)).

I. Balloon Competitions.

1) Determine that the designated spectator area for balloon events is maintained at a minimum of a 200-foot radius away from the designated or declared goal or target.

2) Ensure that the sponsor can keep the target area clear of all except designated event personnel.

3) Ensure all required participants attend pre-event briefing.

J. Ensure Compliance with Terms of Waiver or Authorization. Inspect the event site for compliance with the special provisions of the waiver or authorization.

1) Include, but do not limit the inspection to, the showline, physical barriers, policing of the spectator area(s), and areas where any aircraft operate.

2) Inspect the control point.

3) Ensure communications capability with participating aircraft, security, emergency equipment, and a public address system for spectators. Also ensure that inspectors have continuous access to the control point.

4) If a discrepancy is noted, immediately bring it to the attention of the holder of the Certificate of Waiver or Authorization or their designated representative.

K. Observe Aviation Event. Ensure that all provisions of the waiver or authorization and special provisions are adhered to in all cases.

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1) If a minor problem is noted, discuss the problem with the appropriate individual during the debriefing. For example:

a) Personnel for policing were inadequate to keep spectators from intruding too close to the showline. Spectators were immediately escorted from the area, and more security personnel were assigned to the area.

b) Insufficient time between performances.

2) If you observe an incident that is in noncompliance with the terms of the waiver or authorization or the regulations, advise the waiver or authorization holder and, if necessary, the performer of the actions necessary to regain compliance. For example:

a) Performing aerobatics inside the showline.

b) Performing maneuvers not provided for in the waiver or authorization.

3) If a serious safety problem is noted, immediately bring it to the attention of the holder of the Certificate of Waiver or Authorization or a designated representative.

a) Observe actions taken by the holder of the waiver or the representative to correct the safety problem.

b) If the problem is not or cannot be corrected, cancel or delete any or all events that affect the safety of persons on the ground or in the air.

4) Note any discrepancies and the action taken in the comment portion of the PTRS transmittal form.

L. Debrief. After conclusion of the aviation event, discuss with the holder of the Certificate of Waiver or Authorization, or a representative, and the performers:

- Areas of noncompliance.
- Safety-related problems.
- Aerobatic competency.
- Opportunities for improvement.
- If a similar event is planned for next year, follow up with a letter outlining areas that need improvement.
- If no problems were encountered, apprise the sponsor that the show went well.

M. Office File. Prepare an office file consisting of the following:

- FAA Form 7711-1,
- Record of meetings and telephone conversations, and
- Performer sign-in sheet.

N. PTRS. Make appropriate PTRS entry.

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6-2385 TASK OUTCOMES. The completion of this task results in a record for the district office file on the outcome of the surveillance.

6-2386 FUTURE ACTIVITIES.

- Future surveillance of recurring or annual aviation events,
- Site feasibility evaluation for future or recurring aviation events, and
- Enforcement investigation if areas of noncompliance with the waiver or authorization or the regulations are noted and enforcement action is required to achieve future compliance.

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Figure 6-100. FAA Form 7711-2, Application for Certificate of Waiver or Authorization

No certificate may be issued unless a completed application form has been received (14 C.F.R. §1.101, and 139).

US Department of Transportation
Federal Aviation Administration

APPLICATION FOR CERTIFICATE OF WAIVER OR AUTHORIZATION

Form Approved: O.M.B. No. 2120-0027

APPLICANTS - DO NOT USE THESE SPACES

Region: GREAT LAKES

Date: MARCH 13, 1996

Action: As Per 7711-1
☑ Approved ☐ Disapproved - Explain under "Remarks"

Signature of authorized FAA representative: James E. Hightower

INSTRUCTIONS

Submit this application in triplicate (3) to any FAA Flight Standards district office.

Applicants requesting a Certificate of Waiver or Authorization for an aviation event must complete all the applicable items on this form and attach a properly marked 7.5 series Topographic Quadrangle Map(s), published by the U.S. Geological Survey (scale 1:24,000), of the proposed operating area. The map(s) must include scale depictions of the flightlines, showlines, race courses, and the location of the air event control point, Police dispatch, ambulance, and fire fighting equipment. The applicant may also wish to submit photographs and scale diagrams as supplemental material to assist in the FAA's evaluation of a particular site. Application for a Certificate of Waiver or Authorization must be submitted 45 days prior to the requested date of the event.

Applicants requesting a Certificate of Waiver or Authorization for activities other than an aviation event will complete items 1 through 8 only and the certification, item 15, on the reverse.

1. Name of organization: HIGH ON KALAMAZOO, INC.

2. Name of responsible person: JOHN M. ELLIS

3. Permanent mailing address:

House number and street or route number	City	State and ZIP code	Telephone No.
5605 PORTAGE ROAD	KALAMAZOO	MI 49002	

4. FAR section and number to be waived: 91.117 (a & b), 91.303 (c, d & e), 91.119 (b & c), 91.127, 91.129, 105.15

5. Detailed description of proposed operation (Attach supplement if needed):

6. Area of operation (Location, altitude, etc.): KALAMAZOO COUNTY AIRPORT 10,000' AND BELOW, RADIUS OF TEN (10) NAUTICAL MILES.

7a. Beginning (Date and hour): APPLICANT MAY USE ATTACHMENT

b. Ending (Date and hour): APPLICANT MAY USE ATTACHMENT

8. Aircraft make and model (a)	Pilot's Name (b)	Certificate number and rating (c)	Home address (Street, City, State) (d)
	APPLICANT MAY USE ATTACHMENT		

FAA Form 7711-2 (5-80) Supersedes Previous Edition

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Figure 6-101. FAA Form 7711-1, Certificate of Waiver or Authorization

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

CERTIFICATE OF WAIVER OR AUTHORIZATION

ISSUED TO
HIGH ON KALAMAZOO, INC.
JOHN M. ELLIS

ADDRESS
5605 PORTAGE ROAD
KALAMAZOO, MICHIGAN 49002

This certificate is issued for the operations specifically described hereinafter. No person shall conduct any operation pursuant to the authority of this certificate except in accordance with the standard and special provisions contained in this certificate, and such other requirements of the Federal Aviation Regulations not specifically waived by this certificate.

OPERATIONS AUTHORIZED

AEROBATIC DEMONSTRATIONS AT THE KALAMAZOO COUNTY AIRPORT, KALAMAZOO, MICHIGAN, WITHIN A FIVE (5) NAUTICAL MILE RADIUS OF THE CENTER OF THE AIRPORT FROM THE SURFACE TO 15,000 MSL, EXCLUDING THE AIRSPACE ABOVE SPECTATORS OR CONGESTED AREAS.

PARACHUTE JUMPING AT THE KALAMAZOO COUNTY AIRPORT, KALAMAZOO, MICHIGAN, WITHIN A TWO (2) NAUTICAL MILE RADIUS OF THE CENTER OF THE AIRPORT FROM THE SURFACE TO 15,000 FEET MSL, JUMPS OVER OR INTO CONGESTED AREAS OR OPEN AIR ASSEMBLY OF PERSONS ARE AUTHORIZED.

LIST OF WAIVED REGULATIONS BY SECTION AND TITLE

SEE ATTACHMENT A

STANDARD PROVISIONS

1. A copy of the application made for this certificate shall be attached to and become a part hereof.
2. This certificate shall be presented for inspection upon the request of any authorized representative of the Administrator of the Federal Aviation Administration, or of any State or municipal official charged with the duty of enforcing local laws or regulations.
3. The holder of this certificate shall be responsible for the strict observance of the terms and provisions contained herein.
4. This certificate is nontransferable.

NOTE—This certificate constitutes a waiver of those Federal rules or regulations specifically referred to above. It does not constitute a waiver of any State law or local ordinance.

SPECIAL PROVISIONS

PARACHUTE SPECIAL PROVISIONS NOS. 1 THRU 13. "See Attached" [X]
Special Provisions Nos. 1 to 26 inclusive, are set forth on the reverse side hereof.

This certificate is effective from 1145EDT 06/09/96 1245EDT 06/10&11/96 to 1600EDT 06/09/96 1730EDT 06/10&11/96, inclusive, and is subject to cancellation at any time upon notice by the Administrator or his authorized representative.

BY DIRECTION OF THE ADMINISTRATOR

Great Lakes
(Region)

Wooley Crudder
(Signature)

March 28, 1996
(Date)

Principal Operations Inspector
(Title)

FAA Form 7711-1 (7-74)

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Figure 6-102. Preshow Briefing Guide

AVIATION EVENT PRESHOW BRIEFING GUIDE

WHO SHOULD ATTEND:

ALL PERFORMERS:	Air show Pilots
	Tow/Jump Aircraft Pilots
	Skydivers
	Military Flight Demo Pilots
	Air & Ground Pyrotechnic Technicians
	Jet Vehicle Drivers
	Narrator(s)
	Remotely Deployed Aircraft Pilots (via telecon)
	At least one representative for each military team
KEY OPS / SUPPORT PERSONNEL:	Air Boss
	Air Traffic Control
	Fire Chief/CRS
	EMS Helicopter
	Smoke Oil/Refueling Chief
	Aircraft Marshallers Chief
	Maintenance Chief
	Crowd Control

FAA (Or Assigned) MONITOR:

WEATHER BRIEFER:

AIR SHOW DIRECTOR / EVENT SPONSOR: (Including that person named on the Waiver as being “responsible to ensure safety of the event”)

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WHO SHOULD NOT ATTEND:

Pets

Individual Sponsors

Media Representatives

Spouses

Children

Relatives/Friends

Anyone not directly associated with the performance

BRIEFING:

ROLL CALL: Those not attending the briefing MAY NOT participate in this performance!

INTRODUCE KEY OFFICIALS:

TIME HACK:

CURRENT WEATHER AND FORECAST: (Include regional and national weather by quadrants on the last day, for departing aircraft)

REVIEW NOTAM(S):

REVIEW WAIVER AND SPECIAL PROVISIONS:

REVIEW AREA MAP:

Hold Points/Turn Directions Altitudes

Noise Abatement Procedures

Sensitive Areas

Special Area of Operation

Remote Recovery Airports

Obstructions

Controlled/Emergency Bail Out/Ditching Procedures

AIRPORT STATUS:

Airspace

Runways In Use

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	Facilities
	Arresting Cables
	Traffic Patterns
AIR SHOW LAYOUT:	Showlines
	Spectator Areas (Primary/Secondary)
	Ground Based Pyro
	Hazards
	Aircraft Parking
	Taxi Routes
	CRS Runway Watch Locations
	Unique Local Items/Conditions
COMMUNICATIONS:	Primary/Backup/Discrete
	Tower/UNICOM
	Any Aircraft w/o Radios? - Procedures
	Transponders
SPECIALTY BRIEFINGS:	Warbird Formation
	Fuel/Smoke Oil
	Marshallers
	CRS Runway Watch
	Maintenance
	Pyro
	Announcer(s)
EMERGENCY PROCEDURES:	Comm. Failure (Aircraft/Ground)
	Stuck Mike Procedures
	NORDO Procedures

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Ground/In-flight Emergencies

Runway Closures

Hold/Divert Locations

Recall/Stop Show/Divert Procedures

Aircraft in Pyro Area

Deteriorating Weather Procedures

PERFORMANCE SAFETY: Stall Speeds vs. “G” Load vs. Density Altitude

Personal Physical Condition (Rest, Mental State, Dehydration, etc.)

Minimum Altitude(s) = Hard Deck

Showline = Do Not Cross

DISTRIBUTE/REVIEW FLYING SCHEDULE: Act by Act

ADMINISTRATIVE NOTICES:

QUESTIONS? - COMMENTS?

RESOLVE ALL CONFLICTS!

ALL PERFORMERS MUST SIGN THE WAIVER AND/OR PARTICIPANTS BRIEFING SIGNATURE DOCUMENT!

(Note: This guide is general in nature and should be tailored for each event as necessary.)

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Figure 6-103. FAA Form 8710-7, Statement of Aerobatic Competency

FRONT

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

STATEMENT OF AEROBATIC COMPETENCY

PILOT J. J. JONES	
TYPE CERTIFICATE/NUMBER COMMERCIAL 1234567	
ISSUANCE DATE 03-30-96	EXPIRATION DATE 03-31-97
GENERAL AVIATION OPERATIONS INSPECTOR (Signature) J. J. SMITH ANE-BED-FSDO	

FAA Form 8710-7 (5-78)

BACK

MANEUVER LIMITATIONS NONE	
ALTITUDE LIMITATIONS LEVEL II	AUTHORIZED AIRCRAFT PITTS SPECIAL
I understand that this statement of competency does not authorize deviation from FAR 91 except as defined by waiver thereto, or to the terms of Special Provisions contained in any waiver to FAR 91.	
PILOT (Signature)	

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Figure 6-104. Sample Briefing Signature Page

I have read and/or been briefed on the Certificate of Waiver or Authorization and all its special provisions and fully understand the procedures, requirements and limitations of this document.

PARTICIPANTS: (Pilots)*

SIGNATURE:	MEDICAL CLASS:	BFR DATE:	PLEASE PRINT NAME:	ACFT. TYPE:
CERT. # & TYPE:	DATE: / /	/ /	PLEASE PRINT "TEAM" NAME:	REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

SIGNATURE:	MEDICAL CLASS:	BFR DATE:	PLEASE PRINT NAME:	ACFT. TYPE:
CERT. # & TYPE:	DATE: / /	/ /	PLEASE PRINT "TEAM" NAME:	REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

SIGNATURE:	MEDICAL CLASS:	BFR DATE:	PLEASE PRINT NAME:	ACFT. TYPE:
CERT. # & TYPE:	DATE: / /	/ /	PLEASE PRINT "TEAM" NAME:	REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

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SIGNATURE: CERT. # & TYPE:	MEDICAL CLASS: DATE: / /	BFR DATE: / /	PLEASE PRINT NAME: PLEASE PRINT "TEAM" NAME:	ACFT. TYPE: REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

SIGNATURE: CERT. # & TYPE:	MEDICAL CLASS: DATE: / /	BFR DATE: / /	PLEASE PRINT NAME: PLEASE PRINT "TEAM" NAME:	ACFT. TYPE: REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

SIGNATURE: CERT. # & TYPE:	MEDICAL CLASS: DATE: / /	BFR DATE: / /	PLEASE PRINT NAME: PLEASE PRINT "TEAM" NAME:	ACFT. TYPE: REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

SIGNATURE: CERT. # & TYPE:	MEDICAL CLASS: DATE: / /	BFR DATE: / /	PLEASE PRINT NAME: PLEASE PRINT "TEAM" NAME:	ACFT. TYPE: REG. #: CERT. OF AIRWORTH. TYPE:
ADDITIONAL INFORMATION: Do you have any of the following: 1. LOA in lieu of type rating: Yes - No 2. LOA for maneuvers at the crowd: Yes - No 3. Non-aerobatic formation card: Yes - No	DATE OF LAST PERFORMANCE OR PRACTICE: / /	DO YOU HAVE: Drop tanks? Y - N Ejection Seats? Y - N	ACE CARD DATE: / / LIMITATIONS / AUTHORIZATIONS:	EMERGENCY PARACHUTE REPACK DATE: / /

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I have read and/or been briefed on the Certificate of Waiver or Authorization and all its special provisions and fully understand the procedures, requirements and limitations of this document.

PARTICIPANTS: (Skydivers)*

SIGNATURE: FULL NAME (PRINTED):	USPA RATING: (Circle One) C D PRO-RATING DATE: / /	MAIN PARACHUTE REPACK DATE: / / TYPE:	AUXILIARY PARACHUTE REPACK DATE: / / TYPE:
SIGNATURE: FULL NAME (PRINTED):	USPA RATING: (Circle One) C D PRO-RATING DATE: / /	MAIN PARACHUTE REPACK DATE: / / TYPE:	AUXILIARY PARACHUTE REPACK DATE: / / TYPE:
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RESERVED. Paragraphs 6-2387 through 6-2405.

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VOLUME 15 FAA SAFETY TEAM POLICIES AND PROCEDURES

CHAPTER 1 GENERAL INFORMATION

Section 3 FAASTeam Program Structure

15-1-3-1 GENERAL. The program structure of the Federal Aviation Administration (FAA) Safety Team (FAASTeam) requires the coordination and collaboration of national, regional, and field-level FAASTeam personnel, as well as a cadre of volunteers, to promote the Flight Standards (AFS) safety initiatives and programs.

A. Purpose. This section describes the FAA Safety Program structure, consisting of a National FAASTeam Branch (AFS-850), Regional Flight Standards Division Managers (RFSDM), Regional FAASTeam Points of Contact (RFPOC), Flight Standards District Office (FSDO) managers, and field office FAASTeam Program Managers (FPM), as well as volunteers.

B. Scope. This section focuses on organization, reporting, and basic responsibilities of AFS-850, RFPOCs, FSDO managers, and FPMs. Refer to FAA Order FS 1100.1, Flight Standards Service Organizational Handbook, which defines the organization and functions of the AFS, Washington headquarters (HQ), and regional and national field office elements.

15-1-3-3 TASK PREREQUISITES AND SIGNIFICANT INTERFACES. [Reserved]

15-1-3-5 BACKGROUND.

A. HQ Policy Division and Branch Level.

1) The National FAA Safety Program consists of a National FAASTeam Policy Branch. FAASTeam responsibilities and authorities are found in Order FS 1100.1.

2) The AFS-800 division manager should maintain an ongoing dialogue with all HQ division managers and the AFS-850 branch manager to ensure that the National FAASTeam program has an appropriate policy in place to effectively address national and local concerns.

3) The AFS-800 division manager should have at least one formal discussion (ideally in the third quarter of each fiscal year (FY)) with each RFSDM to validate concurrence on the National FAASTeam Performance Plan (NPP) for the upcoming FY.

4) AFS-850 develops national policy, procedures, and related guidance unique to the FAASTeam operations and airworthiness safety programs for AFS-800 for the field office managers and assigned FPMs.

B. Regions.

1) RFSDM. RFSDMs are required to support and participate in the National FAASTeam program in accordance with all related national policies and procedures.

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a) RFSDMs are responsible for implementing the FAA Safety Program initiatives outlined in the annual NPP.

b) RFSDMs are responsible for reporting safety program performance measures using the Operational Analysis Report Site (OARS).

c) RFSDMs will establish and identify an RFPOC who will support and/or address FAA Safety Program initiatives for field office managers and/or their assigned FPMs. To ensure success of the FAA Safety Program, the RFSDM must ensure the RFPOC is dedicated primarily to FAASTeam program issues and keep ancillary duties to a minimum.

2) RFPOC. This is the RFPOC for all FAASTeam program matters within a given region. Although this is a regional assignment, the job function may be performed at the RFPOC's current duty location (i.e., remotely sited). The RFPOC is responsible for:

a) Being thoroughly familiar with the current NPP.

b) Updating and educating the RFSDM, field office managers, and assigned FPMs on all national and regional FAASTeam Program matters and the contents, subsequent revisions, and impact of the NPP.

c) Coordinating communication and supporting the needs of FAASTeam Representatives (REP) based in field office districts where no FPM is assigned. This includes, but is not limited to, the review and approval of Safety Program Airman Notification System (SPANS) events submitted by these FAASTeam REPs. Training for these FAASTeam REPs is accomplished per national policy and procedures.

d) Tracking and reporting safety program performance measures using OARS.

C. FSDO.

1) FSDO Managers. To support the FAA Safety Program and accomplish the NPP, FSDO managers will utilize the assigned FSDO FPM(s). Managers ensure that initiatives applicable to the FSDO's geographic district are accomplished, completely identified local safety promotion initiatives, and identify and mitigate unsafe hazards and/or behavior within their district boundary. FSDO managers will also ensure that FPMs have adequate supplies and resources available to accomplish their work. These shall include, but not be limited to: a government car/van, travel expenses, and access to color copiers to reproduce safety promotional materials.

2) FPM.

a) From the Office of the Director (AFS-1), "We recognized at the start that the realignment of the FAASTeam and reintegration into the FSDO would expand the scope of FAASTeam employees' work, but it has always been—and continues to be—our intent to maintain the identity and the important core safety mission of FAAST. The field-based FPM position, unlike so much of the work we do, which involves a substantial amount of reaction-driven demand work, the FPM position is intended to be a full-time safety promotion job.

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The GA fatal accident numbers make it unreasonable to suggest that there is not enough work to keep a full-time FPM busy in this function. On the contrary, the scope of the proactive safety education and advocacy work I expect from our FPMs is limited only by imagination."

b) An FPM may be an Operations or Airworthiness aviation safety inspector (ASI) assigned to a FSDO and holds the position description as FPM. Several FAASTeam activities are divided into three categories: core tasks, operations tasks, and airworthiness tasks. An FPM who has either a maintenance or avionics background may perform any airworthiness safety program task activity. An FPM:

1. Collaborates with the FSDO Management Team to plan, manage, and execute the FAA Safety Program by accomplishing the NPP requirements, supporting regional safety initiatives, and identifying and mitigating local safety issues. The FPM reviews, evaluates, recommends improvements, and provides technical assistance in annual FSDO local and regional Aviation Safety (AVS) outreach and education programs for which they are responsible.

2. Performs planning and oversight functions and day-to-day work independently, and decides on priorities and approaches to support the full execution of the NPP. The FPM may set up an ad hoc task force of industry partners and FAASTeam REPs to advise on program planning (e.g., the planning of specialty program priorities, the projection of future needs, and consideration of the impact of Federal dollars (resources) on the AVS outreach and educational program).

3. Initiates, plans, conducts, and/or participates in local and regional meetings, workshops, seminars, and conferences for the purpose of gaining support of and advancing local, regional, and national agency objectives in the AVS outreach and educational program areas. Represents the agency at a variety of meetings and maintains effective relationships with airmen, industry service providers, aviation students, educational institutions, and other organizations and groups concerned with the AVS outreach and educational program areas.

4. Motivates and influences airmen and industry service providers through a variety of groups and settings to adopt new approaches and to accept changes in practices, methods, and programs for AVS outreach and education. The FPM must be skillful in discussions and negotiations to gain the kind of support and cooperation that will result in concerted efforts to advance the quality and value of the AVS outreach and educational program.

5. Evaluates effectiveness of the AVS outreach and education planning and program through a variety of means, including review of project proposals, curriculum and instructional materials, technical and progress reports, evaluation instruments (data analysis), and discussions with managers, supervisors, FSDO inspector staff, and industry partners.

6. Serves as the agency expert and local and regional authority for assigned broad AVS outreach and educational program areas. Provides professional leadership and guidance to the local FSDO and Regional Office (RO) in carrying out the local, regional, and national objectives of extending, improving, and monitoring existing AVS outreach educational

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programs, as well as adding new and innovative programs so that airman and industry service providers receive the highest quality AVS outreach possible.

7. Provides leadership and guidance to agency FSDO and regional staff, and to local and regional AVS outreach education agencies and institutions on new developments and national trends in the AVS outreach and education specialty areas, and on such other matters as airman and industry training, certification, and local/regional priorities.

8. Conducts and oversees AVS outreach and educational projects in their assigned program areas (specialty) to ensure that programs address the identified aviation risk areas for airmen and industry service providers. The FPM is responsible for all administrative safety program oversight activities within the safety program and assigned specialty. In cases of FAASTeam staffing shortages, FPMs may be assigned to provide administrative support to the safety program outside of the assigned specialty.

NOTE: For example, an Airworthiness FPM can manage the oversight of operations FAASTeam REPs in the accomplishment of the operation's NPP required items and record the completion in the Program Tracking and Reporting Subsystem (PTRS) using the operation's PTRS code.

9. Recruit, train, and maintain an appropriate cadre of FAASTeam REPs and FAASTeam Lead Representatives (LREP) to provide an avenue for airmen and industry peer and professional support. These FAASTeam REPs and LREPs will perform airman counseling and remedial training; conduct AVS outreach meetings, workshops, and seminars; share their knowledge, resources, information, expertise, and tools; and work together to build and conduct a network of AVS outreach events throughout the FSDO's Area of Responsibility (AOR).

10. Perform review and analysis of aviation accident and incident data and General Aviation (GA) pilot and mechanic deviation reports relating to events and concerns originating from within their assigned FSDO districts. The review and analysis will better assist the FPM in identifying local trends and formulating recommendations for identified risk mitigation. The FPM may assist the FSDO accident or incident Investigator-in-Charge (IIC) in an investigation, only as necessary to better understand investigation data for analysis; however, the FPM may not be assigned to investigate any accident or incident.

11. Entering PTRS data, per the NPP and the National FAASTeam PTRS/Labor Distribution Reporting (LDR) Work Instructions, for tracking and reporting safety program performance measures to be used with the OARS.

3) FPM Facility Resources. The FAASTeam educational outreach mission requires special considerations that are unique.

a) Private Room. The FAASTeam educational outreach mission necessitates meetings/interfacing with the aviation public. To ensure the agency adheres to privacy requirements, an enclosed room or office will be provided for these meetings.

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b) Storage Space. A secure office storage space for program materials and equipment, furnishings, etc., will be provided, as required. If more than one FPM is in the same facility, the storage space will be shared between all FPMs. If there are no current FPMs at the facility, the space should remain reserved for transient FPMs to use when performing work functions in the area.

4) FAASTeam REPs. Volunteers who have applied and been accepted by the FPM and RFPOC to accomplish elements of the FAASTeam mission. FAASTeam REPs must complete required training and have necessary and applicable rights to the FAASTeam website at www.FAASafety.gov. These individuals are managed and supported by an RFPOC or FPM.

5) FAASTeam LREPs. Volunteers who have met the qualifications and who have been active as a FAASTeam REP for a minimum of 2 years. FAASTeam LREPs regularly perform all of the functions of a FAASTeam REP in addition to specifically helping the FPM support and maintain communications and support for the FAASTeam REPs within the FSDO's AOR.

15-1-3-7 through 15-1-3-17 RESERVED.

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VOLUME 15 FAA SAFETY TEAM POLICIES AND PROCEDURES

CHAPTER 9 VOLUNTEERS

Section 2 Qualifications and Appointments

15-9-2-1 GENERAL. Each Federal Aviation Administration (FAA) Safety Team (FAASTeam) Program Manager (FPM) is responsible for building an organization of dedicated volunteer FAASTeam Representatives (REP) that are an important asset in achieving the safety outreach of the FAASTeam. FAASTeam REPs have important observations, perspectives, and knowledge that can help the FPM and FAASTeam do their safety outreach better. Appointed FAASTeam REPs contribute their time, talent, and resources to work within the industry and aviation community to facilitate a positive change in the safety culture. FAASTeam REPs are an essential part of the FAASTeam and an important link to the accomplishment of the FAASTeam mission.

A. Purpose. This section provides the FPM and local Flight Standards District Office (FSDO) with the procedures and guidance for identifying, recruiting, appointing, and training a volunteer.

B. Scope. The information in this section applies to FPMs in direct working relationships with volunteers, to other FAASTeam staff that work indirectly with volunteers, and to FSDO Managers and staff whose program goals rely on volunteer support.

15-9-2-3 TASK PREREQUISITES AND SIGNIFICANT INTERFACES. When working with volunteers, it is essential to have knowledge of the FAASTeam REP training products that are available at http://www.FAASafety.gov as well as the contents of the FAASTeam Representative Manual.

A. Program Tracking and Reporting Subsystem (PTRS) Activity Codes.

1) Operations: 1911 (Designate), 2694 (Train).

2) Maintenance: 3911 (Designate), 4694 (Train).

3) Avionics: 5911 (Designate), 6694 (Train).

B. Significant Interfaces. This task requires coordination with the following organizations or individuals:

- National FAASTeam Branch (AFS-850);
- Regional Flight Standards divisions (RFSD);
- Regional FAASTeam Points of Contact (RFPOC);
- FSDOs;
- FPMs;
- FAASTeam REPs; and
- Airmen, air operators, and air agencies.

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C. Automation Tools:

- National FAASTeam website at http://www.FAASafety.gov; and
- National FAASTeam Representative Collaboration Center (NFRCC), part of the National FAASTeam SharePoint site collection.

D. References.

1) Legal References. [Reserved]

2) Regulatory References. [Reserved]

3) Procedural Guidance (current editions):

- FAASTeam Representative Manual.
- FAA Order 1380.51, Program Tracking and Reporting Subsystem.
- PTRS Procedures Manual (PPM).

E. Forms. FAA Form 8000-36, Program Tracking and Reporting System Data Sheet.

F. Job Aids:

- FAASTeam REP online application at www.FAASafety.gov.
- National FAASTeam PTRS/LDR Work Instruction.

15-9-2-5 BACKGROUND.

A. Volunteers and Culture Change. Cultural change does not happen easily or because of any one approach, and is not something that is achieved by government or legislation alone. Public engagement through the use of FAASTeam volunteers and mentorships over a period of years is vital to achieve a lasting positive safety culture improvement. FAASTeam volunteer efforts have had a direct impact on the success of the FAASTeam's safety outreach and have significantly affected the overall culture change occurring within General Aviation (GA) today.

B. Volunteer Qualifications. The FPM will consider the applicant's area of expertise and specialized knowledge before recommending an individual for appointment. Selection of FAASTeam REPs should be based on whether the applicant:

1) Has the time and ability to accomplish program tasks.

2) Has a diverse background in aviation or as a subject matter expert (SME).

3) Is a proactive supporter of the FAASTeam mission.

4) Is respectful and well-respected within the community.

5) Is trustworthy.

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6) Is a team player.

7) Has a good safety record.

8) Has good "people skills."

C. Appointments.

1) The FPM recommends FAASTeam Lead Representatives (LREP) and the FSDO Manager appoints them. The appointment is for 2 years and can be renewed based on need, activity, and training. The FPM will have no more than ten (10) FAASTeam LREPs at any one time, and the FAASTeam LREP will have responsibility for no more than ten (10) FAASTeam REPs at any one time.

2) The FPM or FAASTeam LREP (with the concurrence of the FPM) recommends FAASTeam REPs and the FSDO Manager appoints them. The appointment is for 1 year and, based on need, activity, and completion of annual training, can be renewed for additional 1-year periods.

3) The FPM will provide support and guidance for FAASTeam REPs/LREPs when they conduct FAASTeam activities.

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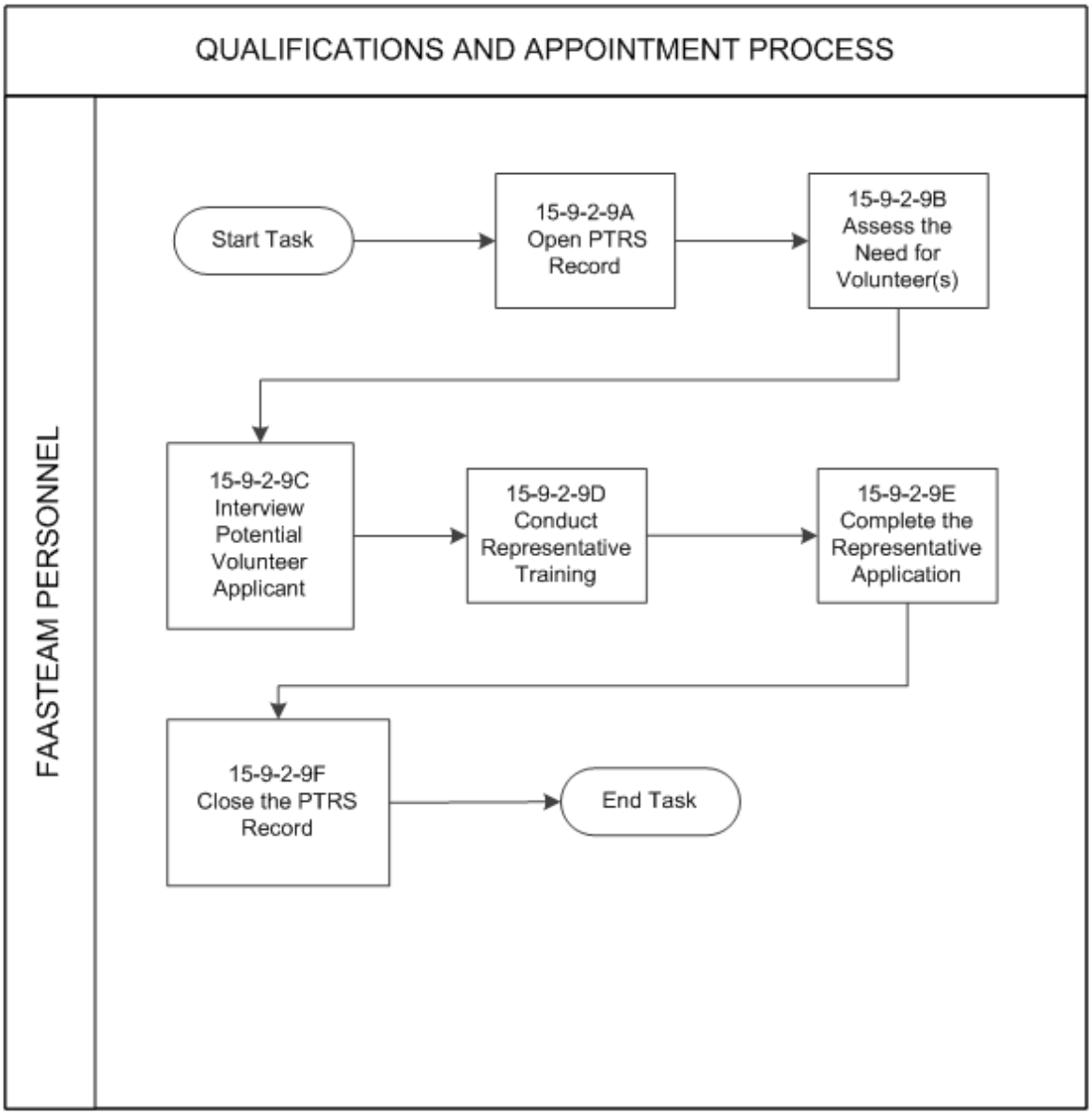
15-9-2-7 QUALIFICATIONS AND APPOINTMENT PROCESS FLOWCHART.

Figure 15-9-2A. Qualifications and Appointment Process Flowchart



15-2-9-9 PROCEDURES.

A. Open PTRS Record (see flowchart process step 15-9-2-9A).

B. Assess the Need for Volunteer(s) (see flowchart process step 15-9-2-9B). The FPM is responsible for determining the number and location of volunteers within their assigned district. The FPM and the FSDO Manager should appoint enough volunteers to provide sufficient outreach yet remain manageable. Some considerations for areas in which to recruit volunteers include the following:

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1) Large airmen population areas.

2) Flight schools.

3) Experimental Aircraft Associations (EAA) or local type clubs (Mooney, Bonanza, Short Wing Piper, etc.).

4) Designated Pilot Examiners (DPE)/Designated Mechanic Examiners (DME).

5) Repair stations.

6) Recommendations from other FAASTeam REPs.

7) Recommendations from local FSDO inspectors.

8) Potential volunteers who may contact the FPM and ask to serve.

C. Interview Potential Volunteer Applicant (see flowchart process step 15-9-2-9C).

1) When an applicant is being considered for a position as a FAASTeam volunteer, the FPM should review their accident, enforcement, and PTRS history by going to the Safety Performance Analysis System (SPAS) at http://home.spas.faa.gov/splash/splash.asp. In addition, the FPM should discuss the applicant with the local FSDO Manager and aviation safety inspectors (ASI) after reviewing the applicant's SPAS information. If the applicant has a good safety and compliance record, the FPM will interview the applicant.

2) The FPM must be mindful of the importance of determining if the potential volunteer has the time, talent, motivation, and people skills that will reflect favorably on the FAASTeam and the FAA. If the applicant has poor safety and/or enforcement history, they should not be accepted as a volunteer. Deny the application and close the PTRS file. If the applicant is accepted for an interview, continue below.

3) The FPM will conduct an in-person or teleconference interview and discuss the following:

a) What is the applicant's motivation to serve on the FAASTeam?

b) What is their understanding of the function and purpose of the FAASTeam?

c) What are some examples of situations in which they have used their problem solving/conflict resolution skills in the past? This helps determine their abilities to potentially solve aviation safety/regulatory conflicts at the local level.

d) What particular talents or skills do they have that will contribute to the FAASTeam mission?

e) Any other information the FPM feels will help verify the applicant's ability to serve on the FAASTeam.

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4) If the FPM is satisfied that the applicant would be suitable to serve effectively, they should make an appointment with the applicant to begin their training and application process.

5) If after the interview the FPM determines that the applicant would not be suitable to serve effectively, they should thank the individual for their interest and deny the application. Close the PTRS file.

6) If after the interview the FPM determines that the applicant is suitable to serve, the FPM will request concurrence from the FSDO Manager. After the FSDO Manager concurs, the FPM should have the applicant go to www.FAASafety.gov and submit their online application and complete the required online mandatory FAASTeam REP training courses. Once the applicant has completed the online application and FAASTeam REP training courses, the FPM will be notified by an email from www.FAASafety.gov.

a) The training and application process should be completed within 30 calendar-days of the interview.

b) If the applicant fails to complete the online application and online mandatory training courses within 30 calendar-days, the PTRS should be closed and the process ended without the FAASTeam REP volunteer being selected.

D. Conduct Representative Training (see flowchart process step 15-9-2-9D).

1) In addition to the online training, each FAASTeam REP will need initial and recurrent training from the FPM or a qualified FAASTeam LREP. The quality and effectiveness of the FAASTeam REP will be greatly enhanced if the orientation (initial) training they receive is effective and of good quality. It is important for the FPM or FAASTeam LREP conducting the training to make the training meaningful and useful. Make sure the applicant is well aware of what they can expect from the FAASTeam and what the FAASTeam will expect from them in accordance with current orders, handbooks, and regulatory guidance.

NOTE: A FAASTeam LREP whom the FPM has trained and authorized to do so can conduct the initial training and subsequent annual recurrent training. A FAASTeam LREP should be limited to being responsible for a maximum of 10 FAASTeam REPs.

2) New FAASTeam REPs are required to participate in initial, recurrent, and specialized training programs. Special training may be necessary to provide information on new equipment or targeted safety-related programs. FAASTeam REPs must complete initial training prior to conducting any FAASTeam activities.

3) The FAASTeam REP initial training will consist of the mandatory online training and at least the following:

a) Organizational structure of the FAASTeam, to include current National FAASTeam Performance Plan (NPP) requirements.

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b) Responsibilities of the FAASTeam REPs, to include professionalism and ethics.

c) Accident/incident statistics and activity data that have established the national, regional, and local FAASTeam goals and objectives, to include special emphasis items.

d) Counseling.

e) Remedial training (RT).

f) Identifying safety hazards.

g) Safety events.

h) Aviation Awards support.

i) Publicity.

j) Contents of the FAASTeam Representative Manual.

k) How to use the resources available at www.FAASafety.gov, especially how to complete a FAASTeam REP activity report and how to create a SPANS event.

l) Any other subject(s) the FPM deems necessary based on local needs and emphasis areas.

4) When the initial training is completed, the FPM will document the training for the applicant by logging into www.FAASafety.gov and then selecting the "Administration" drop-down, selecting "Directory," and then "View All." Select the applicant's application and click on "Review the Application" (clipboard with green check icon on the far right), then the "Enter Training" icon (tab). Enter the date the initial training was completed. (Also verify that the applicant has credit for the two online courses in the training record.)

NOTE: A FAASTeam Service Provider (FSP) is not required to complete the online, initial, or annual training.

E. Complete the Representative Application (see flowchart process step 15-9-2-9E).

1) After the training has been completed and documented, log into www.FAASafety.gov. Then select the "Administration" drop-down, select "Directory," and then "View All." Select the applicant's application and click on "Review Application" (clipboard with the green check icon). The FPM will review the application for completeness and accuracy.

2) If the application is complete and correct and the training has all been documented, the FPM will select "Complete Review of Application" (located in the bar at the bottom of the application). The FPM will then verify and select the appropriate title for the Volunteer (e.g., Service Provider, Representative, or Lead Representative) from the

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drop-down box and select the "Submit" icon at the bottom of the application. The FPM should make sure the correct FSDO district is selected for the applying FAASTeam REP.

a) This will complete the application review and processing by the FPM.

b) The application will then be forwarded via automatic email notification to the FAASTeam Regional POC for final review and acceptance.

3) If there is a discrepancy, the FPM will select "Application Under Review" (located in the bar at the bottom of the application) and make the necessary corrections, then re-submit the application.

4) If the applicant is not going to be selected or they wish to withdraw their application, the FPM will log into www.FAASafety.gov, select the "Administration" drop-down, select "Directory," and then "View All." Find the applicant's name and select "Remove Application" (trash can icon). (The FPM will be prompted twice to make sure they want to remove this application.) This will terminate the application process without the applicant being accepted.

F. Close the PTRS Record (see flowchart process step 15-9-2-9F).

15-9-2-11 TASK OUTCOMES. The completion of this task results in a FAASTeam volunteer applicant being trained and accepted as an FSP, FAASTeam REP, or FAASTeam LREP, or a FAASTeam volunteer applicant not being accepted. (An FSP does not require training.)

15-9-2-13 FUTURE ACTIVITIES.

A. Additional Training. A FAASTeam REP must undergo recurrent training every 12 months and a FAASTeam LREP every 24 months. FAASTeam REPs and LREPs must complete the Security Course annually. This course is located at www.FAASafety.gov and is automatically entered in the training file for the FAASTeam REP application when completed.

B. Annual Review of Volunteer Assets. The FPM will do a review annually to determine if the number of volunteers is sufficient to properly support the FAASTeam mission in their district. They will then either recruit or release volunteers as the need dictates. The FPM will complete an annual review of the FAASTeam Directory files maintained at www.FAASafety.gov for training and renewal requirements. If a FAASTeam REP is not current with any training requirement, they are to be converted to an FSP until the training deficiencies are corrected, at which time they may be changed back to a FAASTeam REP if they have completed all the required training.

15-9-2-15 through 15-9-2-25 RESERVED.

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